

## CASE MANAGEMENT

v1.0

### Definition

The Administration for Children and Families (ACF) has not specifically defined the term “case management” because states and tribes define case management differently due to varying laws, policies, and practices. However, ACF considers examples of case management activities to include the collection and updating of information such as child and family histories, assessments, contact notes, calendars, services recommended and delivered, eligibility for programs and services, and client outcome activities.<sup>1</sup>

Collecting information on case management activities in the Comprehensive Child Welfare Information System (CCWIS) enables the title IV-E agency to comply with federal reporting requirements and supports the title IV-E agency’s ability to track case management provided to children and families to either prevent placement in foster care, or for those children in foster care, to achieve permanency and ensure safety and well-being.

### 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.

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

<sup>1</sup> 80 FR 48199

PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) STATEMENT OF PUBLIC BURDEN: Through this information collection, 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.

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 – Background Information

A title IV-E agency may use this self-assessment tool to collect information on the users and external systems associated with a CCWIS case management function and any 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 case management function, indicate “N/A” and provide the reason why it is not applicable.*

**C.A.01** Date this assessment was completed.

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**C.A.02** Provide a brief description of the implementation approach, status, and target dates for the case management function(s) 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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**C.A.03** If the function supports programs beyond the child welfare program (such as Juvenile Justice or Adult Services), please identify the other program areas below.

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**C.A.04** Is this function, or external system(s), accessed by users who are not employees of the title IV-E 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

**C.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

**C.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 case management 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 case management 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
C.B1.01	Support efforts to identify, match, and refer children and their families to services.	
C.B1.02	Track the type, duration, frequency, and documentation of services.	

## B. Self-Assessment

#	Program Goal	Evidence the Module & Exchanges Support the Program Goal
C.B1.03	Support case plan monitoring to prevent placement in foster care, achieve timely permanency, meet the needs of clients, and monitor risk and safety.	
C.B1.04	Document and track case management activities for: <ul style="list-style-type: none"> <li>• Out-of-Home/Foster Care;</li> <li>• Adoption;</li> <li>• Independent Living;</li> <li>• Interstate Compact for the Placement of Children (ICPC);</li> <li>• Human Trafficking;</li> <li>• Indian Child Welfare Act (ICWA);</li> <li>• Family Preservation, Diversion, and/or Alternative Response;</li> <li>• Voluntary Services; and</li> <li>• Prevention Plan Services.</li> </ul>	
C.B1.05	Maintain a case history, to include case plans, client and collateral contacts, and case notes.	
C.B2.06	Track agency-defined program outcome measures.	
C.B2.07	Provide consistent, timely, and accurate information in a streamlined manner to help workers monitor cases to make informed decisions.	
C.B2.08	Support the documentation of efforts to engage families.	

**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 case management 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
C.B2.01	Support the federal and state or tribal practice model.	
C.B2.02	Support federal and state or tribal program goals, outcomes, and reporting requirements.	
C.B2.03	Maintain data to support federal audits, reviews, and other monitoring activities, <u>including</u> title IV-E eligibility reviews and	

## B. Self-Assessment

#	Foundational Requirement	Evidence the Module & Exchanges Support the Foundational Requirement
	required federal reporting.	
<b>C.B2.04</b>	Data is consistently and uniformly collected by CCWIS, exchanged with external systems, and, if applicable, CWCA systems.	
<b>C.B2.05</b>	Data is not created by default or inappropriately assigned.	
<b>C.B2.06</b>	Automated functions exist to prevent the need to re-enter data already captured or exchanged with the CCWIS.	
<b>C.B2.07</b>	Provide an audit trail of activities to achieve timely permanency, including periodic reviews of children in care at least every 6 months and permanency hearings of children in care every 12 months.	
<b>C.B2.08</b>	Data is exchanged and maintained under 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 the Child Abuse Prevention and Treatment Act, if applicable, and other applicable federal and state or tribal laws.	
<b>C.B2.09</b>	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.	

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## RESOURCES

The Functional Process Factors, Data Elements, and Additional Considerations below are examples, not an exhaustive list of functional requirements, the title IV-E agencies may consider in developing a case management 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 child welfare 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 case management functions to support positive program outcomes.

#	Functional Process Factors
<b>C.C1.01</b>	Includes calendar-based notices or reminders related to key milestones, such as court dates and case plan due dates.
<b>C.C1.02</b>	Supports the generation of documents, management reports, alerts, bulletins, and notices related to case management and services.
<b>C.C1.03</b>	Supports direct entry and/or bi-directional exchange with CWCA's and systems external to CCWIS used by title IV-E agency staff to collect CCWIS data.
<b>C.C1.04</b>	Supports the ability of caseworkers to document and monitor the completion of case plan activities.
<b>C.C1.05</b>	Supports supervisory review and approval of case plan and case plan updates.
<b>C.C1.06</b>	Maintains a current and historical record of health and dental records, immunizations, known medical problems, and prescriptions.
<b>C.C1.07</b>	Maintains a current and historical record of school placement and performance for children and youth.
<b>C.C1.08</b>	Imports or tracks the decisions and/or outcomes of court-related factors, such as the timeliness of hearings, involvement of guardians, notice to participants, etc.
<b>C.C1.09</b>	Supports community partnerships and allows feedback and communication from service providers, schools, foster youth, foster parents, etc. to share information through portals or direct entry into the CCWIS.
<b>C.C1.10</b>	Tracks the primary and concurrent goals for each child involved.
<b>C.C1.11</b>	Streamlines the referral process to providers of treatment and placement services. Tracks referral initiation and outcomes.
<b>C.C1.12</b>	For states, provides electronic support for ICPC.
<b>C.C1.13</b>	Supports the integrity of information as reported and allows for auditable changes/updates.
<b>C.C1.14</b>	Includes automated functions that support and track supervisory reviews and feedback.

## 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
<b>C.C2.01</b>	All federal and IV-E agency Data Elements required for program administration, federal and agency reporting, and audits typically captured during case management activities. Examples of federal reports include the National Youth in Transition Database (NYTD), for states, and the Adoption and Foster Care Analysis and Reporting System.
<b>C.C2.02</b>	Information to conduct case planning activities, to include: <ul style="list-style-type: none"> <li>• Strengths and needs</li> <li>• Goals and objectives</li> <li>• Permanency goals</li> <li>• Service needs and referrals, including provider information</li> </ul>
<b>C.C2.03</b>	Narrative case notes and case contacts to incorporate into the IV-E agency's official case record.
<b>C.C2.04</b>	Court information to include dates and outcomes: <ul style="list-style-type: none"> <li>• Removal;</li> <li>• Adjudication;</li> <li>• Reasonable efforts, contrary to the welfare, best interest judicial determinations;</li> <li>• 6-month reviews;</li> <li>• 60-day court reviews or placements in Qualified Residential Treatment Programs;</li> <li>• “Best interest” determinations for voluntary placements;</li> <li>• Annual permanency hearings; and</li> <li>• Other, relevant hearings.</li> </ul>
<b>C.C2.05</b>	Documents and maintains records of family partnership meetings and family participation in the development and on-going execution of the case plan.
<b>C.C2.06</b>	Information to conduct credit checks at required intervals for youth in foster care.
<b>C.C2.07</b>	For states, information to locate and engage youth formerly in foster care for the NYTD survey.
<b>C.C2.08</b>	Information to support the creation and execution of a title IV-E prevention plan for a child.
<b>C.C2.9</b>	Information to track initiation and/or completion of referrals to service providers.
<b>C.C2.10</b>	Information on current and historical medical, dental, mental health, and educational stability.
<b>C.C2.11</b>	All demographic and contact information required by state or tribal law and policy.

**Resource 3 - Additional Considerations**

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

#	Additional Considerations
C.C3.01	Access via mobile device (e.g., phone or tablet) application.
C.C3.02	Provides online support to include the agency’s case management policy or practice guidance documents, Help, FAQ, and/or chat.
C.C3.03	Supports the ability of families to monitor completion of their case plan activities.
C.C3.04	Supports community partnerships and allows feedback and communication to share information through exchanges or export functions.
C.C3.05	Provides online support to include Help, FAQ, and/or chat.
C.C3.06	Provides information and tools in multiple languages based upon needs of the target population.
C.C3.07	Provides easy and secure access for care providers to upload documents, such as training certificates, photos, receipts, supporting case paperwork, etc.
C.C3.08	Allows secure communication between the case worker and clients.
C.C3.09	Generates alerts based on predetermined case milestones.
C.C3.10	Allows portal or direct access for youth formerly in foster care to access case records, photos, and information for ongoing education, job searches, and personal history.
C.C3.11	Generates notices for family partnership meetings.

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

#	Agency-Submitted Additional Considerations