



**STATE OF MICHIGAN**

**MICHIGAN DEPARTMENT OF HUMAN SERVICES  
SACWIS PLANNING:  
GAP ANALYSIS  
AND  
NEEDS ASSESSMENT**

**October 8, 2009**

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## ACRONYMS

The following acronyms are referenced throughout this deliverable. Their definitions are listed below.

Acronym	Definition
ACF	Administration for Children and Families
ACF-OISM	Administration for Children and Families-Office of Information Systems Management
ACH	Automated Clearing House
AFCARS	Adoption and Foster Care Analysis and Reporting System
APD	Advanced Planning Document
AR	Accounts Receivable
ASFA	Adoption and Safe Families Act
BCAL	Bureau of Children and Adult Licensing
BITS	Bureau Information Tracking System
CAPTA	Child Abuse Prevention and Treatment Act
CAN	Child Abuse and Neglect
CANS	Child Assessment of Needs and Strengths
CCF	Child Care Funds
CFSR	Child & Family Services Review
CHAMPS	Community Health Automated Medicaid Processing System
CMS	Case Management System
COTS	Commercial Off the Shelf
CPA	Child Placing Agency
CPN	Child Placing Network
CPS	Child Protective Services
DCDC	Detailed Case Data Component
DCH	Department of Community Health
DHS	Department of Human Services
DTMB	Department of Technology, Management and Budget
DOB	Date of Birth
DOC	Determination of Care
DOR	Department of Revenue
EBT	Electronic Benefit Transfer
EFT	Electronic Funds Transfer
EPIC	Estates and Protected Individual Code
FAJ	Foster Care, Adoption and Juvenile Justice
FANS	Family Assessment of Needs and Strengths
FC	Foster Care
FICA	Federal Insurance Contributions Act
GAP	Guardianship Assistance Program
GUI	Graphical User Interface
HIPAA	Health Insurance Portability and Accountability Act



Acronym	Definition
ICAMA	Interstate Compact on Adoptions and Medical Assistance
ICPC	Interstate Compact on the Placement of Children
ICWA	Indian Child Welfare Act
ID	Identification Number
IOW	Indian Outreach Worker
IRS	Internal Revenue Service
ISP	Initial Service Plan
ISP/USP	Initial Service Plan/Updated Service Plan
IT	Information Technology
IV-A	Title IV-A of the Social Security Act (i.e., TANF)
IV-D	Title IV-D of the Social Security Act (i.e. Child Support)
IV-E	Title IV-E of the Social Security Act (i.e., Foster Care and Adoption Assistance)
JJ	Juvenile Justice
JJOLT	Juvenile Justice Online Technology
MAIN	Michigan Administrative Information Network
MARE	Michigan Adoption Resource Exchange
MCI	Michigan Children's Institute
MiCSES	Michigan Child Support Enforcement System
MMIS	Medicaid Management Information System
MPS	Model Payment System
NCANDS	National Child Abuse and Neglect Data System
NIST	National Institute of Standards and Technology
NRE	Non-Recurring Expenses
NYTD	National Youth in Transition Database
OCAL	Office of Children and Adult Licensing
OCR	Optical Character Recognition
OSE/RM	Open System Environment Reference Model
P2E	Path to Excellence
PATP	Parent Agency Treatment Plan
POS	Purchase of Service
RFP	Request for Proposal
SACWIS	Statewide Child Welfare Information System
SARGe	SACWIS Assessment Review Guide
SDC	Summary Data Component
SDM	Structured Decision Making
SME	Subject Matter Expert
SOW	Statement of Work
SS	Social Security
SSA	Social Security Administration
SSI	Supplemental Security Income
SWSS	Social Worker Service System
TANF	Temporary Assistance to Needy Families
TDM	Team Decision Making



<b>Acronym</b>	<b>Definition</b>
TIN	Taxpayer Identification Number
Title XIX	Title XIX of the Social Security Act (Medicaid)
Title XX	Title XX of the Social Security Act (Social Services Block Grant)
TPR	Termination of Parental Rights
USP	Updated Service Plan
W-2	W-2 Form (Wage and Tax Statement)
W-9	W-9 Form (Request for Taxpayer Identification Number and Certification)
WYSIWYG	What You See is What You Get
YIT	Youth in Transition
YIT/MYOI	Youth in Transition/Michigan Youth Opportunities Initiative
YOI	Youth Opportunities Initiative

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# 1 EXECUTIVE SUMMARY

The Michigan Department of Human Services (DHS) contracted FOX Systems, Inc. (FOX) to assess the most programmatically, technically and fiscally viable means to achieve federal Statewide Automated Child Welfare Information Systems (SACWIS) compliance by October 2012. This requires an evaluation of Michigan's Services Worker Support System (SWSS) and several stand alone and ancillary systems to determine whether it is more feasible to complete the development of the current SWSS to bring it into SACWIS compliance or to pursue alternative strategies to design, develop, and implement a SACWIS information technology system.

The purpose of this High Level Requirements Validation, Gap Analysis and Needs Assessment document is to:

- Develop the business, functional, and technical high-level requirements;
- Perform a gap analysis; and
- Develop a needs assessment that will guide the future planning to achieve a SACWIS compliant system by October 2012.

This document details the processes and the resulting outputs developed to identify high-level requirements and gaps between the high-level requirements and the SWSS system.

To complete this document, FOX staff initially reviewed materials regarding Michigan's DHS current practices, processes, system documentation and previously developed requirements documents. In addition, FOX staff reviewed critical documents including the Children's Rights Settlement Agreement dated October 24, 2008, the results of the Administration for Children and Families (ACF) site visits in 2006 and the follow-up visits in 2008, Technical Assessment of SWSS performed by the Enterprise Architecture team within DTMB, APD narrative of the state's analysis of the 90 SACWIS requirements with regard to SWSS and DTMB's data mart gap analysis of the Settlement Agreement. In addition to reviewing critical materials, FOX interviewed and observed staff in local offices to gain hands-on knowledge of how SWSS is used by caseworkers, supervisors, directors and child placing agency (CPA) staff in performing their job. FOX later facilitated focus groups to gain knowledge of both the "As Is" and "To Be" high level requirements.

This document represents the analysis of knowledge gained as a result of reviewing business and system documentation, interviewing and observing staff using SWSS and facilitating focus groups.

Section 2, Methodology/Approach to Identifying Business Needs, discusses in further detail activities performed regarding the onsite visits, focus groups and the resulting documentation. This section includes information regarding which local offices were visited, number of staff interviewed/observed, list of focus group topics, the method for documenting the workflow, and the results of the focus groups.

Section 3, High Level Requirements, includes tables of all of the high level requirements that were identified as a result of the local office visits and focus groups and subsequently validated by DHS subject matter experts (SMEs). The Functional, Technical and General high level requirements are introduced in this section.

Functional requirements were broken down by focus group topics to include Child Protective Services, Foster Care, Permanency, Adoption/Medical Subsidy, Fiscal and Reporting requirements.

Section 4, Gap Analysis lists the gaps that were identified by comparing the current SWSS functionality to the high level requirements as well as the requirements mandated by ACF. The 90 Mandatory and Optional requirements listed in the SACWIS Assessment Review Guide (SARGe) served as guidelines for creation of templates that were used to compare the requirements and identify and document the gaps. In addition to the Gap Overview that is found in this section, Appendix B contains the tables detailing each specific gap.

Section 5, Needs Assessment, explains the system needs that were identified by analyzing the requirements and gaps and determining what is needed to correct or close the gaps. This section identifies the background of SWSS and the current environment, the SACWIS objectives that DHS and ACF have laid out, the system enhancements and the anticipated benefits of correcting the gaps.

Section 6, Conclusion briefly describes some high level conclusions that were reached as a result of this activity.

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## **2 METHODOLOGY/APPROACH TO IDENTIFYING BUSINESS NEEDS**

This section describes the approach used to gather, assess, and prioritize the business needs to accomplish this phase of the Michigan SACWIS Planning Project. The methodology consisted of the following activities: 1.) Conduct onsite visits at local offices to gain an understanding of current business processes and the benefits and issues regarding SWSS; 2.) Facilitate focus groups to document the current (As Is) business environment and identify high level requirements; 3.) Produce and validate high level requirements as a result of the first two activities; 4.) Compare the requirements to the current functionality and identify gaps; and 5.) Determine system needs based on gaps and requirements. This section gives a brief overview of the approach to each of the major activities including onsite visits, conducting focus groups, preparation of high level requirements, gap analysis and needs assessment.

In addition to the review of critical documentation as explained in the Executive Summary above, FOX worked with DHS staff to identify appropriate local office sites, scheduled office visits, interviewed and observed staff using SWSS. Once the onsite visits were completed, FOX documented the interviews and observations of the local office visits and submitted the notes to DHS for review and comment.

Upon conclusion of the onsite visits, FOX staff worked with DHS staff to identify the schedule, participants, topics and agenda for the focus groups. Based on the review of documentation and information obtained during the onsite visits, FOX staff documented their understanding of the current business processes, handoff points and use of SWSS using Visio workflow diagrams. FOX facilitated the focus groups, made changes to the Visio workflows as a result of the focus groups, and prepared notes regarding the focus group discussion. Following the conclusion of the focus groups, FOX staff revised Visio flowcharts and notes regarding the As Is and To Be requirements discussed during the focus groups.

Based on information obtained from the onsite visits and focus groups, FOX then prepared the high level requirements and submitted them to DHS for validation, performed and documented the gap analysis and needs assessments. Interim draft documents of both the Gap Analysis and Needs Assessment were submitted to DHS for review prior to completion of this document.

### **2.1 Onsite visits**

One of the first activities performed by FOX to gain an understanding of the SWSS system included onsite visits at various DHS local offices. To ensure FOX would get an accurate representation of how the system was used and perceived throughout the state, the local offices visited ranged in size including small, medium and large, urban offices. The following sections describe the purpose, process, and results of the onsite visits.

#### **2.1.1 Purpose and Process**

The purpose of this task was to gain a hands-on understanding of how business functions are performed within the agency and how the system contributes to or hinders productivity. FOX documented the current business model within the agency for child welfare business functions so that high level system requirements and gaps could be identified.

The FOX analysts conducted onsite reviews during the months of April and May 2009. The counties that participated in the onsite reviews were: Barry, Eaton, Allegan, Kent, Ingham and Wayne. In Wayne County, there were site visits to the Central office, two satellite offices and three private agency sites. The table below identifies the dates, offices visited, and the number of staff interviewed .

**Table 1 Summary of Site Visits**

<b>Dates</b>	<b>Site Visit</b>	<b>Number of Individuals Interviewed</b>
4/21/09 - 4/22/09	Barry	10
4/21/09 - 4/22/09	Eaton	9
4/28/09 - 4/29/09	Allegan	9
4/28/09 - 4/29/09	Kent	16
4/29/2009	Bethany Christian Services	1
4/28/09 - 4/29/09	Ingham	12
4/30/2009	St. Vincent's Catholic Charities	2
5/5/09 - 5/6/09	Wayne Central Operations	9
5/6/09	Wayne South Central	11
5/7/09	Wayne Western	5
5/7/2009	Wolverine Human Services	3
5/19/2009	Holy Cross Children's Services	2
5/19/2009	Wayne Central Operations	7

*Totals: 9 days, 13 different locations, 96 individuals*

The visits, assessed how service delivery is performed by DHS and, in particular observed the use of the existing SWSS computer application and ancillary systems. These reviews contributed to the high level requirements development and resulting gap analysis. A wide range of staff were interviewed and or observed including county directors, supervisors, case workers and clerical staff. Stakeholders outside of DHS such as the private agencies (i.e., the child placing agencies) were also interviewed. During the interviews with DHS, staff were asked to explain and demonstrate how they used SWSS to perform their job tasks. They were also asked about the benefits that the system brought to their jobs as well as any issues or problems that they encountered when using the system.

During the site visits, FOX staff collected information and made general observations. The following is a breakdown of typical questions asked, but does not address everything that was covered during the onsite reviews:

- General questions regarding passwords and security
- Training and online help
- Search capability for a case, person, foster parent, investigations, and other resources
- Edits, tracking, ticklers, and supervisor notifications
- Data entry regarding intakes, investigations, case assessments, IV-E eligibility, risk assessments, case plans, and service plans
- Questions regarding permanency, adoptions, guardianships, independent living, and family preservation
- Entry of providers and payment of providers
- Court process documentation
- Staff administration
- Reporting such as Adoption and Foster Care Analysis Report System (AFCARS) and National Child Abuse and Neglect Data Systems (NCANDS)
- Additional systems used to support jobs besides SWSS
- Interfaces such as Bridges and others (IV-A, IV-D, and XIX)

Some requirements were gathered during this activity. These requirements were general in nature, and were later confirmed during the focus group discussions. These high-level requirements will be further refined in the Detailed Requirements Development activity later in the project.

### **2.1.2 Result**

Following the onsite visits, FOX documented their observations and the results of the interviews with local office staff and the CPA's. The observations of FOX staff from the onsite visits summarize what was reported and the observations may not be, in practice, the reality. The information collected varied in level of detail based on the information provided; however, at a minimum, provided a basis for the beginning of a Gap Analysis and Needs Assessment. The information gathered, reviewed, and analyzed was a critical resource to begin diagramming the high-level business model and identifying gaps.

During the onsite visits, several system concerns were consistently expressed regardless of the office visited or staff interviewed. Consistent themes regarding system issues expressed at a high level during the site visits were:

- Poor response time
- Data frequently lost
- Lack of timely help desk support
- No on-going training
- System forces user to decide whether or not a call is a CPS or Prevention before information is obtained
- Search capabilities do not support business needs
- Reports do not support business needs
- Cannot access system remotely
- Does not support private providers
- Payment for services can't be tracked

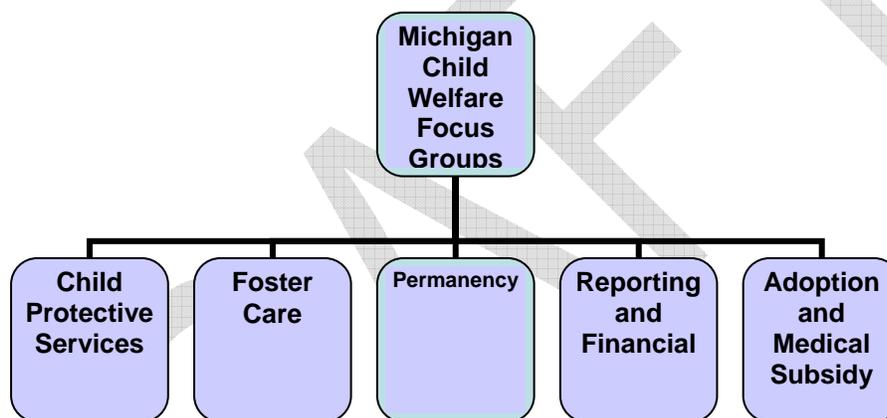
- Staff are required to complete many reports outside of the system in Word because SWSS doesn't allow flexibility to customize reports

## 2.2 Focus groups

Upon completion of the onsite visits to the DHS local offices, the next activity performed was the facilitation of informal focus groups to begin validating the high level requirements.

### 2.2.1 Purpose and Process

Once the onsite reviews were completed, FOX facilitated focus groups. The purpose of the focus groups was to ensure that the “As Is” business processes were documented so that FOX could begin the process of identifying the “To Be” processes, to support the Gap Analysis. The following Figure 1 represents a model of the structure of the focus groups.



**Figure 1 Focus Group Model**

Once the five major focus group topics were identified, the next task involved identification of the specific topics to be discussed in each of the topical business areas. The topics of discussion assisted the staff in identifying key participants depending on areas of expertise. The table below lists the subtopics that were discussed in each focus group.

**Table 2 Focus Group Topics**

Child Protective Services Topics	Foster Care Topics	Permanency Topics	Reporting and Financial Topics	Adoption and Medical Subsidy Topics
Intake	Case Management	Adoption	IV-E	Eligibility

Child Protective Services Topics	Foster Care Topics	Permanency Topics	Reporting and Financial Topics	Adoption and Medical Subsidy Topics
Investigation	Providers (Resource Mgt)	Guardianship	CFSR	MMIS Interface
Case Assignment/ Transfer	Licensing	Placement	Payments (Model)	Payments
Assessment	Legal Proceedings	Legal Proceedings	Contracts	Renewal Process
Providers (Resource Mgmt)	Juvenile Justice	Providers (Resource Mgt)	Eligibility	
Legal Proceedings	Supervisory Review Process	Supervisory Review Process	Providers (Resource Mgt)	
Service Plan	Service Plan	POS Monitoring	Renewal Process	
Supervisory Review Process	POS Monitoring	TDM	Mgt Reporting	
Contacts	ICPC		Staff Mgt.	
Screening	ICWA			
Prevention	TDM			
On-going Services				
ICWA				
TDM				

The table below identifies the dates and number of participants identified for each of the focus groups. Some of the participants physically attended the focus group sessions while others attended telephonically.

**Table 3 Summary of Focus Groups**

Focus Groups	Dates	Number of Participants (Unduplicated Count)
Child Protective Services	May 27 <sup>th</sup> -29 <sup>th</sup> , 2009	14
Foster Care	June 3-4, 2009 June 16-18, 2009	26
Reporting	June 16 <sup>th</sup> , 2009	25
Fiscal	June 17 <sup>th</sup> , 2009	12
Permanency	June 24-25, 2009	11
Adoption/Medical Subsidy	June 30th – July 1st, 2009	2
Technical	May 12-13, 2009 July 15, 2009	14

*Totals: 15 days of focus groups and 104 Participants*

To prepare for the focus group, FOX staff created an agenda, Visio flowcharts detailing our understanding of the current business processes, the corresponding system “touch points” and a list of requirements that had been obtained from either the local office visits or those requirements mandated by ACF. Prior to the focus groups, FOX reviewed the Visio workflow diagrams with DHS Business Analysts and made requested revisions.

## 2.2.2 Result

The outputs of the focus sessions were 1). Updated Visio workflow diagrams of the As Is business process 2). Notes regarding the focus group discussion 3). High level As Is and To Be requirements gathered during the focus group session.

The primary output of this activity was the high level requirements. The high level requirements were provided to the State for interim review and validation. The validation was conducted on two levels. The first level of review was submitted to the focus group participants and other individuals that were not in the sessions but were asked by DHS to review (e.g., business analysts whose expertise and responsibility fall outside the topic area being reviewed). The other area was for a management interim review.

The final versions of the requirements were sent back to those participants who provided feedback along with a log to reflect revisions requested and how the requested revision was used or not used in updating the high level requirements. The high level requirements were also sent by DHS to individuals that were not in the focus group sessions, as they were for the first level of review.

The final version of the high level requirements as well as the draft of the gap analysis and needs assessment was sent to the state for an interim review in advance of the preparation of this deliverable. The interim review schedule is shown in the table below.

**Table 4 Interim Review Schedule**

<b>Topic</b>	<b>Submission Date</b>
Technical High Level Requirements	7/29/2009
Child Protective Services High Level Requirements	7/8/2009
Reporting High Level Requirements	7/27/2009
Fiscal High Level Requirements	7/8/2009
Foster Care High Level Requirements	8/12/2009
Permanency High Level Requirements	8/5/2009
Adoption/Medical Subsidy High Level Requirements	7/29/2009
Gap Analysis	8/14/2009
Needs Assessment	8/20/2009

## 2.3 High Level Requirements

This section describes the methodology used to identify, create, and validate the high level requirements.

### 2.3.1 Preparation

The high level requirements were created from information gathered during the site visits and focus groups. Several sources were used including the notes from the site visits, the outputs from the focus groups, research of SACWIS requirements, review of other State's requirements, feedback from the review of the high level requirements, knowledge gained through the process of business analysis and working with the DHS subject matter experts (SME's).

When focus groups presented requirements, FOX documented them and will present them during the detail requirement sessions. An output of the detail requirement sessions will be refine them to be single statement requirements that can be traced through proposal, to implementation and ultimately user testing.

### **2.3.2 Documentation**

The high level functional and technical requirements included within Section 3 of this deliverable. An audit log was maintained by subject area so as to provide traceability from the original requirement to where it stands at the time of the submission of the deliverable. As stated above, not every high level requirement was identified and the opportunity to add them during the detail requirements is possible. In instances where it was not known whether the State wanted a specific item included as a requirement, an issue was added to the FOX issue tracking system for resolution.

In addition to maintaining documentation of the high level requirements on the Excel spreadsheets, FOX will upload the high level requirements to the Requirements Analysis Management System (RAMS) tool. Any modifications to the requirements loaded in RAMS will be done in the tool, which will provide audit trails of the changes. Requirements can be added at any time during the life of the project. FOX will enter the initial set of baseline requirements as well as detailed requirements into RAMS, tie the requirement to the appropriate SARGE reference, update the requirement based on the results of the detailed requirements sessions, and use them in developing the Request for Proposals (RFP) for the system.

## **2.4 Gap Analysis**

This section lists the methodology for completing the gap analysis including the preparation and documentation of gaps.

### **2.4.1 Preparation**

To prepare the gap analysis, FOX staff assessed to what extent SWSS is capable of supporting current child welfare and related business operations. Once this analysis was completed, FOX produced a Gap Analysis identifying where SWSS does not fully support current business needs.

Conceptually, the Gap Analysis is very similar to the SACWIS Assessment Review performed by ACF, except for the broader programmatic scope. The FOX team created templates using the SACWIS Assessment Review Guide Appendix B for documenting the results of the Gap Analysis. FOX extracted from the "As Is" business description to create associated system objectives to document the new system requirements during the completion of the high level requirements. FOX reviewed the Children's Rights Settlement Agreement, ACF Site Visit reports, interviewed business analyst's and staff, participated in demonstrations of SWSS, and facilitated focus groups to identify gaps. Then, FOX evaluated the current system's ability to support the high level requirements and documented when required child welfare-related functions were not supported by SWSS.

### **2.4.2 Documentation**

The inability of the current system to support requirements and business functions are summarized as gaps in Section 5 below. A "high level gaps" chart is provided to give an easy to

read picture summarizing whether a particular function was determined to be a full or partial gap or whether no gap exists. Also included in the Gap Analysis section is a listing of the high level Gap Findings. The high level Gap Findings provides examples of gaps in each of the critical areas identified in the SACWIS Assessment Review Guide (SARGe). Appendix B contains supporting details to further clarify each of the gaps listed in the Gap Findings subsection.

## 2.5 Needs Assessment

The Needs Assessment summarizes the current environment and the system needs, objectives, and anticipated benefits. The Needs Assessment was developed by gathering the business needs of DHS and the private agencies and obtaining input from DHS, DTMB, and other private agency stakeholders, such as CPAs, regarding the current SWSS strengths and weaknesses. In addition, documentation of SACWIS planning and implementation in other states was reviewed.

Once the current system functions were understood, the differences between what is required and what has currently been implemented were identified as gaps. The information obtained from the gap analysis was further analyzed and the results were used to build the needs assessment portion of this document by assessing the reasons for the gaps and the impact of these gaps on the program. Specific actions required to close these gaps were listed as system needs in Section 6 of this document. An assessment of the anticipated benefits to be realized by correcting the gap was also documented in this same section.

## 3 HIGH LEVEL REQUIREMENTS

This section provides the high level requirements identified from the outputs of the various tasks listed above. High level requirements are provided according to topic area.

### 3.1 Functional/Business Requirements

This section documents the high level business requirements for the functional needs of the users. The high level requirements are presented according to the main topics of the focus groups. The focus group topics and their scope are listed below:

1. **Child Protective Services** - reviewed the business process of CPS starting with intake (CPS, Prevention, and Guardianship) investigation phase, open for ongoing services and transfer to foster care. Included in the discussion was the creation of service plans, approval processes, and provision of services to families.
2. **Foster Care** - reviewed case management services to families both direct and POS, out of home placements including licensing, legal proceedings, assessments, service and treatment plans.
3. **Permanency** - reviewed the business process of adoption and guardianship cases as well as Independent Living for older youth. Placements, legal proceedings, assessments, and resources were also reviewed.
4. **Reporting and Financial** - reviewed the business process of determining IV-E and state funded eligibility. The use of the CFSR process, providers, contracts, and payments were also reviewed in the focus groups. Federal, state and agency-specific reporting, were also discussed.

5. **Adoption and Medical Subsidies** -reviewed the subsidy process, the MMIS Interface, eligibility, payments and renewal process.

All functional/business requirements have been validated and altered based on several DHS reviews.

## 4 GAP ANALYSIS

This section lists the gaps that were identified by comparing the high level requirements to the functionality that exists in SWSS. Subsection 4.1 lists the gaps at a higher level and follows the layout of the Requirements listed in the ACF SACWIS Assessment Review Guide (SARGe). Supporting detail for each of the gaps listed in subsection 4.1 is found in Appendix B. Finally, in this section at subsections 4.2 - 4.3, a summary of the findings is included and an easy-to-read table (Table 25 Gap Level) is provided, which lists the level of the gap (partial, full, or no gap). The latter sections provide an executive management view for distribution.

### 4.1 Gap Findings

This section is organized by functional area to conform to the structure and organization of the SARGe Appendix B questions (requirements). Within these functional areas there are multiple federal functional requirements. Each of these requirements is identified by its federal sequential number. Additionally, requirements other than SARGe were incorporated to provide a complete view of “gaps” pertaining to case management.

Each section describes at a high level the functionality currently in place, an overall rating and then individual ratings for each federal sequence number. The tables are set up with the following information:

**Section Number:** Uses the federal sequence number for easy tracking.

**Descriptive Name:** For each SARGe questions, FOX used an abbreviated descriptor to categorize each question.

**Mandatory or Optional:** Indicates if the requirement is Mandatory or Optional to meet compliance.

**Observation Finding:** Using three symbols to represent the scope of the Gap observed. These symbols are: (○ = No Gap Identified, ◐ = Partial Gap, ● = Full Gap)

These symbols are:

○ = No Gap Identified: There was no reported or observed gap.

◐ = Partial Gap: There were limitations to the current system design, defects, or business needs that prevents the requirement from being fully met.

● = Full Gap: There were too many limitations, errors or business needs to consider the requirement met or DHS has not implemented functionality to meet this requirement.

**High Level Gap Summary:** This column documents at a high level all the feedback obtained from focus groups, demonstrations of SWSS, Children’s Rights Settlement

Agreement”, ACF Site Visit Report and interviews with SWSS Business Analysts. Gaps document more than what is required in the SARGe requirement since SACWIS systems are also required to fit the business need. (Note: Section 3.2 and 3.3 of this document contains the specific notes and details received. These sections will be essential for developing detail leveled requirements)

#### 4.1.1 Intake Management - Intake - Section A

SWSS captures “Intakes” which includes both complaints and information only contacts. There is a mechanism to document, collect, and search for prior history.

- ▶ FOX identified a partial gap for Intake Section A.

ACF and Focus group participants reported the complexity in recording an intake. During the SWSS demonstration, the business analyst continuously received pop-ups (errors and informational messages). The module forced the worker to enter data in a specific order that does not match business process.

Users also reported that SWSS search functionality does not always work properly; workers must have access to all prior history and be alerted when an alleged perpetrator is a provider.

**Table 5 Intake Management -Intake Gaps – Section A**

#	Intake	Mandatory or Optional	Gap	High Level Gap Description
1	Record Contact/Referral	M	▶	No Central Hotline (Intake) Lack of flexibility System defects – Loss of data Identification of an alleged perpetrator as a provider
2	Collect Intake/Referral Information	M	▶	Cumbersome process No reciprocal relationships.
3	Search for Prior History	M	▶	System defects - Soundex errors Unable to filter searches Search results are not prioritized in SWSS but are in Bridges Ease of Use Unable to merge duplicate persons History is incomplete
4	Record “Information Only” Contacts	O	○	Gaps need to be revisited with implementation of centralized intake

### 4.1.2 Intake Management - Screening - Section B

SWSS provides the users questions to assist in the evaluation of the intake and records the results of a “Screening”. The system can screen in or out “complaints”. Additionally, there is a mechanism to establish and assign a case record.

- ▶ FOX identified a partial gap for Screening Section B.

Focus group participants reported the complexity in establishing and assigning cases. SWSS uses a person centric case model and companionates cases to establish households. During the SWSS demonstration, the business analyst demonstrated numerous steps when establishing a case which included a registration process. It was reported that if a registration is not completed correctly, a developer has to correct the error. Additionally, when a case is de-companionated workers lose the family history.

Furthermore, users reported that SWSS assignments do not include private agency workers and are not always up to date. Restrictions on who can add and remove case assignments cause problems when counties share cases (courtesy cases). Also, secondary workers can only enter case notes.

When completing an assignment, users are not provided any information on caseloads/case weights, locations or demographics (only names) to determine which worker should receive the next case. Additionally, when assigning a new complaint from a central unit there is no mechanism to “suggest” the routing based on the address of the family.

**Table 6 Intake Management - Screening Gaps – Section B**

#	Screening	Mandatory or Optional	Gap	High Level Gap Description
5	Evaluate Intake Information	M	○	No Gaps Reported
6	Record Results of Screening Evaluation	M	▶	Partial gap due to the system not displaying the history on the screen at intake.
7	Establish Case Record	M	▶	Cumbersome process Loss of history (data) when de-companionating cases
8	Assign Case to Worker	M	▶	SWSS not designed to assign cases/complaints from a Central Location. Secondary assignments unable to update information outside of contacts. Not all assignments are listed in the case (private agency workers). Manual process to determine caseload management. No caseload information or case weighting used to support assignment decision. Manual logs to track cases files. Unable to remove case assignment when work is complete. These are assigned when the adoption is finalized.

#	Screening	Mandatory or Optional	Gap	High Level Gap Description
9	Refer for Investigation and/or Services	M	▶	Unable to emphasize priority 1 and 2 Intakes on the case listing screen.

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### 4.1.3 Intake Management - Investigation - Section C

SWSS provides the mechanism to collect and record investigations and decisions as well as generate documents to support the investigation process.

- FOX identified a partial gap for Investigation Section C.

SWSS investigation (CPS Module) is not intuitive and investigators have to complete various pages and pop-ups to record the investigation and findings. Supervisors print and review investigations since it's too difficult to review online.

Focus group participants reported that SWSS does not support multi-county investigations, allegations against providers and the necessary alerts and ticklers. Additionally, SWSS uses narratives to record information that requires discrete fields for reporting and tracking.

**Table 7 Intake Management – Investigation Gaps – Section C**

#	Investigation	Mandatory or Optional	Gap	High Level Gap Description
10	Collect and Record Investigation Information	O	▸	No record of allegation information on providers. System does not support multi-county investigations SWSS does not have an intuitive flow to work process Remote use is available and functional but cost constraints limit use.
11	Record Investigation Decision	M	▸	CPS disposition entry is not intuitive. Supervisors print investigation findings since there is no summary page that displays what has been completed. No record when the fatality review was completed. Focus groups reported that findings are in narratives not discrete fields.
12	Generate Documents As Needed in Response to Investigation	M	▸	Notifications are not always received (email notifications via GroupWise). Ticklers are not used appropriately and do not cover all major events. No notification to workers of complaints and investigations on foster care providers. Manual process to notify a supervisor that an intake requires processing. Critical ticklers do not escalate as needed. (Reported that some users just ignore ticklers)

#### 4.1.4 Intake Management - Assessment - Section D

SWSS provides the mechanism to perform and record the risk assessment. The system has an automated questionnaire that supports the risks evaluation.

SWSS contains a Child Assessment Needs and Strength (CANS) tool to collect and record special needs/problems. The system contains a case notes section to capture contacts and allows users to add an addendum on a frozen note. SWSS can also generate referrals to agencies.

- FOX identified a partial gap for Assessment Section D.

SWSS assessment tools are more intuitive than other areas but consist of similar gaps as Investigations. Users have to complete various pages and pop-ups to record the risks and special needs. Focus group participants reported printing and reviewing these assessments since it's too difficult to review online. SWSS does not have discrete fields to capture some of the special needs and diagnosis required for reporting. Also, SWSS does not record emergency medical/dental/mental health services are needed and if they were received.

FOX also identified case notes as a high risk policy issue since users are not entering in all contacts. It was reported that entering in contacts is time consuming and does not contain a mechanism to search for specific contacts. Focus group participants reported that SWSS can generate referrals but there is a great deal of dependence on paper files and forms.

**Table 8 Intake Management – Assessment Gaps – Section D**

#	Assessment	Mandatory or Optional	Gap	High Level Gap Description
13	Determine and Record Risk Assessment	M	▸	Supervisors print Assessments to review for approval
14	Perform Risk Assessment	O	○	No Gaps
15	Collect and Record Special Needs/Problems	M	▸	Link to the CANS tool is not intuitive. Special needs and problems (health, medical, educational) are not all inclusive in SWSS.
16	Determine and Record Needed Services	M	▸	Does not record emergency medical/dental/mental health services are needed and if they were received.
17	Record Client Contacts	O	▸	Missing the date stamp and name of person adding the supplemental information. Do not have the ability to multi-select from a list of common contact types Unable to record contacts while in the field. Users do not enter in all contacts – focus is on policy driven contacts instead of all contacts. Does not include a comprehensive list of all contacts and allow searching and sorting.

#	Assessment	Mandatory or Optional	Gap	High Level Gap Description
18	Prepare and Record Referrals to other Agencies	O	•	There is still a "great deal of dependence" on paper case files to supplement the electronic case record. Referrals do not include funding information.
19	Collect and Record further Case Information	O	•	Missing data: such as Psychological Evaluations, Provider Reports, Drug Screen Results, Medical Evaluations, Dental Information and TDM
20	Generate Documents, Notices and Reports Based on Review	M	•	Reports do not always match what is documented on the screens (data quality issues on reports) Reported that all CPS history was not loaded into the data warehouse. This is due to deficiencies in the legacy Mapper system data where unique client identifiers were not used so data could not be successfully linked, converted and uploaded. The specific data need for some management reports are not captured in the system. RS and Perp letters missing data after it has been entered.

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#### 4.1.5 Initial Eligibility Determination - Section A & B

SWSS provides the mechanism to perform IV-E initial eligibility determinations and re-determinations (but not for IV-E Adoptions Subsidy) and provides the mechanism to track legal and placement information.

- FOX identified a partial gap for Eligibility Section A & B.

It was reported that Funding Specialist are dependent on paper files to complete a determination. All data used to support the determination should be included in the electronic case record for auditing purposes.

DHS uses an ancillary system to record Adoption Subsidy IV-E eligibility determinations.

**Table 9 Initial Eligibility Determination Gaps – Section A and B**

#	Initial Eligibility Determination (Section A)	Mandatory or Optional	Gap	High Level Gap Description
21	Determine Title IV-E Eligibility	M	▸	Data Entry Errors Delay in eligibility determination. Eligibility removal questions are not completed by the individual that removed the child. Funding Specialist use paper files to gather and verify information for determination. Does not include eligibility determination for adoption subsidy
22	Record/Track Legal Requirements (judicial determination)	M	▸	Errors found are not always corrected. (Legal information for Adoption Subsidy System and SWSS may not align.) Data Entry Errors in Legal – “a lot of time is spent cleaning up records”.
23	Determine/Track IV-E Eligibility in Out of Home Placement	M	▸	Funding Specialists track the status of all relative licensing on a manual log (Excel Spreadsheet). Manual revision of the authorization when eligibility changes are required.
24	Verify Eligibility for Other Programs	M	▸	Delay in obtaining Medical Cards (CPAs cannot obtain these cards)
25	Record Authorization Decisions	M	▸	Subsidy and eligibility payment component is not currently in SWSS
26	Generate Documents Related to Eligibility Determination	M	○	System generates ticklers - no gap reported

#	Changes in Eligibility (Section B)	Mandatory or Optional	Gap	High Level Gap Description
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#	Changes in Eligibility (Section B)	Mandatory or Optional	Gap	High Level Gap Description
27	Re-determinations (a. & b.)	M	▶	Same gaps as identified above
28	Generate Documents Related to Eligibility Determination (a., b. c. & d.)	M	▶	Manually tally the numbers of children that are state funded and number that are IV-E eligible.

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#### 4.1.6 Case Management - Service/Case Plans - Section A

SWSS provides the mechanism to create treatment plans and service plans. These plans track individual services necessary for each participant. The service plan (used for a court report) does provide a comprehensive update on the fundamentals of the case. The system has provider search functionality but it's limited and does not meet the SARGe, Settlement Agreement or DHS business needs.

- ▶ FOX identified a full gap for Service/Case Plans Section A.

The use of ancillary systems does not comply with the guidelines of one case management system. Not all cases are stored in SWSS. Private Agencies are not SWSS users therefore they do not have access to electronic case information and they do not update their service plans in SWSS. Adoptions, Adoption and Guardianship Agreements, Youth in Transition, Family to Family initiative, Interstate processes, and Prevention cases are not supported. Service plans require concurrent planning (goals), measurable outcomes, and various data fields required to meet the settlement agreement.

Provider matching based on child criteria is not in SWSS. The practice of matching children needs with placement providers does not match industry best practice. In addition, users reported the process in Wayne County's system Child Placing Network (CPN) is cumbersome and restrictive.

**Table 10 Case Management – Service/Case Plans Gaps -Section A and B**

#	Service/Case Plans	Mandatory or Optional	Gap	High Level Gap Description
29	Prepare and Document Service/Case Plan	M	▶	<p>Youth in Transition is not supported.</p> <p>Private Agencies (CPA) are not SWSS users and they do not enter their service plans in SWSS.</p> <p>Does not record Adoption Subsidy and Medical Subsidy Agreements.</p> <p>Missing concurrent planning (goals)</p> <p>The user has to complete the entire service plan in order to save.</p> <p>Not all cases are stored on SWSS.</p> <p>Prevention module is not fully supported.</p> <p>Need to incorporate Family to Family initiative.</p> <p>Requires Interstate processes to be added.</p> <p>Does not contain all the data necessary to comply with the settlement agreement.</p>

#	Service/Case Plans	Mandatory or Optional	Gap	High Level Gap Description
30	Identify and Match Services to Meet Clients Case Plan Needs	O	●	<p>No comprehensive database to capture client services</p> <p>Does not contain specific data elements to track barriers to services and transportation needs.</p> <p>Unable to document if relative placement or adoption is in the child's best interest.</p> <p>SWSS does not capture relative agreement for permanency and stability.</p> <p>Unable to identify best match placement regardless if the home is CPA or DHS home.</p> <p>CPN does not capture all the information for child needs and foster home capabilities when conducting a match for placement.</p> <p>CPN requires the worker to re-enter information on the child when a placement disrupts.</p> <p>Practice to split up case management based on placement options is not supported by SWSS (and by industry best practice).</p> <p>No documentation of relative placement exceptions and waivers or the approval of these exception and waivers.</p> <p>SWSS has no geographical coding to capture placement location compliance.</p> <p>System does not capture reason for sibling separation</p> <p>System does not prevent high risk youths from being placed with other children</p> <p>Initial placement is not entered by CPS workers regarding Supervising agencies.</p>
31	Record Contact with and Acquisition of Needed Resources/Services	O	▶	<p>Does not capture foster parent relative placement or adoption.</p> <p>Unable to record the relationship between a licensed foster parent and the child.</p> <p>Does not capture all services and referrals.</p> <p>Provider service authorizations are in MS Word.</p>

#	Service/Case Plans	Mandatory or Optional	Gap	High Level Gap Description
32	Track and Update Service/Case Plan	M	▶	<p>Only part of the private agency service plans are entered into SWSS.</p> <p>Unable to track the reasons for extending the permanency goal and the approval of this extension.</p> <p>Unable to track if the plans execution and if concurrent planning is occurring.</p> <p>Unable to track and report visitations and the reasons for sibling visits &amp; parent visitation barriers.</p> <p>Unable to document relative and “fictive” kin placement appropriateness.</p> <p>Unable to capture Residential care placements 90 day reassessment requirements and approvals for stays past 6 months.</p> <p>Unable to capture that the home is the least restrictive environment for a child.</p> <p>Limited to one Adoption Registry date.</p> <p>Does not retain a point in time copy of the service plan that was sent to court.</p>
33	Match Client to Placement Alternatives, if Needed	O	●	<p>Provider search is not working correctly (defect)</p> <p>Provider search is not by child criteria.</p> <p>CPN does not take into consideration the children’s behaviors that are already in the home.</p>
34	Generate Documents as Needed	M	○	No Gaps Reported
35	Request and Record Supervisory Approval of Plan, if Needed	O	▶	<p>Supervisors print plans to review for approval.</p> <p>Errors/Problems identified during the Supervisory Review process aren’t stored and/or displayed.</p> <p>Does not track approval exceptions to plan services based on barriers.</p>
36	Estimate and Track Actual Costs of Resources/Services	O	●	The system does not capture CCF information.
37	Identify Program Outcome Measures	O	●	<p>Unable to quantitatively measure outcomes based on caseworker actions that affect the success/failure of permanency goal.</p> <p>Unable to measure outcomes for the effectiveness of the service provided.</p> <p>Data quality issue on reports.</p> <p>Missing data needed for some management reports.</p>

#### 4.1.7 Case Management - Review/Evaluation & Monitoring - Section B & C

SWSS provides the mechanism to review, evaluate and monitor some plans (not all plans are entered into SWSS). The Treatment Plan contains services that are needed. SWSS records collateral contacts and can generate some reports.

- FOX identified a partial gap for the Review/Evaluation/Monitoring Section B&C.

Not all plans are in SWSS therefore these requirements cannot be fully met. The system does not track specific information needed for evaluation and reporting. Supervisors do not always receive email notifications when a review is due (defect) and Team Decision Making is not fully supported. Management does not have the mechanism to verify DOCs (rates) are applied consistently statewide. Additionally, to review cases, printing documentation is required.

**Table 11 Case Management – Review/Evaluation & Monitoring Gaps -Section B and C**

#	Case Review/ Evaluation (Section B)	Mandatory or Optional	Gap	High Level Gap Description
38	Generate Alerts to Conduct Case Review/Evaluation	M	▶	System is missing pertinent dates, data and alerts to track DOC. Email notification on ISP and USP does not always work properly (defect). Some alerts/ticklers/notifications are outside of the system via Group wise and not internal to the system.
39	Conduct and Record Results of Case Review	M	▶	Team Decision Making is not fully supported. Unable to review DOC to verify consistency across counties. Case reviews require documents to be printed to conduct their evaluation.
40	Generate Documents, Notices and Reports based on Review	M	▶	The system does not produce several of the reports needed by management. Some reports are inaccurate. The system is unavailable when lengthy complex reports are generated.
41	Record Collateral Contacts	O	▶	Workers only add “policy driven” contacts due to the amount of time it takes to enter in a contact. Data on Frequent Contacts is maintained outside of the system such as school contacts, addresses, phone numbers and hours, provider contact names, addresses and phone numbers, etc.

#	Monitoring Service/Case Plan Service (Section C)	Mandatory or Optional	Gap	High Level Gap Description
42	Track and Record Services Identified in the Service/Case Plan	O	■	Unable to track the reasons for temporary shelter/placement over a 12 month period and exception conditions as documented in the settlement. Not all Services are tracked.
43	Generate Documents, Notices and Reports	M	■	Management does not have all data necessary to build reports. Some management reports have to complete manually or maintain in an ancillary system.

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#### 4.1.8 Resource Management - Section A, B & C

The Bureau of Child and Adult Licensing (BCAL) uses BITS to capture licensure processes. This information is posted on the WEB. BITS tracks all applications, licensed homes, licensure complaints and findings. BITS does not track individuals placed in these homes.

BCAL sends the provider updates to MODEL (payments system) and Bridges (eligibility). Then either Bridges or MODEL sends the data to SWSS. (Bridges is not statewide yet). SWSS also tracks non-licensed homes (court ordered emergency relative placements).

CPN is a database used in Wayne County for matching the child's needs to placements. SWSS matches the child to a provider service type but neither system identifies placements based on child's needs, provider preferences (capabilities), and behaviors of children already placed in the home. Also, Wayne County also has a separate ACCESS database for residential treatments centers.

- FOX identified a full gap for the Resource Management.

There is no central repository for all services (resources). The systems do not track the reasons a foster home discontinued providing services, timeframes for licensure, provider training, provider specialization, psychotropic medication, physical restraints and seclusion performed by providers. The system does not generate required alerts to workers when an allegation or complaint is received on a home. Additionally, there is no mechanism to expedite licensure.

Each County and Private Agency (CPA) records and updates provider information differently. Information is collected and sent to BCAL for tracking however, the CPA licensing workers do not rely on BCAL tracking (WEB) to ensure this process is being completed. Most use spreadsheets or paper documents for tracking and some use databases. Private Agencies do not use SWSS. (Duplicate entry). CPAs reported that the current system does not support the business needs. This is a concern ACF has noted in their site visit report.

**Table 12 Resource Management–Facilities Support Gaps- Section A**

#	Facilities Support (Section A)	Mandatory or Optional	Gap	High Level Gap Description
44	Record and Update Provider Information	M	▶	Unable to track the reasons a foster home discontinued providing services. Does not support licensing home study, background checks, safety checks, etc. BCAL (BITS) does not track timeframes for licensing process. Does not support the Private Agency business needs. Use ancillary systems to meet their needs. (duplicate entry)
45	Generate Alerts/Action Items on Licensing Status Changes	M	●	System does not generate alerts to workers when provider allegation or complaint is received. System does not notify licensing workers when renewal is required.
46	Generate Reconciliation and Evaluation Reports	M	●	System does not contain enough reportable data to produce reports based on evaluations.

#	Facilities Support (Section A)	Mandatory or Optional	Gap	High Level Gap Description
47	Record Track Provider Training	O	●	Does not track provider training.

**Table 13 Resource Management–Foster Home/Adoption Support Gaps- Section B**

#	Foster Home/ Adoption Support (Section B)	Mandatory or Optional	Gap	High Level Gap Description
48	Maintain and Update Foster Care and Adoptive Home Information	M	●	Manual process for capturing and maintaining foster care home information differs per County and per Agency. BCAL has licensing information tracking (in BITS) but does not track all the information necessary for a central repository (duplicate entry by CPA's ancillary systems). Unable to view potential adoptive homes for child matching using demographics such as age, race, gender, religion, language, special needs, etc. BITS does not track provider preferences, specialties or special training that will support matching providers to client needs.
49	Record Foster Home Abuse/Neglect Allegation & Investigation Results	M	●	SWSS does not automatically identify when a provider is the alleged perpetrator. System does alert a worker regarding investigation and complaint and the results of the complaint. Delay in worker notification when licensing issues are reported.
50	Process Foster Care/Adoption Home Applications	O	●	Process is not in SWSS. Primarily a paper (manual) process. Various databases, excel spreadsheets, or paper documents are used to process home studies. System does not track timeframes in order to comply with the settlement (now required to process within 90 days). Workers do not have the ability to expedite licensure process.
51	Generate Alerts/Action Items as Needed if Foster Care License Revoked	O	●	No alerts generated to workers who have children in a home of a provider identified in an abuse or neglect report.

**Table 14 Resource Management–Resource Directory Gaps- Section C**

#	Resource Directory (Section C)	Mandatory or Optional	Gap	High Level Gap Description
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#	Resource Directory (Section C)	Mandatory or Optional	Gap	High Level Gap Description
52	Maintain Directory	O	●	There is no central directory that contains all services, homes, children and specialty information.
53	Generate Reports	O	▶	Data for abuse and neglect information for licensed facilities is stored in BCAL and not available for the data warehouse or SWSS. Does not capture data and generate reports on psychotropic medication, physical restraints and seclusion performed by providers to comply with the settlement agreement.

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#### 4.1.9 Resource Management - Contract Support - Section D

Contract Support requirements are not currently in the plan and budget for SWSS. These are optional requirements however many states add limited functionality to support contract rates, contract maximums and monitor contract performance.

- FOX identified a full gap for the Contract Support.

Contracts are not in SWSS. There may be some need to process payments against budgeted contract amounts and to read contract rates.

Additionally, there is a need to monitor contract performance as indicated in the Children’s Rights Settlement Agreement.

**Table 15 Resource Management–Contract Support Gaps- Section D**

#	Contract Support (Section D)	Mandatory or Optional	Gap	High Level Gap Description
54	Process Contract and Contract Changes	O	●	Not currently in the plan for Michigan SACWIS plan and budget. There is some need to process payments against budget to monitor contracts.
55	Record Contract-Monitoring Results	O	●	Not currently in the plan for Michigan SACWIS plan and budget. System and procedure do not support performance based contracts as required in the settlement agreement. Does not identify and track program outcome measures and performance based contracting.
56	Generate Alerts/Action Items	O	●	Not currently in the plan for Michigan SACWIS plan and budget.
57	Generate Documents	O	●	Not currently in the plan for Michigan SACWIS plan and budget.

#### 4.1.10 Court Processing - Section A, B, C & D

SWSS has the ability to generate court petitions and use service plans for court reports. The CPS module has notification to ICWA.

- ▶ FOX identified a partial gap for the Court Processing.

SWSS does not support the creation of court report summaries to provide the court updates that occur since the last hearing. The service plan is used as a court report that includes all the case related information but its more information than most court personnel require and it does not include what changed from the last hearing. In addition, the service plan is not frozen (no electronic point in time).

**Table 16 Court Processing Gaps—Sections A, B, C & D**

#	Court Processing	Mandatory or Optional	Gap	High Level Gap Description
Sec. A(58)	Court Documents	O	▶	Can generate court petitions but some court personnel will not accept system generated documents. As a result, workers create a summarized word document. Service plan are used as a court report when “most” judges do not want all this information. They want a status of what has happened since the last hearing (one page synopsis).
Sec. B(59)	Notifications	O	▶	Not all notifications to the court are stored in SWSS.
Sec. C(60)	Tracking	O	▶	Does not freeze their last report (service plan) to the court. (No point in time documentation).
Sec. D(61)	Indian Child Welfare Act Support	O	▶	Notification process to the tribe is not fully supported in SWSS

#### 4.1.11 Financial Management – Section A, B & C

Various systems are used to pay for Child Welfare Services.

- ▶ FOX identified a partial gap for Financial Management Section A, B & C.

Fragmented reporting and reimbursement claiming processes violates the single statewide system requirements of SACWIS. There is no automatic payment Adjustments/Overpayment identification when system has rate changes, contract changes, service date changes, third party payments and service unit changes. Payments from County Child fund are not incorporated and overpayment to these homes may occur when workers believe the home was not paid. Additionally, there is no documentation to indicate how Children’s funds such as SSI are used to pay for care for the benefit recipient.

**Table 17 Financial Management Gaps–Sections A, B & C**

#	Court Processing	Mandatory or Optional	Gap	High Level Gap Description
Sec. A(62)	Accounts Payable	M	▶	Service authorization and some local payment authorizations are not automated. System does not perform Automatic Payment Adjustments -Overpayment when system has rate changes, contract changes, service date changes, third party payments and service unit changes. The system does not automatically re-process reimbursement when eligibility changes retroactively. Payments from County Child fund are not incorporated into SACWIS.
Sec. B(63)	Accounts Receivable	M	▶	Use of separate standalone system for SSI funds Missing documentation to indicate how Children’s funds such as SSI are used to pay for care for the benefit recipient. Lack of integration with county child care expenditures makes AR determination difficult. Fragmentation of payments in different payment systems makes ARs difficult to process.
Sec. C(64)	Provider Claims Processing	M	▶	Manual payment processes (local payment authorization). Multiple payment systems are used to pay for children’s services.

#### 4.1.12 Administration - Staff Management - Section A

SWSS tracks DHS employees and has titles for case assignment.

- FOX identified a partial gap for Staff Management – Section A.

Most of Staff Management (Section A) SARGe requirements are listed as optional however, the two mandatory requirements contain two primary gaps. First, private agencies are not part of SWSS Staff Management. Second, the “titles” used to record and track case assignment are limited and do not provide enough details on the assignment role to meet the Children’s Rights Settlement Agreement” and business needs.

**Table 18 Administration- Staff Management Gaps–Section A**

#	Staff Management (Section A)	Mandatory or Optional	Gap	High Level Gap Description
65	Record and Update Employee Information (name, employee number and office)	M	▶	Does not include Private Agencies (CPAs)
66	Record and Update Employee Information (demographics and results of Criminal Investigation checks)	O	●	No plan to add this requirement
67	Record and Track Case Assignment	M	●	Title field in SWSS is not accurate enough to distinguish roles based on settlement requirements. Not all private agency case assignment is tracked for adoption cases that include DHS supervision of the foster care case. Unable to identify if an adoptions worker has been assigned to a case. Unknown if another county is working on a case.
68	Assist in Workload Management	O	●	No case weights and when assigning a worker to a case - the supervisor only sees the workers names not their case load or case count.
69	Track Employee Training	O	●	Staff qualifications and training are stored in JJOLT (not available on the data warehouse) <b><u>Refresher training for SACWIS users is needed</u></b>
70	Document Employee Performance	O	●	Optional requirement not planned for SACWIS

### 4.1.13 Administration - Reporting - Section B

Word and Crystal templates are used for operational reports generated by queries against the production database. There is a separate data warehouse used for management reporting.

- FOX identified a partial gap for Reporting - Section B.

Gaps in reporting relate to quality of the reports, availability of the data, and the overall requests for more reporting to support the “Children’s Settlement Agreement” or business needs.

**Table 19 Administration- Reporting Gaps–Section B**

#	Reporting (Section B)	Mandatory or Optional	Gap	High Level Gap Description
71	Produce AFCARS Report	M	▶	Missing fields in SWSS to comply with AFCARS Use the Adoption Finalization Form to collect data and then enter this information in Henry. No indicators used to identify AFCARS fields for users. Possible data quality issue.
72	Produce Other Federal Reports (e.g., IV-E 1)	M	▶	Need to comply with NYTD
73	Produce State Reports (a. & b.)	M	▶	No comprehensive caseload reports that include private agencies, roles and assignments. Case Monitoring reports, starting at office level and rolling up to provide performance data at all levels. Compliance reports for data entry. Timeliness reports for assignment, handoff, investigation, case contacts, and ongoing contacts. Reporting for length of stay, permanency goal change, etc. Reporting for compliance with the consent agreement.
74	Produce Statistical Reports	M	▶	Does not produce all management reports needed for management monitoring. Use systems outside of SWSS to produce reports including EXCEL spreadsheets and ACCESS databases. Management reports are not clear and always accurate. Managers are unaware of reporting adhoc processes. CFSR requires more information captured. Missing reports (and fields) required to comply with the consent decree.

#### 4.1.14 Administration - Admin Support - Section C

SWSS's production data is currently being backed up by EMC Storage Area Network (SAN) nightly.

The system does perform audit trails on select data elements.

SWSS security is based on user role and each user signs a confidentiality agreement. DHS users have Microsoft Office 2003 Professional office automation suite and use Novell GroupWise for email.

Also, SWSS contains excellent help messages and policy helpers throughout each module.

- FOX identified a full gap for Administration Support - Section C.

SWSS does have back up procedures but the servers do not have disaster recovery capabilities. (It was reported that the implementation if the Sun Solaris N9000 servers will include disaster recovery capabilities). Currently, staff uses manual intervention to restore and recover corrupted files.

SWSS has the ability to perform audit trails on select data elements but does not have full audit trail functionality due to the limitations of the current database server. Also, SWSS does not have archive and purge functionality.

**Table 20 Administration- Administration Support Gaps–Section C**

#	Administration Support (Section C)	Mandatory or Optional	Gap	High Level Gap Description
75	Provide Hardware and Software Security (Hardware, Telecommunications, SW Application and Data)	M	●	No gaps identified in back up procedures. Audit trails are currently being performed on selective data elements but not fully covering all changes to SWSS data.
76	Provide Hardware and Software Security (Confidentiality & CAPTA Requirements)	M	○	No gap reported.
77	Provide Hardware & Software Security (Contingency and Disaster Recovery Plans)	M	●	Two production, mirrored RAID-1 HP 8420 servers have minimal disaster recovery capabilities Failover with manual intervention exists on the production mirror only. Use manual intervention to restore and recover corrupted files
78	Archive and Purge	M	●	Not yet developed – planned for 2010
79	Provide Office Automation	O	○	No gaps reported
80	Provide On-Line System Documentation	O	○	Reported that additional policy and help for treatment plan would be ideal however overall requirement is met.

#	Administration Support (Section C)	Mandatory or Optional	Gap	High Level Gap Description
81	Provide On-Line Training	O	●	This optional requirement is not in SWSS

DRAFT

#### 4.1.15 Required Interfaces - Section A

With the complete implementation of Bridges; SWSS will have met the Title IV-A (TANF) and Title XIX (Medicaid) Interfaces requirements. In addition, SWSS receives a file from the IV-D System (Child Support); this is currently a one way interface to SWSS.

- ▶ FOX identified a partial gap for Required Interfaces - Section A.

Since this gap analysis is a “point in time” and Bridges is not fully implemented, these requirements are still considered a partial gap. In addition, with the implementation of Bridges, SWSS does not have a two way interface with IV-D Child Support System.

**Table 21 Required Interfaces Gaps–Section A**

#	Required Interfaces (Section A)	Mandatory or Optional	Gap	High Level Gap Description (82 is covered in 83-86)
83	Title IV-A (TANF)	M	▶	No financial data is being transmitted to SWSS at this time.
84	Title IV-D (Child Support Enforcement)	M	▶	One way interface from SWSS to the IV-D system was developed. A two way interface is not implemented.
85	Title XIX (Medicaid)	M	○	No Gap since the implementation of Bridges as a statewide Medicaid eligibility system.
86	Child Abuse and Neglect Data System	M	○	No gaps reported.

#### 4.1.16 Optional Interfaces – Section B

Optional interfaces are only required when there is a business need and when Michigan notifies ACF that they plan to include these interfaces in SWSS. Since several of these interfaces are necessary to meet the Children’s Rights Settlement Agreement and to meet business needs, FOX included all of them and indicated when they are planned versus not planned.

- FOX identified a full gap for Optional Interfaces - Section B.

**Table 22 Optional Interfaces Gaps–Section B**

#	Optional Interfaces (Section B)	Mandatory or Optional	Gap	High Level Gap Description
87	State Central Registry on Child Abuse & Neglect	O	o	SWSS includes a State Central Registry
87	SSA for Title II and SSI Information	O	●	Not currently planned
87	State Financial System	O	o	Interface to Model Payment System is completed. Plan to replace legacy system and redevelop this in SWSS for compliance based on Federal review feedback
87	State Licensing System	O	o	Reported that the Interface to Child Welfare Licensing is complete BCAL (BITS) sends the provider updates to MODEL payments system. Then either Bridges or MODEL payment system (MPS) sends the data to SWSS. (Bridges is not statewide yet).
87	Vital Statistics	O	●	Future enhancement planned to be implemented in 2011
87	Court System	O	●	Future enhancement planned to be implemented in 2011
87	Juvenile Justice	O	●	Future enhancement planned to be implemented in 2011
87	Mental Health/Retardation	O	●	Not currently planned
87	State Department of Education	O	o	A list of schools and districts are electronically obtained from the Department of Education (no gap identified)

### 4.1.17 Quality Assurance Indicators

The following Quality Assurance Indicators are based on the documents provided to FOX. We included some gaps identified by focus group members that relate back to the quality assurance indicators in the high level gap description.

- FOX identified a partial gap for Quality Assurance Indicators

**Table 23 Quality Assurance Indicators Gaps**

#88 Quality Assurance Indicators	Yes	No	Gap	High Level Gap Description
Does the automated system provide appropriate edits, range checks, and prompts for critical or incomplete data?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	There are numerous edits, range checks, prompts for critical or incomplete data however users do not feel they are effectively used. Some are very cumbersome and prompts are not always useful. AFCARS, Eligibility and NCANDS fields are not visually different to prompt workers to complete these data fields. Missing important edits in foster care to ensure medical information is entered and to ensure 30 physical for the child was completed.
Does the automated system incorporate procedures for appropriate supervisory oversight and authorization related to case-file review?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	Reported that the system has procedures for appropriate supervisor oversight and authorization related to case file review however supervisors reported the difficulty in reviewing cases due to the number of tabs, pop-ups and pages to review work online. Also, business requirements are not yet built to ensure oversight is being completed.
Does the automated system allow for random sampling based on variable characteristics for audit purposes?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	•	DHS did not report having this functionality Report that the business side is not at a technical level to create statistical validity.
Is the system capable of recording and tracking the results of an audit as well as any necessary corrective actions identified?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	•	DHS did not report having this functionality. Some reports are generated by the data warehouse.

#88 Quality Assurance Indicators	Yes	No	Gap	High Level Gap Description
Does the automated system facilitate the establishment and tracking of outcome measures by program managers, and support trend analysis of results?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	SWSS does not have the reporting needed to meet the settlement agreement.
Does the automated system generate summary management reports on client demographics and needs?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	•	DHS did not report having this functionality. SWSS is missing basic in time reporting.
Does the automated system produce reports on the length of time in foster care categorized by identified service needs and services provided?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	•	DHS did not report having this functionality. Length of time reporting is vital for CF SR compliance and settlement agreement reporting.
Does the automated system track referrals and all required time-sensitive actions for title IV-B and IV-E related cases, such as initial and ongoing Administrative Case Reviews, investigations, and time sensitive treatment and service plans?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	Reported that SWSS tracks referral and all required time-sensitive actions for IV-B and IV-E Reviews, Investigations, Treatment and Service Plans; however not all those interviewed agreed that time sensitive actions are tracked Also reported that the tickler system, alerts and monitoring reports have gaps.
At the point a required action is delayed beyond a Federal, State, or court mandated time frame, does the system alert line, supervisory and management staff, when appropriate?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	When required action is delayed alerts are included however several individuals reported that this works for some delays but not all and workers figure out ways to change the dates to meet due dates when they did not actually meet them.
In cases where a reviewer enters information on an apparent problem of abuse or neglect in a foster home, does the automated system automatically request an investigation and track the case to ensure its completion?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	•	DHS did not report having this functionality. No interface to BITS.
Does the automated system maintain and link variable and static data used to determine eligibility for title IV-E payments?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	It was reported that the system maintains the data used for IV-E Eligibility determination but the information may not always be accurate. Adoption Subsidy IV-E is not in SWSS. No standard process for reconciling funds - county child care funds are blocks of money independently budgeted and paid by the county.

#88 Quality Assurance Indicators	Yes	No	Gap	High Level Gap Description
Does the automated system also establish data entity relationships between providers, clients, and payments?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	It was reported that SWSS establishes relationships between providers, clients and payments but there were numerous gaps previously documented that do not encompass the relationships between clients and providers, payments made by counties, etc. Also, CPS and FAJ do not treat relationships the same way. CPS uses family as a case and FAJ uses individuals as a case. (disconnect between modules)
Does the automated system (or separate financial system) account for appropriate financial reconciliation of payments, including overpayments and recovery, by occurrence?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	•	DHS did not report having this functionality
Does the automated system contain all data necessary to effectively manage a case?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	It was reported that SWSS does contain the necessary data to effectively manage a case however cases that are managed by CPA agencies are not included.
Is the automated system able to track a child across multiple occurrences and/or cases?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	It was reported that SWSS tracks multiple occurrences and/or cases but due to duplication and system "defects" this is not always accurate.
Does the quality assurance function support the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	•	DHS did not report having this functionality.
Does the system capture and transmit all known cases in the AFCARS report, including cases with incomplete information or untimely actions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	•	SWSS has the required fields and format for AFCARS however there is some data quality issues that were noted. AFCARS Adoption is not all completed in SWSS and reasons for removal has gaps.
Other Quality Assurance Indicators	N/A	N/A	•	None Reported

### 4.1.18 Other Functionality

This section of the SARGe Appendix B allows States to indicate what functionality they included in their system that was not covered above. DHS reported Digital imaging and birth registry as the two areas that were added to SWSS that were not covered above.

- FOX identified a no gap for Other Functionality.

**Table 24 Other Functionality Gaps**

#	Other Functionality	Mandatory or Optional	Gap	High Level Gap Description
90	Functionality not described above	O	o	▪ No Gaps reported

## 4.2 Gap Findings Summarized

The intent of SACWIS is to provide “efficiencies that allow workers to spend less time documenting cases and more time serving families”. FOX recognizes that SWSS is not fully developed and has numerous reported defects. In spite of this, in the review of SWSS, FOX observed some very efficient components in SWSS and some unique features that assist workers. Nonetheless, this document focuses on the gaps identified versus the efficiencies identified.

### 4.2.1 Inefficiency

Demonstrations of the system revealed steps most systems do not require a user to perform, some modules were not intuitive, and several modules had the user recording information in an “awkward” order that does not support business processes.

Examples include:

- The Intake module is not designed to be completed while on the phone taking a complaint. The order in which information is received does not match what SWSS requires the user to enter. Some Intake workers gather complaint information on paper and then complete the data entry.
- SWSS requires workers to register, create members, establish household, re-create relationships, etc. to start their case management responsibilities. Other systems automate many of these steps.
- Staff reported that not all “social work” contacts are entered in SWSS since it takes so much time to enter contacts. Worker’s focus on policy driven contacts.
- Data edits may prevent moving through the system. When identifying a need “such as foster care” the worker has to complete the fields even if they have not sent the referral out. Other examples, included: medical, law enforcement, and safety.

### 4.2.2 Ancillary Systems

The SACWIS Federal Enabling Legislation requires “reducing duplicate data entry and ensuring immediate access to complete, timely, and accurate data. If the child or family moves to a different county or city and is served by different case managers (either public or private

employees), the information does not have to be reentered into a separate system.” Currently, ancillary systems are used by both DHS and Child Placing Agencies. The use of ancillary systems does not comply with the guidelines of one case management system and requires duplicate data entry. Some examples include:

- Adoption Subsidy
- Extended Reach (CPA system) used by Kent County
- Resource Directory, Child Placement Network (CPN), Re-placement DB, YIT, Foster Care Recruitment DB, etc used by Wayne County
- SSI Receipts (records SSA and SSI funds)

SWSS Resource (Provider) Management has limited functionality. Licensure is entered into BITS and various CPA databases. Many of the provider requirements in both the Children’s Rights Settlement Agreement and SARGe are not in SWSS. Private Agencies (CPA) do not have the Provider Management functionality to support their business practices and have “resisted” the use of SWSS.

### **4.2.3 Technical Gaps**

SWSS is built with Visual Basic (VB) 6.0 that is no longer supported by Microsoft<sup>1</sup>. Using this technology prevents DHS from providing a web enabled solution for private agency access.

DTMB also reported that the two production database servers do not provide disaster recovery capabilities. Currently, these two database servers are at or beyond full capacity and cannot sustain existing data growth.

In addition, SWSS does not provide a rules-based engine requiring programming changes to make modifications to program rules and reference data.

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<sup>1</sup> "[Support Statement for Visual Basic 6.0 on Windows Vista, Windows Server 2008 and Windows 7](http://msdn.microsoft.com/en-us/vbrun/ms788708.aspx)". Msdn.microsoft.com. 2008-04-08. <http://msdn.microsoft.com/en-us/vbrun/ms788708.aspx>. Retrieved on 2009-08-13.

## 4.2.4 Reporting Limitations

Based on the Children’s Rights Settlement Agreement, SWSS is missing data elements to produce the necessary reports to comply and users reported that not all cases such as Epic Guardianship, refugee, prevention are entered in SWSS. Therefore, there are limitations to comprehensive reporting. Additionally, focus groups reported technical difficulties when requiring complex or lengthy reports, inaccuracy of the data, and performing manual calculations to produce some management reports.

## 4.3 GAP Level

FOX, as noted earlier, used the 90 question Federal SARGe – Appendix B. We found that in most SARGe requirements there were gaps that include: system defects, efficiency issues or did not provide the full scope of the requirements intent or the business need. SARGe is the minimum guideline, SACWIS must support business needs and now fulfill the Children’s Rights Settlement Agreement.

The following diagram provides management an overview of the findings. The table below contains three symbols to represent the level of the Gap reported and observed (i.e., Full, Partial, or No Gap).

These symbols are:

- = No Gap Identified: There was no reported or observed gap.
- ◐ = Partial Gap: There were limitations to the current system design, defects, or business needs that prevents the requirement from being fully met.
- = Full Gap: There were too many limitations, errors or business needs to consider the requirement met or DHS has not implemented functionality to meet this requirement.

**Table 25 Gap Level**

<b>Intake Management</b>			
Section A	Intake	◐	Partial Gap
Section B	Screening	◐	Partial Gap
Section C	Investigation	◐	Partial Gap
Section D	Assessment	◐	Partial Gap
<b>Eligibility</b>			
Section A	Initial Eligibility Determination	◐	Partial Gap
Section B	Changes in Eligibility	◐	Partial Gap
<b>Case Management</b>			
Section A	Service/Case Plans	●	Full Gap
Section B	Case Review/Evaluation	◐	Partial Gap
Section C	Monitoring Service/Case Plan Service	◐	Partial Gap

### Resource Management

Section A	Facilities Support	●	Full Gap
Section B	Foster/Adoption Homes Support	●	Full Gap
Section C	Resource Directory	●	Full Gap
Section D	Contract Support	●	Full Gap

### Court Processing

Section A	Court Documents	▶	Partial Gap
Section B	Notifications	▶	Partial Gap
Section C	Tracking	▶	Partial Gap
Section D	Indian Child Welfare Act Support	▶	Partial Gap

### Financial Management

Section A	Accounts Payable	▶	Partial Gap
Section B	Accounts Receivable	▶	Partial Gap
Section C	Provider Claims Processing	▶	Partial Gap

### Administration

Section A	Staff Management	▶	Partial Gap
Section B	Reporting	▶	Partial Gap
Section C	Admin Support	●	Full Gap

### Interfaces

Section A	Required Interfaces	▶	Partial Gap
Section B	Optional Interfaces	●	Full Gap

### Quality Assurance

88-89	Quality Assurance Indicators	▶	Partial Gap
90	Other Functionality	○	No Gap

## 4.4 Validation

As stated in section 2.2.2, Results, the gap analysis was documented as a result of the outputs from the development of the high level requirements.

## 5 NEEDS ASSESSMENT

This section describes the State's needs in relation to a child welfare system. The needs assessment is based on the identification of the high level requirements and the gap analysis. This section includes a description of the current environment, a list of objectives as well as an overview of the system needs and anticipated benefits.

### 5.1 Current Environment

In Michigan, the Statewide Automated Child Welfare Information System (SACWIS) is known as the Services Worker Support System (SWSS). SWSS currently consists of four components:

1. Foster Care, Adoption and Juvenile Justice (FAJ)
2. Children's Protective Services (CPS)
3. Prevention
4. Guardianship

When SWSS was first rolled out in 2000 – 2001, FAJ (Foster Care, Adoption and Juvenile Justice) was the first component to go into production. When first implemented, the FAJ module initially captured demographic information, tracked placements, allowed workers to authorize payments and determined funding. In 2006, a Case Management System (CMS) enhancement was added to FAJ which included functionality to automate the service plans, social worker contacts and other case management functions. In late 2007, statewide rollout of the Children's Protective Services (CPS) module was completed. CPS contains functions to support Protective Services workers. In 2008, the Prevention and Guardianship components were implemented. As of August 2009, these modules provide minimal functionality; they primarily capture the demographic information used for referral purposes for Prevention and Guardianship cases

The current system architecture is a Client-Server application with a Visual Basic 6 client application residing on each workstation communicating to a centralized Oracle database. SWSS is two-tiered client/server architecture. The 1st layer is a "thick" client consisting of 30 – 40 executables which generate the Graphical User Interfaces and SWSS business rules. There are over 100 screens and 152 standard queries and reports. The second tier is the centralized Oracle database where all SWSS data is stored and where stored procedures are executed. Each DHS office has a local print and file server which also stores and distributes new SWSS releases which are pushed out from the Office of Automation to each PC workstation.

There are about 3,500 active users of SWSS. The average daily number of concurrent users is 1,200 to 1,300. These users are located at 100 different state, county and district office locales. Currently, only DHS staff uses the SWSS system. However, to comply with the Federal requirements and meet the reporting requirements of the Children's Rights Settlement Agreement, Michigan is working towards providing private agencies with access to the system to directly update information. The current plans are to present SWSS application screens through the internet browser with the application residing on Citrix servers.

Recent interviews with local office workers revealed that SWSS is generally considered a tool that workers are required to utilize but in its current state, it impacts their ability to perform their work. Local office supervisors reported time consuming data entry into SWSS.

Listed below are some of the current conditions which contribute to the belief that the system is a hindrance:

**Dependence on Ancillary Systems and Paper Processes:** The workers rely on paper processes and are dependent on several different ancillary systems to collect and enter data. This does not comply with federal requirements to provide a single statewide system and results in the following concerns:

- The total case picture is difficult to determine. Due to the number of different applications like adoption subsidy, TDM and Families First that need to be brought into SWSS, it is difficult to gather a total picture of the child's circumstances and the details of the case. This makes it difficult to understand all the services being provided to the child. Due to these disparate systems, SWSS is unable to deliver aggregate performance reports in a number of key areas at this time. For example, the Children's Rights Settlement Agreement requires a report on the Team Decision Making (TDM) data.
- Users rely on paper case files to supplement the electronic case record. Generally, a paper case file is created for every record entered in the system.

**Duplicative Data Entry/ Workflow Issues–** End users must perform data entry tasks that are redundant in nature and the system does not adequately support workflow functions. This results in a decrease in user efficiency and data inconsistencies in case management.

- Data entered in one area of the application does not consistently populate the same data fields in other areas. This requires the user to perform duplicate data entry.
- The automated workflow does not support the business flow for CPS. However, in some instances the FAJ workflow forces workers to perform workarounds and compromise data integrity in order to navigate to the next screen. Field staff report that the large number of tabs and screens in the system results in time-consuming data entry.
- In addition, the current SWSS does not allow multiple sessions to run concurrently. As a result, the user has to navigate away from a screen or module, to obtain the necessary information, then return to the screen/module on which they were previously entering data.

## 5.2 Objectives

SACWIS is expected to be a dynamic tool for the case manager, supervisor, regional and central office manager, and Executive Staff to identify what is working, what is not working and to identify necessary course corrections. ACF, DHS and the Children's Rights Settlement Agreement dated October 24, 2008 have defined certain objectives for the SACWIS system.

ACF expects the SACWIS design to include a system that provides for:

- Automated support to meet the adoption and foster care reporting requirements
- The elimination of paperwork, duplication of data collection, and data entry
- More efficient, economical and effective administration of programs
- Support of system interfaces and integration necessary for the coordination of services with other Federally-assisted programs.

The SACWIS objectives set by Michigan and those requirements established by the Children's Rights Settlement Agreement, all impact the design of the system. Michigan has indicated the following high level objectives with regard to SWSS.

The system must:

- Be SACWIS compliant;
- Provide technology which meets the business needs of the State and is compatible with the strategic direction of the State of Michigan;
- Provide technology that is user-friendly;
- At a minimum, meet Federal and State business reporting requirements;
- Help ensure the quality of Child Welfare services statewide and support compliance with child welfare policies, procedures and federal regulations;
- Provide timely, accurate and relevant reports and data to track outcomes, monitor caseworker performance and make sound business decisions;
- Provide technology that is adaptable and responsive to the changing needs and requirements of the State's child welfare programs, staff, and service providers.

The Children's Rights Settlement Agreement dated October 24, 2008 requires that the automated system must be SACWIS compliant by October 2012. The agreement includes a number of requirements and targets that the State will be required to reach over the next few years. The list below includes a few of the requirements that the system design must be able to accommodate to comply with the Children's Rights Settlement Agreement:

- The system must be able to generate accurate and timely data reports regarding each of the requirements and outcome measures required by the court decree
- Managers and staff must have access to as much data and information as possible, in the most organized fashion possible, so that they can make appropriate decisions about children's safety and welfare
- DHS must establish a statewide centralized CPS hotline and designate a special unit to investigate all allegations of abuse and neglect of children in foster care.
- The system must accurately capture, track and report on permanency placement data
- The system shall meet all federal reporting requirements while ensuring data accuracy and integrity

### **5.3 System Needs**

The overarching need for Michigan's DHS is a single, fully integrated Child Welfare system, replacing multiple outdated, inefficient systems that do not fully meet the needs of caseworkers. The current SWSS is not fully SACWIS compliant and would require enhancements to meet the needs of Michigan's child welfare program. System needs identified as a result, of the onsite visits at select county offices, focus groups and identification of the high level requirements and gaps are listed below:

- **Elimination of Ancillary Systems**

Although DHS has benefited from the programmatic components of SWSS, many functions (especially in the financial and reporting areas) continue to be performed with stand-alone or paper systems. Because these systems are not integrated, there is redundancy in

administrative work supporting child welfare throughout the State. With existing systems, there must be a more concise way to tie back services to the specific children receiving the services. The system needs to provide a comprehensive/integrated view of children and families. Currently there is “vertical slicing” due to differing programs and separate systems. ACF requires that SACWIS is the single, statewide system for all child welfare functionality. In order to meet SACWIS requirements all systems need to be in one centralized application and database that includes an integrated reporting tool that is able to meet information needs at all levels. A few examples of ancillary systems that need to be incorporated into SACWIS include:

- Model Payment System
- Team Decision Making (TDM) Database
- Interstate Compact on the Placement of Children (ICPC)
- Youth in Transition
- Adoption Subsidy System
- Families First
- Child Placement Network (CPN)

■ **Improved Reporting Capability**

A vital need identified for SWSS is accurate and efficient reporting of data pursuant to State and Federal Regulations. DHS needs a system which provides management and administrators with accurate and thorough information that is needed to administer programs, monitor and evaluate performance, achievement of program goals, objectives and outcomes. In addition, the Children’s Rights Settlement Agreement requires numerous reports to be generated from SWSS. The current system is able to produce many of these required reports but there is a gap due to missing data fields in SWSS . Examples of types of reports required by the Children’s Rights Settlement Agreement that cannot currently be produced from SWSS include:

- Mental Health and Medical Passport
- Adoption
- CCF Payment Reporting
- Staff Qualifications
- Assessments and Service Plans (Note: the system does produce but there are gaps)
- Provision of Services

An improved reporting process requires a system that produces accurate reports, with little to no manual intervention and in a timely manner. Currently, production of the Federal reports requires multiple resources to coordinate and extract all the necessary information from the different storage locations to produce the required data elements on these reports. The system needs to provide the capability to produce standard reports that supply users with the information they need, when they need it, without having to wait for special extracts or reports to be developed by technical staff.

■ **External System Access/ Information Exchange** (e.g., Child Placing Agencies, Courts)

Partners of DHS, such as child placing agencies (CPA), have valuable case information that needs to be added to the children’s records so that the Department has a more comprehensive history of a child’s case history. Currently, these child placing agencies use multiple home-grown and commercial off the shelf (COTS) systems to capture and store the child’s data, little of which is accessible in SWSS. There is no integration or sharing of data

between the private agencies and SWSS, so pertinent information is not available in the SWSS record. CPA data that does get entered in SWSS requires duplicate data entry. ACF requires the CPAs to directly use SACWIS to document, track, and manage all case management activities. Any systems used by the CPAs cannot be used for SACWIS required functions.

The system needs to support child welfare business processes of the private agencies including direct data entry into SACWIS. In addition, ACF requires court actions to be captured in the system. Data sharing with the courts, as well as community-based agencies, would benefit the child welfare users.

DHS would also benefit from making self-service features available to service providers, with potential financial incentives for use of new on-line capabilities. For example, providers could enter invoices online, avoiding the cost and delay of mailing their claims. Sharing and receiving online information from the courts would result in more timely and accurate data.

There is also the potential for significant benefits in broadening system access for DHS staff as well. Currently some Case managers have access to the system while in the field. The ability to perform certain system functions while away from the office would improve case management and worker productivity. Access to mobile internet devices would allow users to work during time spent waiting in court, waiting for meetings, or client visits, etc.

- **Reduction of Time Spent Using the System/Workload Management (Time Efficiencies)**

DHS needs user friendly technology that allows workers to spend less time managing paper and more time directly working with families to determine how best to meet identified goals. An efficient automated system leaves case managers free to focus on the well being of children and families rather than on the day to day clerical processes required to support their actions.

DHS needs a system which automates processes to the greatest extent possible. The system must contain functionality that includes pre-filling plans and reports with data already existing in SACWIS. The current system pre-fills some data but does so inconsistently. The overall objective is to “write it once” and use the same information in multiple documents and reports.

In addition, the system needs to function as a useful tool in assisting the worker and supervisor to efficiently manage their workload. To this end, the system needs to provide more efficient prompts and alerts as to when activities are due and overdue.

- **Improved Data Entry to Support Workflow**

Staff reported limiting the data that they input in SWSS due to the cumbersome and time-consuming process required to enter case information. For example, case managers reported not entering all contacts due to the time involved. Incomplete and erroneous data entered into SWSS hampers decision making and results in inaccurate federal, state and local management reports. Case managers need a single (automated) case record that does not require duplicating data on various forms or reports. Navigation in the current system is not always efficient. Improvements in navigation and the matching of system function to business workflows are needed. Data entry should be minimized and data easier to enter in a reasonable number of screens with pull-down menus and icons. The system should contain standardized, consistent ‘business rules’ for supporting, guiding

and informing effective decision making. A business rules engine provides a repository and interface for policy and business rules that can be defined and understood by business analysts and policy experts. Implemented properly, a business rules engine minimizes the need for highly technical programming changes required to maintain a rapidly changing business environment such as child welfare.

- **Timely System Updates**

Michigan needs to be able to provide modifications to the system quickly and with minimal cost. The current application is difficult to maintain which complicates troubleshooting of day-to-day problems which arise. The complexity of the current system and its underlying issues results in delays in systems enhancements.

- **Improved System Support and Performance**

DHS users need a stable system that is continuously available and provides good response time. The current application development tool is a decreasingly viable product; the application is simply not flexible enough to address the rapidly changing business environment. Currently, the application has persistent performance issues in terms of slow response time, frequent downtime, and loss of data.

- **Standardization of Processes**

Visits to the local offices highlighted the need for a system that is better aligned with DHS programmatic needs. Currently, there is little standardization of procedures throughout the different county offices and even within the same local office. The use of a single statewide system that promotes efficient process flow will assist the State to achieve this objective.

- **Centralized Intake**

The Children's Rights Settlement Agreement mandates that Michigan create a statewide 24/7 centralized intake hotline for the receipt, screening, and assignment for investigation of reports of abuse and neglect. Currently, this function is spread throughout the state at multiple county offices. Some of the key elements of centralized intake include call routing, call center workforce management and digital voice recording for reports of abuse and neglect. Reports that have been accepted for investigation will need to be assigned electronically to specific workloads in the appropriate county. Implementation of a central intake hotline will require a technology-supported system to record all referrals (logged or referred for assessment) in the database and support the referral process to the Investigator, after the case has completed the screening process. The system must be able to generate all referrals to the appropriate office based on the address of the family and assign the case to the worker via the supervisor's workload or to a designated support staff's workload.

- **Integration of Financial Payment Data**

Currently, multiple payment systems are used to pay for children's services. Foster care payment authorizations are input into SWSS and transmitted to the State's Model Payment system while other payments are paid with manual forms and never enter SWSS. For payments from County Child Welfare funds, data on payments for placements resides outside of SWSS. Retroactive changes in eligibility may require payment and reimbursement adjustments that cannot readily be made from SWSS. Fragmented reporting and reimbursement claiming processes violates the single statewide system requirements of SACWIS. All payment information must be captured and stored in SWSS and not in an intermediary system. The payment data needs to be integrated into the system and then transmitted to Michigan's financial system.

- **Implement Ongoing Systems Refresher Training**

DHS needs to schedule and deliver SACWIS refresher training and system updates on an ongoing basis. The information maintained on SWSS is only as accurate and current as the worker who enters it into the system. Workers stay current on business processes and system functionality through refresher training. At present, newly hired DHS workers receive system training in preparation for beginning their job. However, after initial SWSS training, workers receive little, if any, additional systems training. Periodic refresher training should involve extensive user training that will present system functionality within the context of DHS business objectives.

Currently, DHS primarily communicates new system releases through written media. This written form of communication is often overlooked by users; workers are therefore oftentimes not knowledgeable of the correct and most efficient manner to process data in the system and the full capability that the system offers. Periodic and direct, face-to-face training on new major releases, areas of interest and planned changes to the system is needed.

- **Help Desk Changes**

DHS users need both technical and application Help desk support for SACWIS. Technical support addresses PC, network or other hardware or desktop software issues. Application support provides advice on how to use the custom designed application, including its functionality and navigation. Users reported the following issues:

- Problems reported to the Help desk sometimes take a long time to resolve.
- Help desk staff don't always notify the person reporting the issue that the problem has been fixed or if it was fixed, how the problem was resolved.
- When the Help desk does report problem resolution, they send an email stating that the problem has been corrected but do not include details regarding the problem. Therefore, the person reporting the problem is unclear which problem was actually fixed.
- Sometimes the Help desk staff notifies the worker that the problem has been resolved when it really hasn't been.

Due to the length of time required to get a problem resolved, in lieu of notifying the Help desk, workarounds are devised by the staff/supervisors to provide a "band aid" for the problem. Users need to be kept aware of the status of issues reported to the help desk.

The flow of ownership, including escalation procedures, for the help ticket needs to be defined and accountability identified at each step. The importance of the communication process for information sharing and transfer of knowledge regarding the resolution should be given considerable attention.

## **5.4 Anticipated Benefits**

The following lists some of the anticipated benefits to be realized from updating the system:

- **Elimination of Ancillary Systems**

Integrating all ancillary systems into a single statewide system will improve effectiveness, eliminate redundancy, promote consistency of data collected and stored, improve data quality, enhance program and financial reporting, and reduce the cost of system maintenance. A single departmental application that includes all of the financial aspects of

DHS' business (such as service planning, contracting, authorization and payment of services, drawing of revenue, and evaluation of the cost-effectiveness of services) is essential to achieve more efficient and effective use of state and federal resources. Data quality and reporting will be improved through entry into a source system and the users will no longer have to enter data that could be compiled and generated by the system, into Excel spreadsheets and Word documents.

- **Improved Reporting Capabilities**

Improved reporting capability will allow for the redirection of existing system resources and improve the overall performance and quality of casework. Improved reporting will allow Department leadership at all levels to gain a clear picture of their team's performance with real time data, resulting in better allocation of resources and case tracking. The ability to perform ad hoc queries will provide immediate access to information needed to resolve concerns of DHS staff as well as clients, citizens, media and public officials. State staff will be provided with the information needed to administer programs as well as monitor and evaluate the achievement of program goals and objectives.

- **External System Access/ Information Exchange**

The system must support the needs of private child placing agencies. As the system of record, all child welfare data must be input in SACWIS. This is required by ACF in order for the system to be SACWIS-compliant. Data maintained by these child placing agencies must reside in SACWIS to provide seamless integration of all child welfare data in a single statewide system. Requiring the CPAs to utilize the system will ensure that all case data is contained in one system and that all data is accessible real-time (i.e., the information is instantly available to all users as soon as it is entered as opposed to delayed). Once this data is captured in the system, DHS will be able to track children who have been placed with providers.

In addition, efficient data sharing with courts and community-based agencies would ensure data in SWSS is accurate and timely.

If timely remote access were available, the worker could use the system while away from the office environment. For example, the worker could use the system while waiting for court appointments, waiting for doctors appointments, while at the client's home or during on-call duty. Improved remote access that offers 24/7 availability will allow for the recording of DHS intake complaints/referrals and contacts wherever access to the agency internet is available. Providing remote access to partners and providers would improve communication and sharing of information across county lines and with community partners and private agencies.

- **Increase Worker Productivity by Decreasing Time Spent on Paperwork**

Automating processes will reduce the amount of time case managers, supervisors and clerical staff spends on completing required forms and letters. This will lead to better outcomes for families. In addition, lessened time spent on paperwork will help improve caseworker efficiency, effectiveness, and morale through the reduction of staff effort required for redundant paperwork.

- **Improved Data Entry to Support Workflow**

Intuitive workflow functionality that guides the user through the entry of intake, investigation and assessment information will not only improve the efficiency of data capture but will also improve the quality and consistency of that data. Making information available to users

through views customized for specific job functions, provision of case summaries and a robust reporting solution will allow users to quickly access vital information needed without having to click through numerous screens to find it. This should help change user perception of the system from that of an extra burden in data collection to one of a useful tool that supports case decision-making and is integrated into the user's daily business processes.

By developing a system that is designed to follow business processes and workflows and by improving system navigation, the consistency and effectiveness of case documentation and management will improve. DHS will be better positioned to monitor, track and ultimately improve the outcomes of the children and families it serves.

- **Timely System Updates**

Replacement of obsolete, outdated technology with more modern technology will reduce the complexity of the system, reduce the number of technology platforms, simplify maintenance of the system and provide for continued technical support through the life of the system. Based on experiences of recent large systems projects (including SACWIS projects in other states), migration to current industry-standard technologies will improve the State's ability to maintain and enhance its child welfare application and broaden the pool of cost-effective, knowledgeable and highly skilled information technology (IT) professionals available to provide ongoing application support.

- **Improved System Support and Performance**

The highly dynamic nature of child welfare programs makes the system susceptible to changes in procedure, forms, or reporting mandated at short notice by legislative changes or executive order. Current technology systems are more likely to take advantage of productivity gains experienced with a rules-based engine. The use of a rules-based engine minimizes the need to make programmatic changes to the system as business processes change. Furthermore, switching to a current industry-standard application development tool will improve responsiveness to business changes that do require programmatic changes and increase the availability of IT professionals needed to provide on-going system support. In addition, the current system has been plagued with performance issues. Newer technology offers enhanced data storage and retrieval capabilities that will decrease user 'wait time' and improve employee satisfaction with the system.

- **Standardization of Processes**

Updating the system will standardize child welfare practices within Michigan and bring practices into alignment with other state and federal standards. The standardization of policy and procedures will make the application of policy less complex and easier to adhere to.

- **Centralized Intake**

The centralized intake unit concept would involve a select group of highly trained staff receiving reports, performing searches and creating intake cases at a central location (as opposed to the county offices). This has many benefits to DHS. The most important benefit would be consistent policy application across the state and improved protection for children. In addition, central intake can ensure more consistent searches for existing persons, resulting in a reduced number of duplicate person records in the system. It also improves timely and consistent assignment of investigations in states where a central Child Abuse and Neglect (CAN) registry has been implemented. Additionally, it reduces the amount of

work that needs to be performed by case workers in the county offices, allowing them to focus on their investigative duties.

- **Integration of Financial Payment Data**

Automation of payments data and integration of all financial payment data in SACWIS results in minimizing overpayments, erroneous payments, duplicate payments, etc. It also allows the state to utilize a single system for reporting of payment data.

- **Implement Systems Refresher Training**

Effective training, initial and ongoing, is critical. The importance of systems refresher training cannot be overstated. Training is needed to equip workers with the skills and knowledge needed to do their specific jobs. It is sometimes difficult to distinguish whether reported system problems are due to defects of SWSS or due to lack of knowledge on the part of the users. Periodic refresher training would result in more efficient use of the system, increase in data accuracy, reduced time utilizing the system, and increase in employee satisfaction.

- **Help Desk Changes**

The Help Desk should serve as a single point of contact for users to report problems and obtain problem resolution. The effectiveness of support activities such as the Help Desk and training have a direct impact on each other, and both areas have a significant effect on user's performance and satisfaction with an application. In addition, effective communication of problem resolution should help the staff to become more efficient at using the system thereby resulting in improved data accuracy.

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## 6 CONCLUSION

Completing this phase of the project has brought Michigan to a point to conceptualize what is needed in order to:

- Complete development of the current SWSS to bring it into SACWIS compliance, or
- Pursue alternative strategies to design, develop, and implement a SACWIS information technology system.

The information provided in this document reflects an independent review and analysis of the current state and provides the vision of the future state. The gap analysis and needs assessment guide the next steps to achieve a SACWIS compliant system by October 2012.

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## APPENDIX A – DETAILED GAP FINDINGS

The following tables list the details supporting the gap findings in Section 4, Gap Analysis. This section includes all the specific details compiled and mapped to SARGe requirements and contains the information necessary to begin the creation of detail requirements for the next phase of the project.

<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	<b>Detail Level Gap Description and Observations Collected</b>
Intake Management				
Section A	Intake			
1	<b>Record Contact/Referral</b>  <i>(AKA referred to as recording the complaint in Michigan)</i>	M	●	1. When recording allegation information and then navigating to a previous tab, workers lose the information they entered. 2. SWSS does not identify if the alleged perpetrator is a provider 3. Information only messages flash on the screen which slows users down while completing a contact/referral. (For example, Log # pop-up displays when the user can view this number already generated at the top of their screen.) 4. MI does not have a centralized hotline required by the Children’s Rights Settlement Agreement 5. The lack of flexibility in completing an intake slows workers down. 6. Intake is not designed to complete while on the phone. Some workers write down the intake information and complete the data entry after the call. (Efficiency issue). Also, screens are not set up in a logical order for workers to collect information from a caller. Examples include: <ul style="list-style-type: none"> <li>○ Usually the referring contact person information is captured first in case the call is disconnected.</li> <li>○ During the early stages of the complaint, the user is required to choose the type of contact/call being received (e.g., whether it is an information only call, complaint, etc.) even though minimal information has been obtained.</li> <li>○ The system requires workers to initiate the intake referral with a search for the primary caretaker. This edit, in combination with the problems associated with the search engine hinders intake worker from gathering information from the reporter during the phone contact.</li> </ul>



## High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	Detail Level Gap Description and Observations Collected
2	Collect Intake/Referral Information	M	◐	7. Relationships and demographic information can be entered into SWSS however the flow in which this information is entered is cumbersome. 8. SWSS does not have the ability to calculate reciprocal relationships. When CPS documents the relationship – this module focuses on the relationship to the perpetrator. In FAJ (foster care) these relationships do not appear since their module is focused on the child relationships.
3	Search for Prior History	M	◐	9. Soundex does not work properly. 10. Unable to filter searches. 11. Search results (potential matches) are not prioritized. 12. Data returned does not provide enough information to determine a match is found. Users have to navigate away from the page to identify if it's a match. (ease of use issue) 13. "Weak" search engine encourages workers to create duplicate entries. As a result, prior history searches find multiple versions of the same person which makes finding prior history inadequate. 14. Unable to merge duplicate individuals and maintain prior history. 15. History is incomplete. The system does not always provide a complete history at the point of intake. 16. If the user wants to see history of screened out/information only calls, the user has to navigate between systems or log into the Prevention module. (ease of use issue)
4	Record "Information Only" Contacts	O	○	17. Can record information only contacts however when the central intake (hotline) is created additional contact types may be necessary in order to track the types of calls and staffing needs for a central intake.
Section B	Screening			
5	Evaluate Intake Information	M	○	18. Using a list of questions, the evaluation/risk for disposition is covered in SWSS. No gaps were identified.
6	Record Results of Screening Evaluation	M	○	19. The system does record the level of risk associated to the intake and the results of the screening. (Not a gap). However, users reported that there is no summary supervisor page that displays what has been completed. The process to review the intake in order to complete a screening evaluation approval is cumbersome (ease of use issue). 20. System does not list all unassigned complaints unless the supervisor clicks unassigned (does not refresh)



<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	Detail Level Gap Description and Observations Collected
7	Establish Case Record	M	◐	21. The system currently allows the user to create a new case, attach an intake to an existing open case and reopen a closed case. However, users reported this process is cumbersome. 22. Siblings who share the same data have to be “companionated” in the current system. If cases are companionated, the user enters data on one case and the data is shared with the companionated case. Problems are created when the cases of foster care children are companionated and later are placed in separate homes. When this occurs, the cases have to be “de-companionated”. This sharing of data process could be handled more efficiently.
8	Assign Case to Worker	M	◐	23. MI does not have a centralized hotline required by the Children’s Rights Settlement Agreement. 24. Modifications will be required in order to assign intakes/cases from a central location. 25. The system does not allow secondary assignments to update case information outside of contacts. 26. Not all individuals assigned to perform work are listed in the case. Example provided: when asked by a different county to do a courtesy interview, even if the interview is done timely, the case continues to show as overdue under the courtesy worker’s name and number. The courtesy worker cannot be removed as a responsible party except by the requesting county. The supervisor in the requesting county needs to be notified by the system when a courtesy worker has completed the contact. 27. Michigan supervisors use manual process of printing reports for review and assignment. 28. Supervisors use a manual process to determine caseload management. 29. When making an assignment there only names of the supervisors/workers displayed (there is no demographic or caseload information or case weighting used to support an assignment decision). 30. SWSS does not show where the case is at all times therefore during handoff points manual logs are kept.
9	Refer for Investigation and/or Services	M	◐	31. Same gaps identified in Assign Case to Worker 32. Unable to emphasize priority 1 and 2 Intakes on the case listing screen.
Section C	Investigation			



## High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	Detail Level Gap Description and Observations Collected
10	Collect and Record Investigation Information	O	◐	33. SWSS does not record allegation information on providers. 34. System does not support multi-county investigations and share this information when appropriate. 35. SWSS does not have an intuitive flow to work process when collecting and recording investigation information. (ease of use issue) 36. Workers are currently unable to access the system remotely. When making field visits, they manually collect the information and then enter it in the system once they return to the office. In addition, on-call workers manually document the allegations and enter it in the system when they return to the office the next day. Workers desire the ability to view cases, document contacts and enter data remotely.
11	Record Investigation Decision	M	◐	37. SWSS does allow for the recording of the CPS disposition but the entry is not intuitive. 38. Users reported that there is no summary supervisor page that displays what has been completed. To review the investigation, supervisors have to open multiple pop-ups to review narratives and findings. The process to review the investigation in order to complete and approve the investigation decision is cumbersome. (ease of use issue) 39. System does not record when the fatality review was completed. 40. Focus groups reported that findings are in narratives not discrete fields.
12	Generate Documents As Needed in Response to Investigation	M	◐	41. System does not always notify the appropriate staff of an approaching deadline or missed deadline. 42. Ticklers are not used appropriately and do not cover all major events. 43. System does not notify workers of complaints and investigations on foster care providers. 44. To notify a supervisor that an intake requires review is a manual process in which the worker writes down the complaint log number and hands it to the supervisor. 45. Critical ticklers do not escalate as needed. (Reported that some users just ignore ticklers)
Section D	Assessment			
13	Determine and Record Risk Assessment	M	◐	46. SWSS users answer questions related to risk assisting in the risk determination however notes are stored individually in pop-up text fields making it difficult for the workers and supervisors to view the entire assessment without printing it. 47. The system does not contain functionality to capture the review of high risk cases and the outcome of this review.
14	Perform Risk Assessment	O	○	48. SWSS has an automated questionnaire that supports the risks evaluation.
15	Collect and Record Special Needs/Problems	M	◐	49. The system includes a Child Assessment Needs and Strength CANS tool however access to the link is not intuitive. 50. Even with the addition of the Assessment tool, special needs and problems (health, medical, educational) are not all inclusive in SWSS – narratives cannot generate reports.



## High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	Detail Level Gap Description and Observations Collected
16	Determine and Record Needed Services	M	◐	51. SWSS does not record emergency medical/dental/mental health services are needed and if they were received.
17	Record Client Contacts	O	◐	52. Original contacts that are added are frozen and additional comments can be added later but the system does not reflect the date stamp and name of person adding the supplemental information. 53. Do not have the able to multi-select from a list of common contact types. 54. Unable to record contacts while in the field. 55. Users do not enter in all contacts due to "how time consuming it is for worker to access and enter in contacts" (it was reported that most users focus on policy driven contacts instead of all contacts) 56. The system doesn't include a comprehensive list of all contacts and allow searching and sorting by different criteria such as date range, by child and by user.
18	Prepare and Record Referrals to other Agencies	O	◐	57. There is still a great deal of dependence on paper case files to support the electronic case record. A paper case file is completed on every case entered in the system. To transfer a case from CPS to Foster Care, the worker completes a 5-day packet of documents and files these documents in a paper case file which is given to the Funding Specialist to make a funding determination. Once the Funding Specialist makes the determination, the paper case file is given to the FC Worker. 58. Some required fields are forced and workers have to enter in "false" data in order to progress in the system. When identifying a need "such as foster care" the worker has to complete the fields even if they have not sent the referral out. 59. The system does not allow for automated referrals to law enforcement agencies and courts.
19	Collect and Record further Case Information	O	◐	60. Missing data: Outside documents and medical release forms are not maintained in the electronic case folder. In addition, the system lacks data fields or text boxes to capture some of the data. For example, the system does not capture data on: <ul style="list-style-type: none"> <li>○ Psychological Evaluations</li> <li>○ Provider Reports</li> <li>○ Drug Screen Results</li> <li>○ Medical Evaluations and Dental Information</li> <li>○ Some data received for Bridges or Central Registry</li> </ul>
20	Generate Documents, Notices and Reports Based on Review	M	◐	61. SWSS generates notices, documents and reports resulting from the assessment, however reports do not always match what is documented on the screens (data quality issues on reports) 62. The specific data need for some management reports are not captured in the system. 63. There has been some user complaints that all CPS history was not loaded into the data warehouse. This is due to deficiencies in the legacy Mapper system data where unique client identifiers were not used so data could not be successfully linked, converted, and uploaded.



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<b>Eligibility</b>				
<b>Section A</b>	<b>Initial Eligibility Determination</b>			
21	Determine Title IV-E Eligibility	M	◐	64. Eligibility must be automated using accurate information – users reported errors in the information due to data entry issues. 65. Delay in eligibility determination. Eligibility required fields are in FAJ and are not entered until the case is transferred to foster care. 66. Eligibility removal questions are not completed by the individual that removed the child, but by the foster care worker which may lead to errors upon entry. 67. Funding Specialist use the paper files to gather and verify information for determination. 68. The Title IV-E funding determination that is in SWSS is not automatically pulled into the Adoption Subsidy System as they correct funding determination. 69. Identify eligibility at the time of authorization and not at payment.
22	Record/Track Legal Requirements (judicial determination)	M	◐	70. The Adoption Subsidy Workers re-review all court documents in case the Title IV-E eligibility decision in SWSS is inaccurate and will be entering the correct funding determination in the ASS2004. If the IV-E determination in SWSS is different from the one entered in ASS2004, it is never corrected in SWSS (i.e., the funding determination in the Adoption Subsidy System does not get passed back to SWSS so it is possible that the two systems will not align with each other). 71. Legal information needed (reasonable efforts, removal date, etc) is tracked in SWSS but users reported errors are made and a lot of time is spent cleaning up records.
23	Determine/Track IV-E Eligibility in Out of Home Placement	M	◐	72. Funding Specialist track the status of all relative licensing on a manual log (Excel Spreadsheet). 73. Eligibility for reimbursing a payment is manually determined at the point of service authorization. This requires manual revision of the authorization when eligibility changes, requires additional claiming adjustments and may reduce the State's federal claims.
24	Verify Eligibility for Other Programs	M	◐	74. Delay in obtaining Medical Cards (CPAs cannot obtain these cards).
25	Record Authorization Decisions	M	◐	75. Subsidy and eligibility payment component is not currently in SWSS.
26	Generate Documents Related to Eligibility Determination	M	○	76. System generates ticklers and reports no gap was reported.



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Section B	Changes in Eligibility			
27	Re-determinations (a. & b.)	M	◐	77. Same gaps as identified above.
28	Generate Documents Related to Eligibility Determination (a., b., c., & d.)	M	◐	78. Numbers on children that are state funded and number that are IV-E eligible are manually tallied.
Case Management				
Section A	Service/Case Plans			



<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	Detail Level Gap Description and Observations Collected
29	Prepare and Document Service/Case Plan	M	●	79. Currently YIT (Youth in Transition) information is not stored in SWSS. 80. CPA (POS workers) are not users in SWSS and do not enter their plans into SWSS. 81. Users reported that service plans are cumbersome to complete and time consuming. Too many screens and edits. 82. CPA reported they use various forms and not a single case/service plan form. 83. System does not record Adoption Subsidy Agreements. 84. System does not include concurrent planning (goals) in SWSS. 85. Workers are required to complete the service plan in order to save the information. 86. Prevention cases are primarily a manual process; the user currently uses Word documents to capture report information on Prevention cases. 87. The Prevention module in the current system is very limited in its functionality. It only supports assignment and referral. It does not track services or allow disposition of the case. 88. Need to incorporate Family to Family initiative. 89. Requires Interstate processes to be added 90. Information captured does not contain all the data necessary to comply with the settlement for: <ul style="list-style-type: none"> <li>a. Reunification beyond 12 months</li> <li>b. Change of Goal to Adoption</li> <li>c. TPR Associated Dates</li> <li>d. Pre-Adoption Process</li> <li>e. SWSS does not store case goal approvals</li> <li>f. Individual education plans</li> <li>g. All the dates associated to the adoption subsidy and</li> <li>h. Pre-Adoptive placement disruption dates and reasons</li> </ul>



High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	Detail Level Gap Description and Observations Collected
30	Identify and Match Services to Meet Clients Case Plan Needs	O	●	91. No comprehensive database to capture client services starting with the least restrictive environment. 92. System does not contain specific data elements to track barriers to services and transportation needs. 93. Unable to document if relative placement or adoption is in the child's best interest. 94. SWSS does not capture relative agreement for permanency and stability. 95. Unable to perform best match placement scenarios regardless if the home is CPA or DHS home. 96. CPN pilot does not capture all the information for child needs and foster home capabilities when conducting a match for placement. 97. CPN requires the worker to re-enter information on the child when a placement disrupts even if a known placement is made available outside of the system. 98. Business practice to split up case management responsibility based on placement options is not supported by SWSS (and by industry best practice). 99. SWSS does not support the documentation of relative placement exceptions and waivers or the approval of these exception and waivers. 100. No geographical coding to capture placement location compliance and reasons for placing a child outside of the county or 75 mile radius. 101. System does not capture reason for sibling separation. 102. System does not prevent high risk youths from being placed with other children. 103. When matching a foster home to a child, the system does not capture critical placement factors for children already in the home, which includes behavioral or special needs to prevent placing high risk children with others. 104. Placement information for the initial placement is not entered by CPS workers.
31	Record Contact with and Acquisition of Needed Resources/Services	O	◐	105. System does not capture foster parent or relative decision regarding adoption. 106. Unable to record the relationship between a licensed foster parent and the child. 107. System does not capture all the required services and referrals for children transferring to Adulthood. 108. Provider service authorizations are in MS Word documents and do not utilize (pre-fill) the information already entered into SWSS.



## High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

<b>Gap Analysis Key</b> (○ = No Gap, ◐ = Partial Gap, ● = Full Gap, N/A = Not Applicable) (M = Mandatory SARGe Requirement, O = Optional SARGe Requirement)		Mandatory or Optional	Gap Findings	<b>Detail Level Gap Description and Observations Collected</b>
32	Track and Update Service/Case Plan	M	◐	109. Unable to monitor/track quarterly service plans completed by private agency caseworkers (CPA-POS workers). 110. System does not track the reasons for extending the permanency goal and the documented approval of this extension. 111. Unable to track if the plan is being executed and if concurrent planning is occurring. 112. SWSS has only one Adoption Registry date. 113. Unable to track and report visitations and reasons for Sibling Visits and Parent – Child Visitation barriers. 114. Unable to document relative and “fictive” kin placement appropriateness. 115. Unable to capture Residential care placements 90 day reassessment requirements, approvals for stays past 6 months. 116. Unable to capture that the home is the least restrictive environment for a child (such as a Residential care placement.) 117. SWSS does not retain a point in time copy of the service plan that was sent to court. (Hard copy is kept in file however, SWSS never freezes the plan).
33	Match Client to Placement Alternatives, if Needed	O	●	118. Demonstration revealed that the search function for provider is not working correctly (defect). 119. SWSS supports a search function to identify placements but it’s only by services not by child criteria. 120. CPN is used in Wayne County that supports some of the basic requirements to meet SARGe but it does not take into consideration the children that are already in the home and their behaviors.
34	Generate Documents as Needed	M	○	121. SWSS does provide information in the Service Plan to notify the worker of what has not been completed and links to what needs to be updated.
35	Request and Record Supervisory Approval of Plan, if Needed	O	◐	122. SWSS records the approval however, information is difficult to review online and does not allow for track changes therefore supervisors print, review and produce plan corrections on hard copy before making an approval. 123. Errors/Problems identified during the Supervisory Review process aren’t stored and/or displayed. If the supervisor identifies problems needing corrections, an email can be sent to the worker with documentation of the problem areas. When the worker makes the corrections and returns the case to the supervisor, the system doesn’t display to the supervisor, what issues/problems were previously cited. 124. Does not track approval exceptions to plan services based on barriers.



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36	Estimate and Track Actual Costs of Resources/Services	O	●	125. The system does not capture CCF information.
37	Identify Program Outcome Measures	O	●	126. Unable to quantitatively measure outcomes based on caseworker actions that affect the success/failure of permanency goal. 127. Unable to measure outcomes for the effectiveness of the service provided. 128. Reports do not always match what is documented on the screens (data quality issues on reports to perform review of outcomes). 129. The specific data need for some management reports are not captured in the system. 130. Forced data entry means inaccurate reporting. SWSS forces information to be entered in a specific order. In order to proceed with their entry, the user intentionally enters "false" data in order to progress in the system. When identifying a need "such as foster care" the worker has to complete the fields even if they have not sent the referral out. Other examples, included: medical, law enforcement, and safety.
Section B	Case Review/Evaluation			
38	Generate Alerts to Conduct Case Review/Evaluation	M	◐	131. System is missing pertinent dates and data to track DOC and provide alerts and reporting to ensure the review of DOC are conducted in a timely manner. 132. Sometimes the supervisor is not notified when an ISP or USP is due. Users are supposed to receive an email however, they reported that it's a "hit or miss" process.
39	Conduct and Record Results of Case Review	M	◐	133. Current functionality does not record all the types, recommendations and outcomes of the Team Decision Making (TDM). 134. Do not have the capability to review DOC to verify consistent implementations of this process across counties.
40	Generate Documents, Notices and Reports based on Review	M	◐	135. The system does not produce several of the reports needed by management. For examples, no report is generated to show the number and type of complaints received in Intake, number of removals from the home, number of funding determinations/redeterminations completed and number of children that are IV-E eligible. 136. Users stated that the reports that are produced are inaccurate, not tested well and sometimes hard to retrieve. 137. Users who generate reports requiring data, which spans a lengthy time period, have to break up the time frame in smaller time spans otherwise the system freezes up.



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41	Record Collateral Contacts	O	◐	138. Workers have the ability to record collateral contacts but it was reported that only policy driven contracts are recorded since its difficult and time consuming to enter in contacts (ease of use). 139. Data on Frequent Contacts is maintained outside of the system such as names of schools are in the system but there is no additional information regarding names of contacts, school addresses, phone numbers, and hours. 140. The system lists names of potential service providers but does not contain names of contacts, office addresses, phone numbers, and business hours.
Section C	Monitoring Service/Case Plan Service			
42	Track and Record Services Identified in the Service/Case Plan	O	◐	141. Unable to track the reasons for temporary shelter/placement over a 12 month period and exception conditions as documented in the settlement.
43	Generate Documents, Notices and Reports	M	◐	142. Unable to track all the data necessary to capture the services needed and provided to clients for reporting. 143. Some reports are not generated by the system or if they are generated by the system, they contain incorrect data. There are several management reports that the managers have to complete manually or maintain in an ancillary system because the system does not produce the report.
<b>Resource Management</b>				
Section A	Facilities Support			
44	Record and Update Provider Information	M	◐	144. Unable to document and report on why a foster home discontinued providing services. 145. Licensing home study information that records the home background checks, safety checks, etc are not available in the data warehouse. 146. SWSS does not include the background check results. 147. BCAL does not track timeframes for licensing process.
45	Generate Alerts/Action Items on Licensing Status Changes	M	●	148. System does not generate alerts to workers when allegation or complaint is received (paper process) 149. System does not notify licensing workers when renewal is required.



## High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

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46	Generate Reconciliation and Evaluation Reports	M	●	150. System does not contain enough reportable data to produce reports based on evaluations.
47	Record Track Provider Training	O	●	151. Does not have a comprehensive tracking mechanism to track provider training. (for foster homes and relatives).
<b>Section B</b>	<b>Foster/Adoption Homes Support</b>			
48	Maintain and Update Foster Care and Adoptive Home Information	M	◐	152. No central repository of adoptive/foster homes. BCAL posts information on the web but this information is also tracked by licensing workers (since this data is not real time and sometimes get lost in routing) – duplicate data entry. 153. Manual process for capturing and maintaining foster care home information differs per County and per agency. BCAL has licensing information tracking (In BITS) but does not track all the information necessary for a central repository. 154. Unable to view potential adoptive homes for child matching using demographics such as age, race, gender, religion, language, special needs, etc. 155. BITS (BCAL SYS) does not track provider preferences, specialties or special training that will support matching providers to client needs. It only tracks provider licensing information. 156. The need to record provider specialization is needed to support matching of children's needs to provider capabilities. For example, some providers will be open to accepting aggressive children, teenagers, children with behavior problems, mentally ill children, sexually aggressive children, etc. This is not required by SACWIS but represents important functionality of systems that must be incorporated into SACWIS to meet client's needs.
49	Record Foster Home Abuse/Neglect Allegation & Investigation Results	M	◐	157. SWSS does not automatically identify when a provider is the alleged perpetrator. 158. System does alert a worker regarding investigation and complaint and the results of the complaint. 159. Delay in worker notification when a licensing issue is reported.



High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

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50	Process Foster Care/Adoption Home Applications	O	●	160. Process is not in SWSS. 161. Primarily a paper (manual) process. 162. Various databases, excel spreadsheets, or paper are used to process homes. 163. System does not track timeframes in order to comply with the settlement (now required to process within 90 days). 164. Workers do not have the ability to expedite licensure process.
51	Generate Alerts/Action Items as Needed if Foster Care License Revoked	O	●	165. No alerts generated to workers who have children in a home of a provider identified in an abuse or neglect report.
Section C	Resource Directory			
52	Maintain Directory	O	●	166. There is no central directory that contains all services, homes, children, and specialty information.
53	Generate Reports	O	◐	167. Data for abuse and neglect information for licensed facilities is stored in BCAL and not available for the data warehouse or SWSS 168. Does not capture data and generate reports on psychotropic medication, physical restraints and seclusion performed by providers to comply with the settlement.
Section D	Contract Support			
54	Process Contract and Contract Changes	O	●	169. Not currently in the plan for Michigan SACWIS plan and budget. 170. There is some need to process payments against budget to monitor contracts.
55	Record Contract-Monitoring Results	O	●	171. Not currently in the plan for Michigan SACWIS plan and budget. 172. System and procedure do not support performance based contracts as required in the settlement agreement, 173. System does not identify and track program outcome measures and performance based contracting
56	Generate Alerts/Action Items	O	●	174. Not currently in the plan for Michigan SACWIS budget.
57	Generate Documents	O	●	175. Not currently in the plan for Michigan SACWIS budget.



## High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

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<b>Court Processing</b>				
Sec. A(58)	Court Documents	○	◐	176. SWSS has the ability to generate court petitions but some court personnel will not accept system generated documents. As a result, workers create a summarized word document. 177. SWSS uses their service plan as a court report when most judges do not want all this information. They want a status of what has happened since the last hearing (one page synopsis).
Sec. B(59)	Notifications	○	◐	178. Not all notifications to the court are stored in SWSS.
Sec. C(60)	Tracking	○	◐	179. SWSS does not freeze their last report (service plan) to the court. Paper documents are the only mechanism to view what has reported at the last hearing. (No point in time documentation).
Sec. D(61)	Indian Child Welfare Act Support	○	◐	180. The notification process to the tribe is not fully supported in SWSS
<b>Financial Management</b>				
Sec. A(62)	Accounts Payable	M	◐	181. Multiple payment systems such as SWSS and LASER are used to pay for children's services, depending on the type of service and the type of funding involved. This creates fragmented reporting and reimbursement claiming processes and violates the single statewide requirements of SACWIS. 182. Manual payment processes such as service authorization and payment on the 1291 (local payment authorization) are not automated. 183. System does not perform Automatic Payment Adjustments -Overpayment identification when system has rate changes, contract changes, service date changes, third party payments and service unit changes. 184. The system should automatically re-process reimbursement when eligibility changes retroactively. This is not required by SACWIS but improves efficiency of claiming and maximization of reimbursement. 185. Payments from County Child fund are not incorporated into SACWIS. Users reported that sometimes they pay foster homes twice since they did not know the County already paid them. A single statewide system will require Accounts payable to be all inclusive.



High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

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Sec. B(63)	Accounts Receivable	M	◐	186. Accounting for SSI funds is provided by a standalone system that must be replaced to meet the SACWIS mandatory requirement for including Accounts Receivable in SACWIS. It will also improve documentation of the use of children's funds in meeting the cost of care. 187. Currently there is no documentation to indicate how Children's funds such as SSI are used to pay for care for the benefit recipient. This has been an issue with management of the funds in the past and could result in sanctions in the future. 188. Lack of integration with county child care expenditures makes AR determination difficult. County payments may be recorded as aggregate amounts so the AR required from a payment is not readily definable. 189. Fragmentation of payments in different payment systems makes ARs difficult to process.
Sec. C(64)	Provider Claims Processing	M	◐	190. Manual payment processes such as service authorization and payment on the 1291 (local payment authorization) are not automated. 191. Multiple payment systems such as SWSS and LASER are used to pay for children's services, depending on the type of service and the type of funding involved. This creates fragmented reporting and reimbursement claiming processes and violates the single statewide requirements of SACWIS. 192. Payments from County Child fund are not incorporated into SACWIS. Users reported that sometimes they pay foster homes twice since they did not know the County already paid them. A single statewide system will require Accounts payable to be all inclusive
<b>Administration</b>				
Section A	Staff Management			
65	Employee Information (name, employee number and office)	M	◐	193. Does not include Private Agencies (CPAs)
66	Employee Information (demographics & results of Background checks)	O	●	194. No plan to add this requirement



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67	Record and Track Case Assignment	M	●	195. Title field in SWSS is not accurate enough to distinguish roles based on settlement requirements. 196. Not all private agency case assignment is tracked for adoption cases that include DHS supervision of the foster care case. 197. Unable to identify if an adoptions worker has been assigned to a case. 198. Unknown if another county is working on a case
68	Assist in Workload Management	O	●	199. No case weights and when assigning a worker to a case - the supervisor only sees the workers names not their case load or case count.
69	Track Employee Training	O	●	200. Staff qualifications and training are stored in JJOLT (not available on the data warehouse) 201. Refresher training for SACWIS users is needed.
70	Document Employee Performance	O	●	202. Optional requirement not planned for SACWIS.
Section B	Reporting			
71	Produce AFCARS Report	M	◐	203. Produces the AFCARS report, tracks AFCARS information and does not use defaults but data quality may be an issue. 204. No indicators used to identify AFCARS fields for users. 205. AFCARS data is generated from Henry. 206. Central office collects the "Adoption Finalization" form from both DHS and Private Agencies. This information is data entered into Henry (AFCARS database). 207. "Because of the paper reporting process for adoptions, there is a discrepancy between the time the cases are reported in the foster care AFCARS file with a discharge reason of placed for adoptions, and when they are reporting in the adoption file with a discharge reason of finalized adoption. 208. Missing fields to comply with AFCARS.
72	Produce Other Federal Reports (e.g., IV-E 1)	M	◐	209. NYTD.



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73	Produce State Reports (a. & b.)	M	◐	210. Comprehensive Caseload reports that include private agencies, roles and assignments. 211. Oversight reports for investigation response times. 212. Case Monitoring reports, starting at office level and rolling up to provide performance data at all levels. 213. Compliance reports for data entry. 214. Timeliness reports for assignment, handoff, investigation, case contacts, and ongoing contacts. 215. Reporting for length of stay, permanency goal change, etc. 216. Reporting for compliance with the consent agreement.
74	Produce Statistical Reports	M	◐	217. Does not produce all management reports needed for management monitoring. 218. Use systems outside of SWSS to produce reports including EXCEL spreadsheets and ACCESS databases. 219. Management reports are not clear and always accurate. 220. Managers are unaware of reporting adhoc processes. 221. CFSR require more information captured. 222. More reports need to comply with the consent decree.
Section C	Administration Support			
75	Provide Hardware and Software Security (Hardware, Telecommunications, SW Application and Data)	M	◐	223. All production data currently being backed up by EMC Storage Area Network (SAN) on nightly incremental (retained for 7 days), full weekly (retained for 30 days) and full monthly (retained for 6 months). No gap identified 224. Audit trails are currently being performed on selective data elements but not fully covering all changes to SWSS data. There is a partial gap here. Full audit trail functionality needs to be activated but current Database Server capacity limits this capability. The conversion to Sun Solaris N9000 servers should mitigate this gap. Conversion scheduled for November 2009.
76	Provide Hardware and Software Security (Confidentiality & CAPTA Requirements)	M	○	225. Currently the system requires role based security to access data and confidentiality agreements are being maintained by the State. No gap identified



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77	Provide Hardware & Software Security (Contingency and Disaster Recovery Plans)	M	●	226. Currently the State's 2 production servers have minimal disaster recovery capabilities. (Note: The implementation if the Sun Solaris N9000 servers will include disaster recovery capabilities. Implementation of the Sun servers is planned for November 2009.) 227. Use manual intervention to restore and recover corrupted files.
78	Archive and Purge	M	●	228. Not yet developed – planned for 2010
79	Provide Office Automation	O	○	229. DHS users have Microsoft Office 2003 Professional office automation suite. Email currently is Novell GroupWise (no gaps identified).
80	Provide On-Line System Documentation	O	○	230. Excellent help messages and policy helpers (no gaps identified). 231. Reported that additional policy and help for treatment plan would be ideal however overall requirement is met.
81	Provide On-Line Training	O	●	232. This optional requirement is not in SWSS.
<b>Interfaces</b>				
Section A 82	Required Interfaces			(covered in 83-86)
83	Title IV-A (TANF)	M	◐	233. With a complete implementation of Bridges this requirement will be met (no gap identified – will be met once Bridges implementation is complete).
84	Title IV-D (Child Support Enforcement)	M	◐	234. One way interface from SWSS to the IV-D system was developed. A two way interface is not implemented.
85	Title XIX (Medicaid)	M	○	235. With a complete implementation of Bridges this requirement will be met for Medicaid Eligibility 236. Deleted.
86	Child Abuse and Neglect Data System	M	○	237. The system captures all the data used for NCANDS File – no gaps reported.



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<b>Sec. B (87)</b>	<b>Optional Interfaces (as applicable)</b>			
87	State Central Registry on Child Abuse & Neglect	O	○	238. SWSS includes a State Central Registry.
87	SSA for Title II and SSI Information	O	●	239. Not currently planned.
87	State Financial System	O	◐	240. Interface to Model Payment System is completed. 241. Plan to replace legacy system and redevelop this in SWSS for compliance based on Federal review feedback.
87	State Licensing System	O	◐	242. Reported that the Interface to Child Welfare Licensing is complete. 243. BCAL (BITS) sends the provider updates to MODEL payments system. Then either Bridges or MODEL payment system (MPS) sends the data to SWSS. (Bridges is not statewide yet).
87	Vital Statistics	O	●	244. Future enhancement planned to be implemented in 2011.
87	Court System	O	●	245. Future enhancement planned to be implemented in 2011.
87	Juvenile Justice	O	●	246. Future enhancement planned to be implemented in 2011.
87	Mental Health/Retardation	O	●	247. Not currently planned.
87	State Department of Education	O	○	248. A list of schools and districts are electronically obtained from the Department of Education (no gap identified).
<b>Sec. B IX (88)</b>	<b>Quality Assurance Indicators</b>			
88	Edits, Range Checks, and Prompts for Critical <sup>2</sup> or Incomplete Data	O	◐	249. There are numerous edits, range checks, prompts for critical or incomplete data however users do not feel they are effectively used. Some are very cumbersome and prompts are not always useful. 250. Users are forced to enter in "dummy data" in order to proceed to the next screen. 251. AFCARS, Eligibility and NCANDS fields are not visually different to prompt workers to complete these data fields. 252. Missing important foster care edits, such as, 30 day physical for all children and an edit to ensure the user updates the medical fields within SWSS.

<sup>2</sup> Critical data is defined as anything required for State or Federal reporting or audit (e.g., AFCARS data, child and family services, and IV-E eligibility reviews).



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88	Supervisory Oversight & Authorization Related to Case Review	O	◐	253. Reported that the system has procedures for appropriate supervisor oversight and authorization related to case file review however supervisors reported the difficulty in reviewing cases due to the number of tabs, pop-ups and pages to review work online. 254. Limit ability to produce reports for supervisory oversight – issues with changed management along with a technical tools gap.
88	Random Sampling based on Variable Characteristics for audit purposes	O	●	255. DHS did not report having this functionality. 256. Business side is not to the maturity of utilizing a technical process for statistical validity.
88	Recording and Tracking the Results of an audit and Corrective Actions	O	●	257. DHS did not report having this functionality. 258. System has weakness in controls and tracking.
88	Tracking of Outcome Measures by Program Managers, and Support Trend Analysis of Results	O	◐	259. SWSS does not have the reporting needed to meet the settlement agreement. 260. Use the data warehouse to build some reports to track outcome measures (“there are less gaps in the data warehouse then anticipated”).
88	Generate Summary Management Reports on Client Demographics & Needs	O	●	261. DHS did not report having this functionality really need basic in time reporting from SACWIS.
88	Reports on the Length of Time in Foster Care by Service Needs & Services Provided	O	●	262. DHS did not report having this functionality. 263. “Length of time reporting is vital for CFPSR compliance and settlement agreement reporting. These are currently reported through the data warehouse (DW). Currently not reported within SWSS as a report. SWSS does hold the date fields (with or without gaps in the edit structure) to extract from the DW.”



High Level Requirements Validation, Gap Analysis and Needs Assessment A.2-3

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88	Track Referrals & all required time-sensitive actions for title IV-B & IV-E Related Cases	O	◐	264. Reported that SWSS tracks referral and all required time- sensitive actions for IV-B and IV-E Reviews, Investigations, Treatment and Service Plans. 265. Not all those interviewed agreed that time sensitive actions are tracked .
88	Alert Supervisory & Management Staff, When Appropriate of Time Delays	O	◐	266. When required action is delayed alerts are included however several individuals reported that this works for some delays but not all and workers figure out ways to change the dates to meet due dates when they did not actually meet them. 267. The tickler system, alerts and monitoring reports have gaps.
88	Automatically Request an Investigation & Track the Case to Ensure Its Completion	O	●	268. DHS did not report having this functionality. 269. Does not have an interface with BCAL to track and ensure completion.
88	Maintain And Link Variable And Static Data Used To Determine Eligibility For Title IV-E Payments	O	◐	270. It was reported that the system maintains the data used for IV-E Eligibility determination 271. However as reported earlier in this gap analysis – when incorrect information is found the information is not always corrected in SWSS.
88	Does The Automated System Also Establish Data Entity Relationships Between Providers, Clients, And Payments?	O	◐	272. It was reported that SWSS establishes relationships between providers, clients and payments but there were numerous gaps previously documented that do not encompass the relationships between clients and providers, payments made by counties, etc.



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88	Financial Reconciliation Of Payments, Including Overpayments & Recovery, By Occurrence	O	●	273. DHS did not report having this functionality. 274. The county child care funds are blocks of money independently budgeted and paid by the county. There is no standard payments process to reconcile or monitor for the county funds.
88	Does the Automated System Contain all Data Necessary to Effectively Manage a Case?	O	◐	275. It was reported that SWSS does contain the necessary data to effectively manage a case however cases that are managed by CPA agencies are not included. 276. Relationships do not carry from CPS to foster care (FAJ) system since CPS treats a case as a family where the children are treated as individual cases in foster care.
88	System Able To Track a Child Across Multiple Occurrences and/or Cases?	O	◐	277. It was reported that SWSS tracks multiple occurrences and/or cases but due to duplication and system "defects" this is not always accurate.
88	Support the Review Of Case Files for Accuracy, Completeness, and Compliance	O	●	278. DHS did not report having this functionality.



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88	Capture & Transmit known Cases in The AFCARS Report, Including Cases w/ Incomplete Information Or Untimely Actions	O	◐	279. SWSS has the required fields and format for AFCARS however there is some data quality issues that were noted. 280. GAPS specifically in the reasons for removal. 281. Adoption AFCARS is not being completed at all within SWSS.
89	Other Quality Assurance Functions to Support SACWIS	O	●	282. DHS did not report having additional (other) QA functionality.
Sec. B X	Other Functionality			
90	Functionality not described above	O	○	283. Digital Imaging to add and store picture of children. 284. Birth Registry check is made against SWSS and reported births to identify any possible investigations needed based on prior reports.