

INTAKE MODULE SELF-ASSESSMENT TOOL

v1.0

Definition

Intake functions track the case flow from the point of initial contact with the reporter (e.g., the phone call) to the time the report is assigned to a worker for investigation or assessment. Agency hotline or intake unit staff use intake functions to document information regarding alleged maltreatment or neglect and conduct the screening process against specific state or tribal guidelines to determine the appropriate Child Protection Services (CPS) response. This screening process is used to determine whether a referral is appropriate for further action. Referrals that do not meet agency criteria for investigation or assessment are screened out and diverted from CPS and may be referred to other agencies.

The CCWIS Intake module must include child abuse and neglect data reporting requirements. The National Child Abuse and Neglect Data System (NCANDS) is a voluntary, national data collection and reporting system to comply with the 1988 Child Abuse Prevention and Treatment Act (CAPTA) amendments to collect information for each report of alleged child abuse and neglect that received a CPS response. Title IV-E agencies with a Comprehensive Child Welfare Information System (CCWIS) must maintain NCANDS data it collects, as noted at 45 CFR § 1355.52(b). The NCANDS *Child File Codebook* has a list of all data elements, including information about the characteristics of the reports of abuse and neglect, the children, the services provided, the perpetrators, and definitions and technical guidance for states.¹

Agencies are encouraged to explore their needs to support intake business processes and to design CCWIS intake functions to enhance safety outcomes, meet reporting needs, and facilitate the delivery of responsive services.

Instructions

The self-assessment tool format is documented below. The Element # refers to the section number assigned to this module which will align with the respective section this self-assessment tool. The CAR document will be utilized to help score and record how well the CCWIS meets compliance with the federal regulations that describe CCWIS.

¹ <https://www.acf.hhs.gov/cb/resource/ncands-child-file>

PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) STATEMENT OF PUBLIC BURDEN: Through this information collection, the Administration for Children and Families (ACF) is collecting information to document that title IV-E agencies have planned and developed their system's conformity to federal CCWIS and Advance Planning Document requirements. Public reporting burden for this collection of information is estimated to average 10 hours per title IV-E agency choosing to develop and implement a CCWIS system, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. This is a voluntary collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information subject to the requirements of the Paperwork Reduction Act of 1995, unless it displays a currently valid OMB control number. The OMB # is 0970-xxxx and the expiration date is 00/00/0000.

Section	Element #
Overview	A.A.xx
Self-Assessment – Part One – <i>Program Goals</i>	A.B1.xx
Self-Assessment – Part Two – <i>Foundational Requirements</i>	A.B2.xx
Resources – Functional Process Factors, Data Elements, & Additional Considerations	A.C.xx

CCWIS self-assessment tools assist title IV-E agency staff with voluntary documentation of CCWIS project progress as the agency plans, develops, and deploys system functions. Agencies may use the self-assessment tools to determine what features will support federal and state or tribal child welfare program needs and document ongoing CCWIS progress. The data and information provided to ACF by the IV-E agency in the CCWIS self-assessment tools will help inform the agency’s CAR process conducted by ACF under 45 CFR part 95, subpart F and § 1355.55.

The Children’s Bureau will continue to pilot and utilize the self-assessment tools voluntarily with agencies to document “lessons learned” and provide agencies with opportunities to provide feedback regarding the utility of the tools. At this time, agencies may utilize tools they determine useful to document project processes, such as evaluating progress in developing the CCWIS, sharing information in an Advance Planning Document (APD), or sharing information in regular monitoring calls and other technical assistance activities. Agencies are encouraged to engage CCWIS users (users) as part of their ongoing self-assessment process to ensure the CCWIS is user-friendly and meets program and policy expectations.

Agencies may wish to attach self-assessment tools, screenshots, state or tribal policy, and other documentation to APD documents to describe project progress. The tools may also be used as part of the agency’s ongoing project management practices and stored, as desired, by the project team. If a required feature is not yet in production, the agency may document an expected completion date and/or reference the planned timeframe from the most recent APD update. ACF designed the tools to help clarify potential program and technology needs and document project progress towards CCWIS compliance. Agencies are encouraged to utilize standard version control practices to reduce redundancy and promote efficiencies.

A. Overview

A title IV-E agency may use this self-assessment tool to collect information on the users and external systems associated with a CCWIS intake function and any intake features incorporated in this function. Agencies may cross-reference information if it is already contained in an APD or project artifact. *If a question is not applicable to the intake function, indicate "N/A" and provide the reason why it is not applicable.*

A.A.01 Date this assessment was completed.

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A.A.02 Provide a brief description of the implementation approach, status, and target dates for the intake functions and/or external system(s). *Specific implementation plans are documented in the APD and the agency may reference the APD(s), or document information, here.*

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A.A.03 If the function supports programs beyond the child welfare program (such as Juvenile Justice or Adult Services), please identify the other program area(s) below.

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A.A.04 Is this function, or external system(s), accessed by users who are not employees of your agency (or counties in a county-administered system), such as private providers, staff of other state or tribal agencies, court staff, or contractors? *Please identify external user groups that will access this function, including Child Welfare Contributing Agencies (CWCAs). Please add more rows, as needed.*

User Group	Purpose of Use

A.A.05 Do title IV-E staff, or external users, use any system(s) external to CCWIS to collect information used in this function? If so, what external system(s) are used and what data from that system is shared with the CCWIS? *External systems can include commercial off-the-shelf (COTS) products, publicly available portals, and applications for mobile devices. Please add more rows, as needed.*

External System	Data Shared

A.A.06 Are there any additional comments you would like to provide as background to this function?

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B. Self-Assessment

Part One – Program Goals

The Program Goals section of this self-assessment tool describes the critical program needs CCWIS must support, as defined at 45 CFR § 1355.52 (a)(1). These program needs apply whether staff enter data directly into the CCWIS or data are imported through a data exchange. Agencies should continually assess changing policy and practice needs to ensure CCWIS aligns with program priorities and remains relevant to support program outcomes. The program goals noted below are common child welfare program needs or are required by policy or federal law.

In this section, the title IV-E agency may document components, factors, and design elements of the function(s), or exchanges, that support the program goals of the intake function. We encourage agencies to simplify their responses by referencing submitted documentation, such as APDs or attach screen shots, system documentation, training materials, survey data, and agency policy or procedures. To ensure the CCWIS is supporting program goals, engagement with end users during all states of the system development life cycle is critical. Likewise, continuous user feedback is often necessary to ensure the system is responsive to program changes after implementation.

In the **Evidence the Module & Exchanges Support the Program Goals** column, include information such as:

- how the CCWIS supports agency policies and practices;
- feedback from end users;
- how the module was designed to be user friendly and streamline work;
- data CCWIS maintains to support the goal;
- reports CCWIS provides; and
- components, factors, and design elements of the function(s), or exchanges, that support the goal.

If the title IV-E agency has additional program goals, please include them below and add new rows, as needed.

If a question is not applicable to the intake function, indicate “N/A” and explain why it is not applicable. For example, other functions in the CCWIS may address the program goals.

#	Program Goal	Evidence the Module & Exchanges Support the Program Goal
A.B1.0 1	Provide consistent, timely, and accurate information in a streamlined manner to help caseworkers assess incoming abuse, neglect, or exploitation reports to make informed decisions.	

B. Self-Assessment

A.B1.0 2	Efficiently facilitate the screening of referrals, including the reduction, or elimination, of duplicate referrals.	
A.B1.0 3	Reduce the need for investigators to communicate with intake workers to clarify information.	
A.B1.0 4	Provide an individual's case history in a timely and accurate manner.	
A.B1.0 5	Support referral assignment and workload management.	
A.B1.0 6	Provide audit documentation of intake activities to support documentation of searches and related intake activities.	

Part Two - Foundational Requirements

Foundational Requirements identify conditions to comply with CCWIS Project requirements at 45 CFR § 1355.52. These apply whether staff enter data directly into the CCWIS, or data is imported, through a data exchange.

In this section, the title IV-E agency may document components, factors, and design elements of the function(s) or exchanges that support CCWIS foundational requirements. We encourage agencies to simplify their responses by referencing submitted documentation, such as APDs or attach screen shots, system documentation, training materials, survey data, and agency policy or procedures.

In the **Evidence the Module & Exchanges Support the Foundational Requirement** column, include information such as:

- feedback from end users;
- how the module was designed to be user-friendly and streamline work;
- data the CCWIS maintains;
- reports the CCWIS generates or contributes to;
- user-interfaces features; and
- automated processes and other design features.

If a question is not applicable to the intake function, indicate "N/A" and explain why it is not applicable. For example, other functions in the CCWIS may address the relevant foundational requirements.

#	Foundational Requirement	Evidence the Module & Exchanges Support the Foundational Requirement
A.B2.01	Support the federal and state or tribal practice model.	
A.B2.02	Support evaluation and reporting requirements.	
A.B2.03	Maintain data to support federal audits, reviews, and other monitoring activities, <u>including</u> title IV-E eligibility reviews and required federal reporting.	

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#	Foundational Requirement	Evidence the Module & Exchanges Support the Foundational Requirement
A.B2.04	Data is consistently and uniformly collected by CCWIS, exchanged with external systems, and, if applicable, CWCA systems.	
A.B2.05	Data is not created by default or inappropriately assigned.	
A.B2.06	Data must be exchanged and maintained according to confidentiality requirements in section 471(a)(8) of the Social Security Act (the Act), 45 CFR 205.50, and 42 U.S.C. 5106a(b)(2)(B)(viii) through (x) of CAPTA, if applicable, and other applicable federal and state or tribal laws.	
A.B2.07	For states, data is included that supports specific measures taken to comply with the requirements in section 422(b)(9) of the Act regarding the state's compliance with the Indian Child Welfare Act.	
A.B2.08	Allows approved users to merge person and/or child welfare history.	

RESOURCES

The Functional Process Factors, Data Elements, and Additional Considerations below are examples, not an exhaustive list of functional requirements, that the title IV-E agencies may consider in developing an intake function. Title IV-E agencies are encouraged to collect data required to support child welfare program outcomes, needs of respective users, and CCWIS and program regulations.

Resource 1: Functional Process Factors

Resource 2: Data Elements

Resource 3: Additional Considerations

Resource 1 - Functional Process Factors

Functional Process Factors identify useful *processes* to achieve an efficient, economical, and effective CCWIS, as defined at 45 CFR § 1355.52. A title IV-E agency is not required to have all the functional process factors listed below in the CCWIS. Function descriptions are based on historical perspectives and typical program needs gathered from previous reviews to promote the successful execution of adoption program goals. The functional process factors will evolve and title IV-E agencies may, as needed, include additional factors. Title IV-E agencies are encouraged to assess local program needs, federal and agency policies, and user-centric design as it develops, maintains, and enhances the CCWIS adoption functions to support positive program outcomes.

#	Functional Process Factors
A.C1.01	Intake functions are available 24 hours a day.
A.C1.02	Remote, or web, connectivity for users.
A.C1.03	Person and/or case search allows quick and user-friendly access and usability of historical data.
A.C1.04	Allows documentation of why the agency closed or otherwise did not pursue an intake referral.
A.C1.05	Supports cross-jurisdictional efforts to investigate and/or provide services.
A.C1.06	Allows restrictions to user access for high-profile and/or sensitive cases under state or tribal laws and policies.
A.C1.07	Supports the integrity of information as reported and allows for auditable changes/updates to the record.
A.C1.08	Assigns an agency defined risk, or priority level (such as response time or alternative response path), for investigation action.
A.C1.09	Informs and collects information from law enforcement, if appropriate and practicable.
A.C1.10	Supports and tracks supervisory reviews and feedback with automated functions.
A.C1.11	Provides for second party evaluation of the available information to evaluate intake resolution.
A.C1.12	Supports the appropriate level of confidentiality of all information in the CCWIS.
A.C1.13	Supports the intake and assessment process with a streamlined ability to search the CCWIS and external state/tribal systems.
A.C1.14	Assigns a unique ID to each person or links to existing an ID if the person is already documented in the system.
A.C1.15	Assigns a screened-in report to the appropriate worker/jurisdiction with notification to the worker, supervisor, and other agency-identified recipients.
A.C1.16	Provides the ability to alert or notify staff of casework activities per the federal, state, and local child welfare policies.

Resource 2 - Data Elements

The Data Elements section identifies examples of useful *data elements* to achieve an efficient, economical, and effective CCWIS, as defined at 45 CFR § 1355.52. Data Elements evolve and title IV-E agencies may include additional elements to support local program needs.

#	Data Elements
A.C2.01	All federal and title IV-E agency Data Elements required for program administration, federal and agency reporting, and audits typically captured during Intake. Examples of federal reports include NCANDS and the Adoption and Foster Care Analysis and Reporting System.
A.C2.02	Carries data forward to other functions to support: <ul style="list-style-type: none"> • Investigation; • Alternative Response; • Services Referrals; • Case Management; and • Title IV-E Eligibility.
A.C2.03	Dates and summaries of previous allegations, investigations, and alternative response efforts.
A.C2.04	All abuse, neglect, exploitation, and/or abandonment categories and conditions noted in state or tribal law and policy.
A.C2.05	All demographic and contact information required by state or tribal law and policy.
A.C2.06	All information to support prevention and/or preservation efforts.
A.C2.07	Information to report child abuse or neglect cases which result in a child fatality or near fatality as required by federal and state or tribal policy and law.

Resource 3 - Additional Considerations

The Additional Considerations section describes useful features agencies may wish to incorporate into the CCWIS design/features.

#	Additional Considerations
A.C3.01	Access via mobile device (e.g., phone or tablet) application.
A.C3.02	Automatically records intake time/date.
A.C3.03	Function provides link to agency's intake policy or practice guidance documents.
A.C3.04	Forwards referrals for other services.
A.C3.05	Collects information to support worker safety.
A.C3.06	Syncs or exchanges with call-center software, if applicable.
A.C3.07	Provides voice-to-text recording of intake referrals.
A.C3.08	Provides data analytics of high-risk factors.
A.C3.09	Links to screening referral criteria to support decision-making.
A.C3.10	Filters search results to have quick access to history.

We encourage agencies to add examples of additional considerations from their intake function they wish to highlight.

#	Agency-Submitted Additional Considerations