

ADMINISTRATION

v1.0

Definition

The administration function is core to the Comprehensive Child Welfare Information System (CCWIS) application infrastructure to manage and route reference data required to complete the agency’s business functions. The administration function may be a singular component of the CCWIS solution, or multiple components working together to provide the needed functions. The function includes processes that provide the ability to configure reference data such as pick lists, role-based security mappings, organizational structure, staff information, office automation, online documentation, archive, purge and, workflow/workload management.

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 | G.A.xx |
| Self-Assessment – Part One – <i>Administrative Goals</i> | G.B1.xx |
| Self-Assessment – Part Two – <i>Foundational Requirements</i> | G.B2.xx |
| Resources – Functional Process Factors, Data Elements, & Additional Considerations | G.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 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 type of users and external systems associated with a CCWIS administration 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 administration function, indicate "N/A" and provide the reason why it is not applicable.*

System Overview

G.A.01 Date this assessment was completed.

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G.A.02 Name of the system or module(s) included in this self-assessment.

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

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G.A.07 Provide a brief description of the lessons learned and recommendations related to administrative practices and processes to share with other agencies. If needed, attach or reference examples.

Part One - Administrative Goals

The Administrative 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 administrative goals noted below are common system 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 administration function. We encourage agencies to simplify their responses by referencing previously 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 Administrative 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 administrative goals, please include them below and add new rows, as needed.

If a question is not applicable to the administration function, indicate "N/A" and provide an explanation of why it is not applicable. For example, other functions in the CCWIS may address the program goals.

| # | Administrative Goal | Evidence the Module & Exchanges Support the Administrative Goal |
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| G.B1.01 | Protect hardware, software, telecommunications network, and data from damage, destruction, loss, fraud, and | |

B. Self-Assessment

| # | Administrative Goal | Evidence the Module & Exchanges Support the Administrative Goal |
|----------------|---|---|
| | abuse. | |
| G.B1.03 | Provide hardware and software security that include contingency and disaster recovery functions/processes if an emergency occurs. | |
| G.B1.04 | Provide for purging and/or archiving of inactive records, closed cases, and any other data as authorized by regulation or agency policy. Please address how long information is maintained in the system; how information is archived; whether the information can be sealed and unsealed; and, if the agency used or tested the process. | |
| G.B1.05 | Track who enters, views, and changes information. Include a timestamp and any other details necessary for auditing purposes. | |
| G.B1.06 | Collect staff information to assign, route, and approve work. | |
| G.B1.07 | Generate and store online system documentation that supports casework activities. | |
| G.B1.08 | Provide office automation capabilities to support casework efficiencies. | |
| G.B1.09 | Provide the capability to globally search, assess returned matches and possible duplication, and select various entities of work (e.g., referrals, cases, clients, providers, collaterals, etc.). | |

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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 are 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 previously 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 administration function, indicate "N/A" and provide explanation of 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 |
|---------|---|--|
| G.B2.01 | Support federal and state or tribal program goals, outcomes, and reporting requirements. | |
| G.B2.02 | Maintain data to support federal audits, reviews, and other monitoring activities, including a title IV-E eligibility review. | |
| G.B2.03 | Data is consistently and uniformly collected by CCWIS, exchanged with external systems, and, if applicable, | |

| # | Foundational Requirement | Evidence the Module & Exchanges Support the Foundational Requirement |
|----------------|---|--|
| | CWCA systems. | |
| G.B2.04 | Data is not created by default or inappropriately assigned. | |

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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 an administration 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 |
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| G.C1.01 | Assists the agency with creating and maintaining employee information, certifications, training, security access, and organizational assignments. Provides foundation data to assign workloads, workflow routing, and casework approvals. |
| G.C1.02 | Facilitates and manages the flow of work from opening to case closure. |
| G.C1.03 | Provides role-based security that allows case access and updating, per the staff casework roles and responsibilities. |
| G.C1.04 | Provides the ability to alert or notify staff of casework activities per the federal, state, and local child welfare policies. |
| G.C1.05 | Supports the generation, storage, and organization of online documentation within the specific casework activity. Documents must only be accessible by staff with the appropriate case access. |
| G.C1.06 | Ensures assignment throughout the life of a case so that “no case gets lost”. |
| G.C1.07 | Supports the creation of the organizational structure in an automated configurable matrix to facilitate casework assignment, case routing, and workflow approvals. |
| G.C1.08 | Provides the capability to schedule and execute automated archive and purge functions aligned with the state/tribal data-retention policies. |
| G.C1.09 | Supports the effective use of office automation tools accessible within the casework activity. |
| G.C1.10 | Provides a timely method to configure reference data sets as policy changes dictate. |
| G.C1.11 | Supports the automation of workflow business processes to reduce manual case processes and untimely case actions. |
| G.C1.12 | Generates and stores online documentation across the application. The solution should record the date that the document was generated, who generated the document, and be stored within the casework entity from which it was generated. |
| G.C1.13 | Uses office automation tools such as calendaring, spell check, and cut-and-paste throughout the application. |

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 |
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| G.C2.01 | Data used to document and maintain staff information to assign, route, and manage workloads such as: <ul style="list-style-type: none"> • First, middle, and last names; • Staff location; • Position; • Position start and end date; • On-call employee status; • Assigned supervisor; and • Professional certifications/licensures. |
| G.C2.02 | Data used to create organizational units to assign, route, and manage workloads such as: <ul style="list-style-type: none"> • County/region; • Executive office; • Administration; • Program; and • Unit. |
| G.C2.03 | Data used to provide the capability to approve, reject, and return specific work activities throughout the organization. Each approval/rejection disposition should store the staff name, staff id, date of request, and date of disposition. |
| G.C2.04 | Information to create and store role-based security categories that provide access, read, update, delete, route, and approve functions to the appropriate staff. The solution should record who granted specific securities to a specific user and when that security was granted. |
| G.C2.05 | Data used to create, store, and assign user-specific profiles to access needed work entities. |
| G.C2.06 | Data used to create, store, and route tickler/reminders to the appropriate staff as determined by the work activity started, completed, or in progress. |

Resource 3 – Additional Considerations

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

| # | Additional Considerations |
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| G.C3.01 | Provide comprehensive staff information (e.g. role/title, hierarchy, and contact information) that may exist in multiple agency and human resource systems. Collect data in CCWIS and/or exchange data with the human resource system for the collection of staff information, certifications, on call assignments, trainings, and organizational information. |
| G.C3.02 | Generate alerts when staff information (e.g., security training or passwords) is expiring or requires updating. |
| G.C3.03 | Provide workload dashboards with functions to sort, filter, and show alerts for workers to effectively manage their workloads and prioritize casework activities. |
| G.C3.04 | Extend workload dashboards to include key casework performance and/or assessment outcome metrics to prioritize casework activities. |
| G.C3.05 | Provide integrated office automation tools to facilitate worker efficiencies by integrating system and agency calendars, escalating alerts with visual icons, including word count and spell check, and accessing the agency's policy information both globally and within narrative fields. |
| G.C3.06 | Timely execution of automated archive and purge processes to comply with state/tribal statutes and agency policies. |
| G.C3.07 | Generate online documentation within the specific casework function when initiated by the caseworker. |
| G.C3.08 | Store and organize online documentation by the assigned intake, case, provider, or client to allow for easy access to specific casework documentation. |
| G.C3.09 | Provide the ability for online documentation storage to include system-generated documents, pictures attached to the casework activity, voice-recording files, and electronically signed documents. |
| G.C3.10 | Provide an online organizational structure aligned with the agency's organizational structure for the correct assignment, routing, approval, and disposition of casework activities. |
| G.C3.11 | Ensure that all open cases are always assigned to a staff person or unit. |
| G.C3.12 | Track the full cycle of approvals or disapprovals from the requesting worker to the final approver, return disapprovals, and alert all appropriate stakeholders of the casework activity disposition. |
| G.C3.13 | Provide configurable functions to select specific data fields and screens to assign read and write update capabilities. |
| G.C3.14 | Allow the creation of standard user profiles to support role-based security. |
| G.C3.15 | Provide the ability to auto start and end date role-based security. |
| G.C3.16 | Provide the ability for cases and providers to be closed when no longer active. |

We encourage agencies to add examples of additional considerations from their administration function(s) they wish to highlight.

| # | Agency-Submitted Additional Considerations |
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