

CCWIS Technical Assistance, Self-Assessment Tools, and Monitoring Reviews: *Part One*

OCTOBER 27, 2021

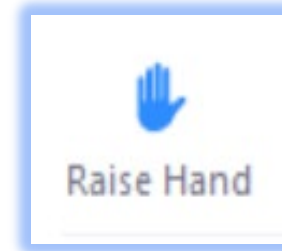
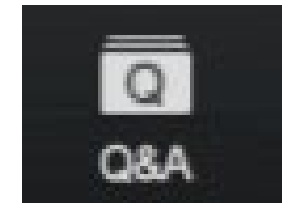


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Participating in Today's Webinar

To ask questions during the presentation:

- Type them into the *Question and Answer* feature at the bottom or top of your screen.
- Ask over the phone using the *Raise Hand* feature and the presenter will unmute your phone line.
 - If you aren't on the webinar and have called in using your phone, you can dial *9 and the presenter will unmute your line



After today's webinar, email questions to CCWIS.Questions@acf.hhs.gov.



Audience Poll #1

What is the primary role that you play in relation to CCWIS at your agency? *(select one)*

- ☐ Information Technology
- ☐ Project Management
- ☐ Child Welfare Program
- ☐ Quality Assurance
- ☐ Other



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Audience Poll #2

Which best describes your familiarity with TB#7 (CCWIS Technical Assistance, Self-Assessment Tools, and Monitoring Reviews)? *(select one)*

- ☐ I have read TB #7.
- ☐ I briefly skimmed TB #7.
- ☐ I know about TB #7 but have not read it yet.
- ☐ What is TB #7?



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Webinar Presenters

Presenters:

- Tresa Young, Director, DSS
- Alex Kamberis, Federal Contract Support, DSS
- David Baker, Federal Contract Support, DSS

Moderator:

- Philip Breitenbucher, Federal Contract Support



Agenda

- Provide an overview of CCWIS Technical Bulletin (TB) #7
- Introduce the continuum of Technical Assistance (TA) activities
- Describe how ACF will use this process to ensure an agency's CCWIS supports program outcomes
- Discuss ways that agencies can prepare for TA activities
- Highlight changes and lessons learned from previous reviews
- Answer questions from the audience



Overview: CCWIS TA and Reviews

Lesson's Learned from SACWIS

- Empower agency ownership and decision making within a broad regulatory framework
- Focus on outcomes rather than prescriptive functions
- Integrate self-assessment and review activities that emphasize continual system improvements to meet changing program needs and requirements
- Proactive and iterative – intended for use at any stage of system development
- Flexible to meet innovative development practices
- Focus on high-level aspects of the system: program service delivery and outcomes, data quality, and design



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Primary Goals of New Process

- Build technology capacity and align system functions to support agency business and practice needs
- Identify and mitigate potential risks and issues
- Provide low-risk opportunities to understand needs and problem-solve
- Provide flexible support through iterative and incremental assessment
- Support continuous improvement – build capacity in agencies and at ACF
- Assist agencies with meeting CCWIS and APD requirements



Continuum of Technical Assistance

TA Activities	Self-Assessment Tools	TA Monitoring Reviews	CCWIS Assessment Review (CAR)
Capacity Building	Operationalizes regulations and program requirements	Early identification of potential compliance issues	Compliance and system integration



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Potential Milestones or Triggers for TA Activities

- Agency requested
- Seeking approval of a planning APD
- Preparing the implementation APD
- Planning a procurement or change in vendor
- Significant turnover in project leadership or change in available funding/resources
- Completed development of a module or automated function
- Shift in project approach or development methodology



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Potential Milestones or Triggers for TA Activities (continued...)

- Missed key deliverable or milestone, over budget, or significant project risks
- Independent verification and validation (IV&V) or CCWIS Data Quality Biennial Review identifies risks, needs, or concerns
- Project is nearing completion or is moving from development to operational phase
- Technical needs or concerns are identified in other federal, state, or tribal reviews (CFSR, title IV-E reviews, AFCARS, NYTD, state/tribal audit, etc.)



TA and Review Process is Flexible

- Each project is unique
- TA can be requested by the agency or offered by ACF
- Scope of TA is negotiable
- Timing of TA is adjustable to accommodate agency and ACF schedules
- TA may look different for transitioning vs new systems
- Offered on a continuum and will be adjusted to accommodate the project's stage of development



TA and Review Process is Iterative and Incremental

- Promotes early identification of potential issues
- Continuous assessment. Each step in this new process builds upon the previous one:
 - **TA Activities** lay a foundation to support successful projects
 - **Self-Assessment Tools** identify the goals, requirements, and supporting evidence that ACF will be looking at during a monitoring review or CAR
 - **Monitoring Reviews** identify potential risks and issues that can be addressed before the CAR
 - The **CAR** will focus on how the whole system works together and any risks and issues not yet resolved



TA and Review Process is Collaborative

- Improving Service Delivery and Outcomes
 - Biennial Data Quality Reviews
 - Child and Family Service Reviews (CFSR)
 - Trauma-informed services
- Alignment with ACF/State/Tribal initiatives
 - Prevention
 - Equity
 - Workforce development and retention
 - Data informed decision making
- Coordination with federal reporting and reviews
 - Title IV-E Eligibility Reviews
 - Federal Reporting (AFCARS, NYTD, NCANDS)



Q&A

TA Activities

Capacity Building

TA Activities

- Agency or ACF-initiated to explore TA options or identify training needs
- Align technology, project management, and program-related priorities
- Information sharing and mutual learning opportunities
- Continuous improvement



TA Activities

- Examples:
 - Monthly calls
 - Technical bulletins and toolkits
 - Model Data Quality Plan Project
 - Webinars
 - APD or CCWIS orientation/trainings for new agency staff
 - Coordinating peer-to-peer connections
 - CCWIS Listserv
 - CCWIS.Questions@acf.hhs.gov
 - Child Welfare Information System Software and Artifact Pool (C-SWAP)
 - State technology profiles



Self-Assessment Tools

Operationalizes regulations and program requirements



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Self-Assessment Tools

- Voluntary
- Strengthens the connection between program and technology
- Improve effectiveness of TA and build partnerships
- Can be used by agencies in planning through post-production
- Operationalizes program goals and CCWIS regulatory requirements that ACF will address during compliance reviews
- Assists the agency in resolving compliance issues early to reduce burden and potential findings in a compliance review
- Documents progress as modules are developed
- Pilot agency feedback is that the tools are useful when used early on a project



Self-Assessment Tools

System

- Administration
- *Child Welfare Contributing Agencies (CWCA)*
- *Data Exchanges*
- Data Quality
- Design
- *Finance*
- Reporting
- Security
- User Experience

Program

- Adoption
- Case Management
- *Eligibility*
- Foster Care and Service Provider Management
- Intake
- Investigations

* Still in development



TA Monitoring Reviews

Early identification of potential compliance issues



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TA Monitoring Reviews

- Scheduled based on availability of ACF and agency
- Focus and scope of review is negotiated
- Early identification of risks/issues that could affect compliance later
- One module/automated function – or several – can be reviewed
- CCWIS design and program requirements can be assessed together or separately
- ACF will use self-assessment tools as a roadmap during monitoring reviews – and to collect information in advance



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TA Monitoring Reviews

- The review will be point in time and iterative as modules are developed
- ACF will use a team-based approach, using regional, reporting, and program team members (when available)
- Meetings and demonstrations can be remote and/or onsite
- Stakeholder interviews may occur
- Summary letter issued
 - no formal response needed from agency
 - agency will have input into content of letter
 - strengths, risks/issues, and potential future TA will be identified



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CCWIS Assessment Review (CAR)

Compliance and system integration



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CCWIS Assessment Review

- ACF is expecting to conduct a CAR 1 to 2 years after a CCWIS is fully operational
- ACF will verify risk and issues identified through monitoring reviews have been addressed
- Interviews with users and stakeholders will be included
- A compliance report will be issued – a formal response through APDs will be required
- Agencies will have opportunity to resolve and mitigate findings

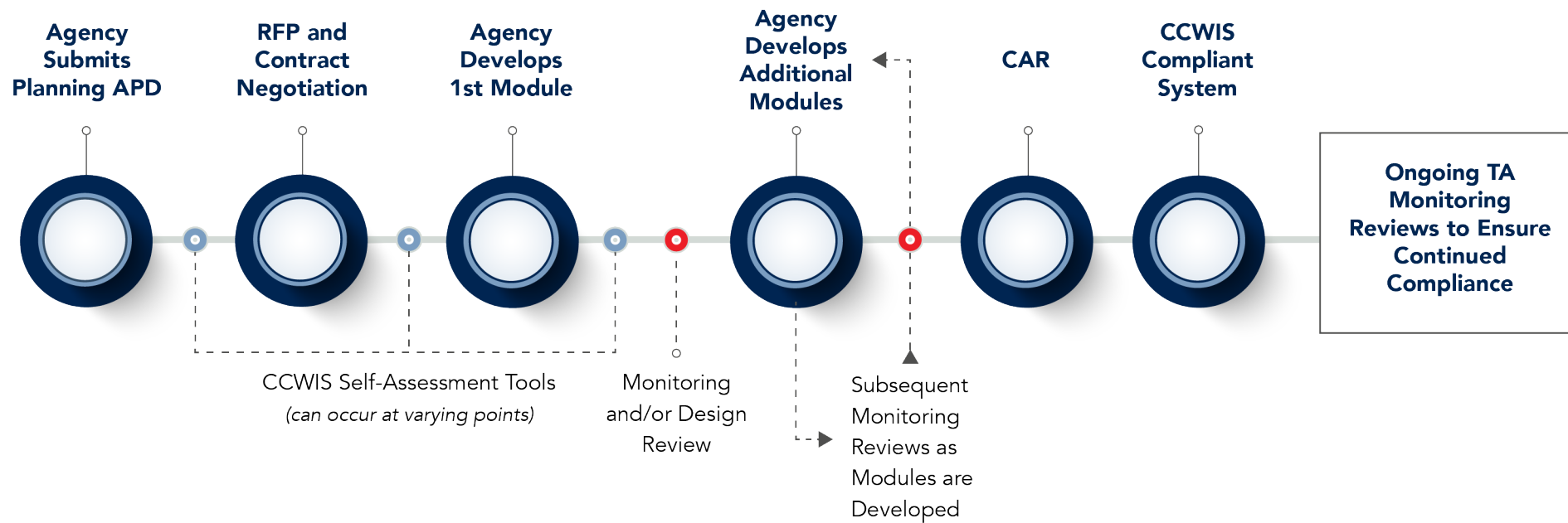


CCWIS Assessment Review

- During a CAR, ACF may look at:
 - program goals and outcomes
 - previously identified risks and issues
 - overall system integration
 - architecture and CCWIS design requirements
 - implementation
 - federal and agency reporting
 - user acceptance
 - change management



Sample Timeline



Q&A

Topics for Agency Consideration

Planning

- Has the agency conducted a business process review to ensure the future system will meet program needs?
- Is the agency considering and documenting CCWIS design requirements?
- Is the agency collaborating with CWCAs/stakeholders, including counties in a county-administered system?
- Does the agency plan describe effective sponsorship, governance, project management, budget controls, and staffing resources?
- Is the agency addressing data quality during preparatory activities?
- How is the agency planning to convert legacy data?
- Does the agency have resources and a plan to effectively evaluate and monitor vendor performance?
- Does the vendor contract describe reasonable transition, ongoing support plans, warranty language, and system acceptance criteria?
- Has the agency documented how CCWIS functions will operate as a coordinated/seamless system?



Development

- Are the CCWIS objectives being accomplished?
- Is there clear requirements tracing from the RFP/contract to the actual system produced?
- Is federal financial participation used as intended?
- Does the CCWIS meet design and exchange requirements?
- Are stakeholders involved and consulted as the project evolves?
- Are project costs and timelines within agency expectations outlined in the implementation APD and annual APD updates?
- Is testing automated, adequate, and effective? Are actual users involved in testing?
- Is software delivered as planned?
- Are the data model and data dictionary easy to understand and consistently used?
- Does the development methodology include a discovery process to understand user needs and share progress incrementally to adapt functionality and ensure user needs are understood and met?



Implementation

- Is the CCWIS used as intended?
- Is the CCWIS supporting program requirements?
- Is the CCWIS efficient, economical, and effective?
- Do reporting tools accurately reflect current and historical data?
- Is the agency using an effective change management process?
- Are users adopting the new system to complete their assignments?
- Are bugs and defects resolved timely?
- Is sensitive data handled appropriately?
- Is system training current and effective?



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Maintenance and Operations

- Is the CCWIS kept current to meet new data collection, exchange, or practice requirements?
- Is the CCWIS kept current to meet the field's evolving needs?
- Is the CCWIS using recognized industry security standards and kept up to date as new risks are identified?
- Are efforts ongoing to engage users to prioritize updates and address pain points?
- Does the agency use and rely on statewide data from the CCWIS to support program evaluation and outcome performance?



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Preparing for Technical Assistance

Documentation and Product Updates

- Complete voluntary self-assessment tools
- Share relevant and up-to-date system documentation
- Allow time for questions and follow-up documentation requests
- Ensure the system is designed as described in the APDs – identify possible discrepancies



Scheduling and Agendas

- Anticipate dependencies or constraints that may affect TA activities
- Negotiate agenda topics and activities
- Anticipate key discussions and decisions
- Establish a scope for the TA activities
- Provide opportunities for questions and dialogue throughout the process
- Regularly assess TA progress – adjust agendas/timelines if needed



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Participants

- Invite key participants to participate in TA activities
- Ensure active representation from project and program teams during key conversations and demonstrations – including team members who completed any self-assessment tools
- Communicate activities with stakeholders – share “what to expect”
- Review stakeholder and user feedback in advance to anticipate issues that may come up
- Clarify when vendor staff should be present



Demonstrations

- Prepare examples in advance to demonstrate common business needs
- Practice system demonstrations
- Anticipate questions federal analysts may ask
- Demonstrate that the system or module(s) reflects business processes and meets program needs.
- Proactively communicate system shortcomings, missing or incomplete code, processes and procedures not working as planned or designed, and user feedback.
- Review and obtain any confidentiality/security approvals and/or agency-specific documentation before system demonstrations
- Complete CCWIS self-assessment tools for the functionality being demonstrated to identify potential risks or issues



Q&A

Wrapping Up and Next Steps

Potential Barriers to CCWIS Compliance

- Section 6 of TB#7 is a broad list of potential barriers to CCWIS compliance
- Early identification through self-assessment and monitoring reviews will provide opportunities for agencies to address prior to the CAR



Next Steps: Help us Tailor TA to Your Needs

- Experiment with self-assessment tools and provide feedback
 - select and complete several tools
 - use the tools as checklists
- Let us know how can we improve TA
 - we encourage agencies to share concerns and ideas
 - suggest ways we can learn from each other
- Express your preferences and collaborate with your analyst when planning TA
- After receiving TA, discuss TA strengths and areas needing improvement with your analyst
- Communicate your ideas about how to implement an effective compliance review process



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Highlights and Conclusions

- Every CCWIS, agency, and implementation is unique – there will not be a blanket approach
- Focus is on ensuring the system supports program outcomes and business needs
- The CCWIS TA and review process supports an incremental approach and creation of a shared vision
- Self-assessment tools are useful throughout the CCWIS project and can support RFP and contract development
- ACF will be incorporating “lessons learned” from agencies and federal reviews to continually improve TA



References

Technical Bulletin #7 and Appendices. <https://www.acf.hhs.gov/cb/training-technical-assistance/ccwis-technical-bulletin-7>.

Federal Guidance for Child Welfare IT Systems. Links to statutes, regulations, and other federal issuances to assist states and tribes in planning, developing, and implementing child welfare information systems. <https://www.acf.hhs.gov/cb/training-technical-assistance/state-tribal-info-systems/federal-guidance>.

Webinar: Draft CCWIS Design Requirements and Self-Assessment Tool. This webinar described the draft CCWIS Design Requirements and Self-Assessment Tool documents. It included a description of the “conformance indicators” and a “scoring methodology” used to assess CCWIS design. <https://www.acf.hhs.gov/cb/policy-guidance/ccwis-design-requirements-self-assessment>.



Audience Poll #3

Are there specific self-assessment tools you would like us to cover in depth during a future webinar? *(select up to three)*

- ☐ Program Tools (intake, investigation, case management, etc.)
- ☐ Administration
- ☐ Child Welfare Contributing Agencies (CWCA)
- ☐ Data Quality
- ☐ Design
- ☐ Exchanges
- ☐ Finance
- ☐ Reporting
- ☐ Security
- ☐ User Experience



Q&A

Wrap Up

- Thank you for attending today's webinar.
- Please contact your assigned analyst if you have any suggestions, feedback, questions, or issues. Your assigned analyst can be found at <https://www.acf.hhs.gov/cb/training-technical-assistance/state-and-tribal-assignments>.
- Part Two of this webinar series will be presented on:

**Tuesday
November 9, 2021
2:00pm-3:30pm EDT**



Webinar Satisfaction Survey

CCWIS Participant Survey

Thank you for your time attending today's CCWIS Webinar and for your valuable feedback!!!

The survey will take no more than 5 minutes to complete, and the results will be used to improve technical assistance and webinar content to support agencies who are building child welfare information systems.

- **All the questions are voluntary, and**
- **Your responses are anonymous.**

OMB #: 0970-0401

Expiration Date: June 30, 2024

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