



Child and Adult Care Food Program (CACFP) Information and Payment System (CIPS) Modernization RFP

CIPS Current State

This document describes the current CIPS application, the internal and external program stakeholders, and additional information technology system(s) in use. Also outlined are the strengths, weaknesses, opportunities and threats of the current state.

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1 Background

The Child and Adult Care Food Program (CACFP) is a nutrition education and meal reimbursement program helping providers serve nutritious and safely prepared meals and snacks to approximately four million children and adults in day care settings nationwide each day. The U.S. Department of Agriculture (USDA), Food and Nutrition Service (FNS) administers the CACFP at the national level, while the New York State Department of Health (the Department) implements the program at the state level. The USDA FNS develops regulations and establishes policies necessary to carry out the program. The Code of Federal Regulations (CFR), at 7 Section 226, contains the CACFP regulation.

New York State has the third largest CACFP in the nation, serving approximately 340,000 children and adults each day. The Department received approximately \$242 million in federal USDA funds in federal fiscal year 2016-2017 to support the CACFP and is required to monitor program operations to ensure compliance with the CACFP's nutrition, fiscal, and recordkeeping requirements. To support these requirements, the Department contracted with an outside vendor in 2006 to develop a web-based information and payment system using a customized, commercial off the shelf (COTS) product.

The current system, the CACFP Information and Payment System (CIPS), handles the application and processing of claims for reimbursement to approximately 1,400 sponsoring organizations. For providers to receive reimbursement, the sponsoring organizations submit monthly claims for meals served to participants. The Department calculates payments based on national reimbursement rates and submits approved claims to the Office of the State Comptroller, where payment is processed and sent to the sponsoring organizations.

On average, the Department processes approximately 1,800 claims per month (totaling approximately \$20.5 million per month). Claims must be processed and paid on a daily basis to assist organizations in meeting their food service expenses and administrative costs. Daily processing also ensures that the Department abides by NYS's newly enacted 15-day prompt payment for small businesses, as well as the 30-day prompt payment legislation that has been in effect for more than two decades.

The CIPS has been in use for almost a decade and was built on technology that is reaching obsolescence. The aging system is costly to maintain, and some aspects can no longer be supported. Interruption to CIPS accessibility could result in the Department paying interest on claims not meeting the prompt-pay requirements and failure to meet USDA requirements for the management and oversight of new and renewing Sponsoring Organizations. Additionally, components of the program have evolved and currently reside in stand-alone data silos that are dependent on manual processes. As the federal program continues to evolve, the Department needs technical solutions to support the program's expanding needs efficiently and effectively.

Additionally, components of the program have evolved, and the data supporting these initiatives resides in standalone silos. Some of these initiatives are dependent on manual processes. A description of these initiatives is provided in the following paragraphs.

Eat Well Play Hard Child Care Settings (EWPHCCS)

Eat Well Play Hard in Child Care Settings (EWPHCCS) is a nutrition education and obesity prevention program administered by the Department. The initiative has three focus areas: child care centers, day care home providers, and farm-to-preschool.



The Eat Well Play Hard in Child Care Centers (EWPHCCC) component provides funding to grantees to implement a nutrition and physical activity curriculum designed for pre-school children, their families, and child care center staff. Program participants learn about healthy eating and physical activity through the provision of lesson plans, activities, and recipe sampling. Registered dietitians are hired by grantees to implement EWPHCCC in low-income child care centers throughout New York State. The intervention is implemented in 16-week cycles at eligible CACFP-participating child care centers and includes a variety of required sessions, including post-implementation sessions.

The Eat Well Play Hard in Day Care Homes (EWPHDCH) component offers a 12-week intervention aimed at helping day care home (DCH) providers make changes in their environments to promote healthy eating and increase physical activity for the children in their care. DCH Providers serve as the primary target audience, while children and their parents are secondary target audiences. The 12-week intervention consists of an introductory home visit, attendance at five small group workshops, and five in-home lessons carried out by Department staff.

Department staff are responsible for working with DCH Sponsoring Organizations to recruit DCH providers and conduct the 12-week intervention. Approximately five to eight DCH providers participate in each cycle, and each staff member aims to conduct two, 12-week cycles annually.

The Farm to Preschool (F2P) component addresses barriers related to poor nutrition and food insecurity, including access to and cost of locally grown, fresh produce. This is accomplished through the:

- Integration, establishment, or expansion of farmers' markets/farm stands or farm food deliveries, in combination with food demonstrations and/or tastings to engage market participants
- Incorporation and promotion of on-site gardening and related educational activities
- Procurement of fresh produce for child care center meals/snacks

As part of the initiative, F2P coordinators are hired through the EWPHCCS grantees to work with select child day care centers. F2P Coordinators identify farmers to sell produce proximal to the child day care center. F2P projects are required to include education and food demonstrations/tastings that engage parents and child care center staff to facilitate increased awareness and behavior changes related to increasing the consumption of fruits and vegetables, at home and in the child day care center.

Breastfeeding Friendly Childcare Initiative

The Department's approach to increasing the support, promotion, and protection of breastfeeding across NYS is carried out through the Breastfeeding Friendly (BFF) Childcare Initiative. Its goals align with national breastfeeding efforts, such as Healthy People 2020. Day care providers across the New York State are awarded the designation of BFF when they demonstrate policies and practices that support breastfeeding mothers and infants.

Day care centers and day care providers apply for the designation after receiving breastfeeding training and completing a self-assessment form. Day care centers need to renew every three years to continue their participation in the BFF program. Day care providers have a non-expiring certificate and do not need to renew. Approximately 200-250 providers are newly designated as BFF per year, and approximately 30-40 renewals are processed each year.



Outreach

The Department promotes program growth by reaching out to populations that are not participating in the CACFP. Unserved populations are identified by comparing New York State licensing data to CACFP participation data. Once identified Department staff and partnering agencies carry out various methods of outreach.

The Growing Up Healthy Hotline (GUHH) is an outreach tool that refers non-participating DCH Providers to Sponsoring Organizations in their service area. Department staff respond to GUHH inquiries to provide information and referrals for healthcare, nutrition, and other health and human services. The hotline is available 24 hours/day, seven days a week, in English, Spanish, and other languages.

The Department processes approximately 300 applications per year. Department Application Reviewers/Approver initiate these applications in response to inquiries that are processed through an online pre-screening tool that is available to the public.

2 Stakeholders

The following tables identify the CACFP stakeholder groups and volume of stakeholders and provides a high-level description of the stakeholders’ roles in the CACFP.

Table 1 – External Stakeholders

Stakeholder Group	Stakeholder Role in the CACFP	Volume (Estimated)
<i>External Stakeholders</i>		
Sponsoring Organizations (Center Sponsors and Day Care Home Sponsors)	<ul style="list-style-type: none"> Apply for/enroll in NYS CACFP Enter into and renew CACFP agreements annually Maintain application information Submit claims for reimbursement Submit Corrective Action Plans and supporting documentation Apply for advanced funding 	1,400 sponsoring organizations
Day Care Providers	<ul style="list-style-type: none"> Operate day care centers (sites) and day care homes Serve meals/snacks to CACFP participants Record daily meals and attendance and report CACFP participation to the sponsoring organization Receive meal reimbursement Determine and maintain enrollment eligibility for CACFP participants Recipients of EWPH nutrition and physical activity education 	14,250 sites/providers



Stakeholder Group	Stakeholder Role in the CACFP	Volume (Estimated)
<i>External Stakeholders</i>		
CACFP Participant	<ul style="list-style-type: none"> Individual infant, child, or adult who is the recipient of CACFP-reimbursable meals and/or snacks Recipients of EWPH nutrition and physical activity education 	340,000 participants
Non-CACFP Participating Potential New Sponsors	<ul style="list-style-type: none"> Inquire to the Department about becoming a CACFP sponsor May utilize the CACFP potential new sponsor web application to complete the application process online May be unaware of the CACFP and its benefits and have not reached out to the Department 	300 inquiries annually
EWPHCCS Grantees	<ul style="list-style-type: none"> Not-for-profit organizations that are awarded grants by the Department to implement the multi-component EWPHCCS intervention In most instances, an EWPHCCS Grantee is a CACFP Sponsoring Organization Report intervention implementation data to the Department 	Up to 12 organizations
EWPHCCS RDs	<ul style="list-style-type: none"> Registered Dietitians (RDs), employed by EWPHCCS Grantees, who carry out the EWPH intervention in child care centers Enter intervention data into the EWPHCCS web application and multiple data collection spreadsheets to facilitate the federally required reporting needed to maintain funding 	40 RDs

Table 2 – Internal (NYSDOH CACFP) Stakeholders

Stakeholder Group	Stakeholder Role in the CACFP
<i>Internal Stakeholders (Approximately 65 NYSDOH CACFP Staff Members)</i>	
CACFP Administrative Review Staff	<ul style="list-style-type: none"> Monitor institutions and facilities to ensure compliance with Program guidelines Schedule and track administrative program reviews conducted at sponsoring organizations



Stakeholder Group	Stakeholder Role in the CACFP
<i>Internal Stakeholders (Approximately 65 NYSDOH CACFP Staff Members)</i>	
	<ul style="list-style-type: none"> • Confirm the institution/facility's viability, accountability, and capability in operating the CACFP • Determine that records are available to justify reimbursement for meals served to participants • Identify and track findings, recommendations, and corrective actions • Provide technical assistance to the institution/facility to ensure program compliance
CACFP Fiscal Staff	<ul style="list-style-type: none"> • Review sponsor fiscal records and budgets to ensure fiscal accountability • Compare approved budgets to actual expenditures • Assist with financial review during the administrative program review process • Monitor Sponsoring Organizations' with food procurement contracts for compliance • Track Sponsoring Organizations and day care providers throughout the seriously deficient process • Track administrative expenditures for day care homes and calculate carry-forward amount • Track compliance with federal audit requirements • Submit reports to USDA for compliance with federal regulations • Review vouchers and back-up documentation for EWPHCCS and track reductions in vouchers amounts • Assist NYSDOH CACFP Application Reviewers/Approvers with review of budgets • Track Corrective Action Plans (CAPs) for excessive fund balances • Complete audit certifications and provide payment history reports for outside auditors • Provide assistance to Sponsoring Organizations to improve the accounting for CACFP funds • Assess and make recommendations regarding internal controls to Sponsoring Organizations • Oversee the payment of claims
CACFP Claims Staff	<ul style="list-style-type: none"> • Review monthly claims for reimbursement submitted electronically by Sponsoring Organizations to ensure that they are processed • Review and enter paper claims received • Contact Sponsoring Organization staff for additional information or clarification of what was submitted on the claim • Ensure that payments are batched and processed daily for payment in the State Financial System (SFS), including generating the claim file for SFS to pay the claims, receipt of warrant file from SFS, and posting payment information in CIPS



Stakeholder Group	Stakeholder Role in the CACFP
<i>Internal Stakeholders (Approximately 65 NYSDOH CACFP Staff Members)</i>	
CACFP Application Reviewers/Approver	<ul style="list-style-type: none"> • Process the applications for non-CACFP participating potential new sponsors • Verify program eligibility • Conduct on-site, pre-approval visits • Make recommendations for program participation • Recommend application approval to Department Managers
CACFP Report Staff	<ul style="list-style-type: none"> • Process requests for reports using CIPS reporting database, EWPH database, and multiple Access databases • Manage approximately 150 reports • Provide data to outside agencies, such as NYS Fiscal Management Group (FMG); NYS Office of the State Comptroller (OSC); auditors; federal, state, county, and city officials; sponsoring organizations, and other interested agencies • Manage user accounts in the Health Commerce System (HCS), CIPS, CACFP NY training website, and the EWPHCCS web application • Maintain content of the CACFP pages of the NY.Gov website
CACFP Training Staff	<ul style="list-style-type: none"> • Determine overall training needs, and identify Sponsoring Organizations in need of training • Invite Sponsoring Organizations to training opportunities, and manage the registration process • Monitor and document all activities related to classroom and online trainings • Provide training reports for sponsoring organizations • Assess onsite training effectiveness
EWPHCCS Staff	<ul style="list-style-type: none"> • Monitor EWPHCCS Grantee compliance with intervention components and the required deliverables • Monitor data trends for all EWPHCCS intervention components • Compile EWPHCCS Grantee data for integration into federally required quarterly and annual reports • Track federally mandated participation information • Monitor data entry and provide technical assistance to EWPHCCS Grantees to ensure accurate data entry
EWPHDCH Staff	<ul style="list-style-type: none"> • Implement the EWPHDCH intervention • Collect and store intervention data • Monitor compliance with intervention components • Monitor data trends • Compile data for integration into statewide reports
Breastfeeding Workgroup Members	<ul style="list-style-type: none"> • Promote and support breastfeeding families and day care provider staff caring for infants



Stakeholder Group	Stakeholder Role in the CACFP
<i>Internal Stakeholders (Approximately 65 NYSDOH CACFP Staff Members)</i>	
	<ul style="list-style-type: none"> • Process assessments completed by child care centers and day care home providers to designate them as BFF • Track BFF designated day care providers and ensure continued participation in the designation program
CACFP Outreach Staff	<ul style="list-style-type: none"> • Promote CACFP participation statewide in day care homes and day care centers • Monitor data trends for unserved day care providers • Record outreach activities related to unserved day care providers via Access database • Work with partnering organizations to identify outreach activities and monitor outreach goals
CACFP Managers	<ul style="list-style-type: none"> • Review and approve sponsoring organization applications for participation in CACFP • Monitor monthly claim for reimbursement submissions among sponsoring organizations to ensure program integrity • Prepare and submit required USDA Reports • Respond to program inquiries from partnering organizations and state and federal agencies

3 Current Systems

The Department uses a network of applications to facilitate CACFP participation and for processing of associated claims. A majority of the payment and information system is automated, with output of claim data being transferred to the NYS Fiscal Management Group (FMG) and the New York State Office of the State Comptroller (OSC), to generate payments and to satisfy audit processes. Approximately \$242 million in payments is generated annually, to approximately 1,400 Sponsoring Organizations for child care centers and family day care providers. In addition, the systems are used as management tools within the program to ensure compliance with federal regulations. Operational and auditing functions include tracking sponsoring organization approvals, expiration of licenses, enrollment and participation data, and maintenance of eligibility data used to determine payment categories.

The current CIPS and CnpXpress was customized using the Child Nutrition Information and Payment System (CNIPS), a commercial off the shelf (COTS) product developed by Colyar Consulting Group in 2006. The system operates in the production environment, and a copy of the production data is used to refresh the testing, staging, training, and reporting environments, as needed. All CIPS website and database environments reside on Windows 2008 servers.

Figure 1 is a graphical depiction of the current CIPS and CnpXpress environments.

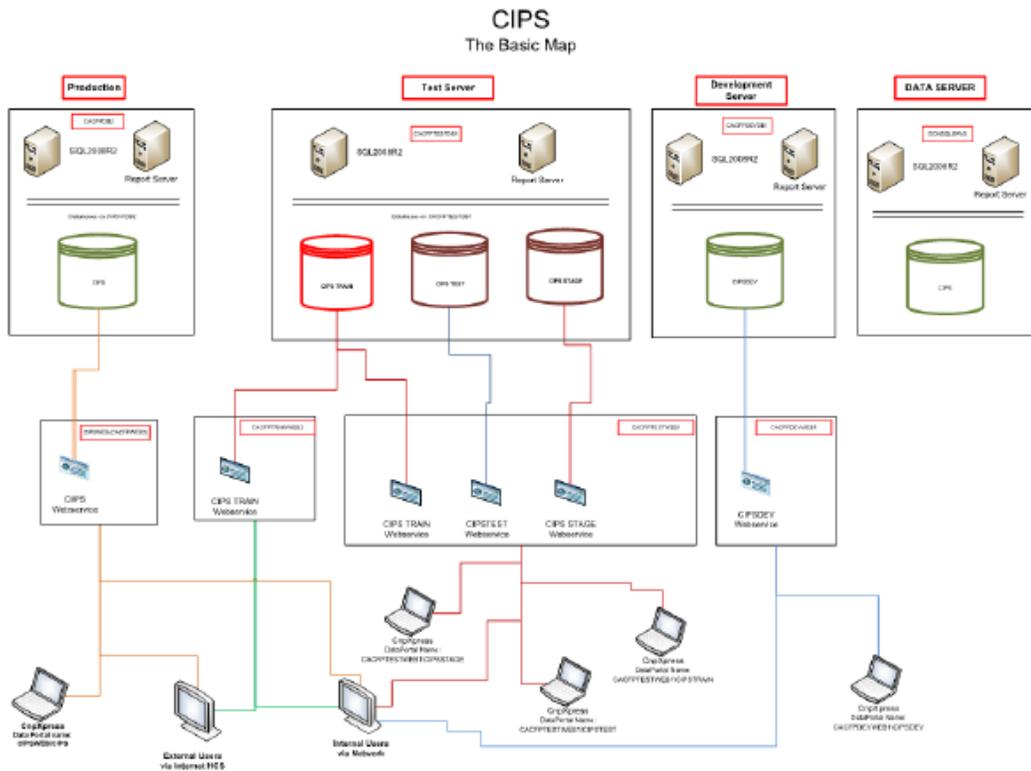
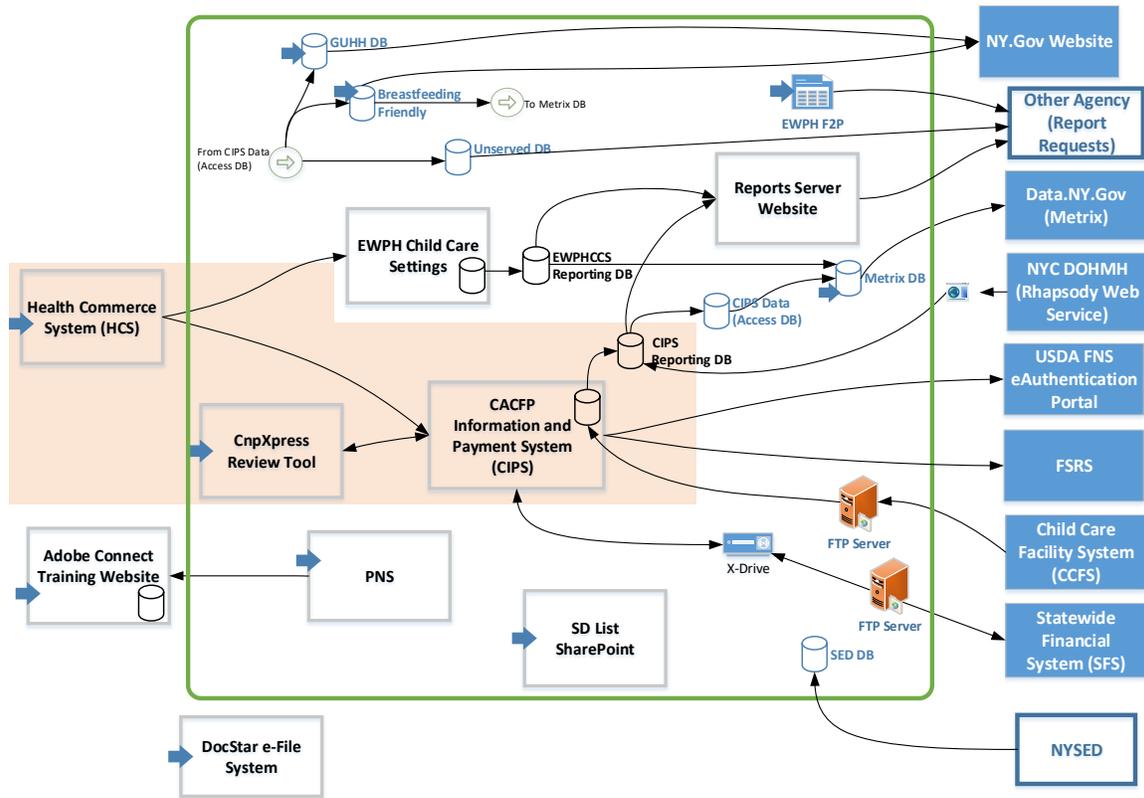


Figure 1 – Current CIPS Environments

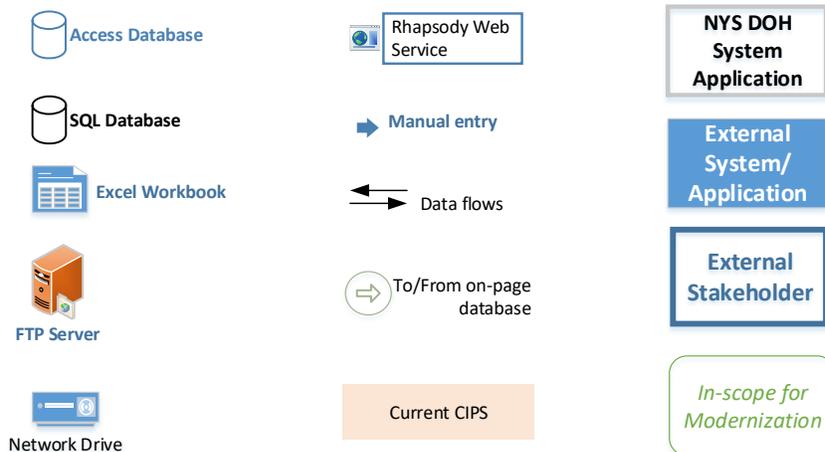
Figure 2 graphically depicts the Department’s current systems and their interactions with external systems. Figure 3 defines the symbols used in the Department’s current systems diagram. Each of the system components and data exchanges with external systems are described in the subparagraphs following Figure 3. Detailed information about the inputs, processing, and outputs of each system is described in Attachment E - CACFP Systems and Data.

Figure 2 – Current CACFP Systems



7/5/17

Figure 3 – Diagram Legend



3.1 Health Commerce System (HCS)

The Health Commerce System (HCS) is a secure website for outside entities to have web-based interactions with the Department and is where users log in to access the CIPS and EWPHCCS. The HCS provides an efficient and secure data transmission option using the powerful internet Secure Sockets Layer (SSL) encryption technology. Authorized users have gone through an application process and have an assigned User ID and password.

CACFP Report Staff initiate user accounts for Sponsoring Organization staff and EWPH Grantee staff. HCS Staff assign user names and passwords to new users. For accessing CIPS, CACFP Report Staff enter the HCS-assigned user name in the CIPS for the first two users for each organization. CACFP Report Staff transfer the responsibility of account creation to the sponsoring organizations after creation of the first two accounts. For EWPHCCS access, CACFP Report Staff request NYS ITS to add user accounts to the EWPHCCS application. The HCS authenticates users for access to the CIPS and EWPHCCS. CACFP Report Staff manage approximately 3,000 HCS user accounts.

3.2 CACFP Information and Payment System (CIPS)

The CIPS is the primary tool used to support program participation for CACFP Sponsoring Organizations. The CIPS provides a streamlined fiscal process to process claims for reimbursement, and oversight tools to ensure that nutritious and safely prepared meals and snacks are available to children and adults in day care settings. In addition, the system is essential to satisfy federal regulations and New York State Finance Law requirements for prompt and satisfactory payment of claims within specific time limits.

Each month, approximately 1,800 claims are processed through the CIPS to reimburse more than 11.2 million meals served to at-risk children and adults.

The CIPS is used by CACFP Staff and Sponsor Organization Staff and includes the following modules/capabilities:

- Applications – Tracks program participation information for sponsoring organization and sites/providers/participants; tracks DCH monitoring information; tracks and displays changes made to applications; tracks the Department's receipt of documents during application processes; allows for Sponsoring Organizations to renew their participation in the CACFP annually; performs edit checks to ensure accurate data entry on all application forms; enforces business rules; and allows for systematic application updates based on receipt of data files from partnering agencies.
- Claims – Enables entry of claims and claim revisions for processing of reimbursements; provides a summary view of all claims and earnings; performs edit checks; enforces business rules for payment approval; and updates claim records with payment data received from the FMG.
- Reviews – Tracks administrative program reviews conducted by the Department; allows for capturing and reporting findings and recommendations resulting from an administrative review; allows Sponsoring Organizations to submit corrective action plans electronically to the Department; and maintains a schedule of administrative program reviews associated with each sponsoring organization.
- Accounting – Enables batching and processing of advances and payable claims for upload to the SFS and importing warrant data; maintains fund tracking, accounts

receivables, invoice creations, and the ability to process manual adjustments. (Manual adjustments are used for instances such as processing payments submitted from Sponsoring Organization no longer participating in the program.)

- Reports – Provides parameter-driven reporting capability to Sponsoring Organization and Department staff; provides the ability to export report data into a variety of formats, including Excel, Word, and rich text; allows Department staff to create the required USDA FNS44 report and supporting documentation, as well as the required Federal Funding Accountability Act (FFATA) report and several correspondence reports as part of the administrative program review process.
- Security – Allows the entry and modification of user accounts; addition and modification of user security groups; and the association of user accounts to Sponsoring Organizations by CACFP Report Staff; allows authorized Sponsoring Organization staff to enter user accounts and change user security groups for users at their organization; and allows for Department Staff to unlock user accounts.
- Search – Allows users to search records based on specific criteria to locate sponsoring organizations, sites, day care providers, or participants; sponsoring organization search results provide application status data and application packet assignee; site and provider search results display addresses and sponsoring organization information; participant search results display enrollment status, provider data, and sponsoring organization data, and allows for Department staff to search sponsoring organizations based on application and claim status.
- Maintenance and Configuration – Allows Department Staff to manage user-facing message boards; modify error codes; manage state user assignments to application packets and fiscal and administrative representative categories; maintain fiscal year and claim rate changes; view system error logs; open new program years for claims and applications; update user activity log settings; and manually initiate a recalculation of claims, if needed.

The CIPS Production Website is supported by a Windows 2008 SQL Server Database. It stores all production data that is entered by Sponsoring Organizations and Department Staff. Day Care Provider licensing data from the New York State Office of Children and Family Services (OCFS) is imported nightly to the CIPS production database. The database is utilized to carry out stored procedures that support business processes.

3.3 CIPS Reporting Database

The CIPS reporting database resides on Windows 2008 SQL Server and is used primarily by CACFP Report Staff to create and distribute ad-hoc and routine reports. The purpose of this database is to have an environment separate from the CIPS production environment to protect the integrity of the production data while data is extracted. The CIPS reporting database is refreshed nightly from the CIPS production database.

Day Care Provider licensing data from the New York City Department of Health and Mental Hygiene (NYCDOHMH) is imported nightly to the CIPS reporting database. The CIPS reporting database is comprised of 50 data views, created from approximately 700 tables, designed to streamline the reporting process and provide the most accurate reports for program use. CACFP Report Staff query the tables and views in the CIPS reporting database using SQL Server Business Intelligence Development Studio to respond to reporting requests. The reporting

requests are made by CACFP Staff, Partnering Agencies, State and Federal Investigators, and USDA.

3.4 CnpXpress

CnpXpress is a client-based auxiliary application used to complete and schedule administrative program reviews. CnpXpress is installed on desktops, integrates with the CIPS database, and uses Crystal Reports 2005 for reporting needs. Administrative program review question templates are downloaded to CnpXpress for completion in the field or at a CACFP Administrative Review Staff member's desk. During the review, the Department documents observations, findings, and recommendations on the electronic template. CnpXpress automatically generates a review report that is manually scanned into DocStar and sent to Sponsoring Organizations without CIPS access. When an administrative program review is completed, the information gathered is uploaded from CnpXpress to the CIPS. The information is available via the CIPS review module, where the Sponsoring Organization Staff can complete the corrective action plan (CAP) and CACFP Administrative Review Staff can review the corrective action and close the review when the response is acceptable.

CACFP Review Staff conduct approximately 500 administrative program reviews each year using CnpXpress. Since 2007, approximately 4,000 reviews have been completed in CnpXpress.

3.5 Eat Well Play Hard Child Care Settings (EWPHCCS)

The EWPHCCS web-application is used to track and store participation data for the EWP in the child care centers program initiative. This data is used to refresh the tables in the EWPHCCS reporting database. Data must be collected on the EWPHCCS program initiative to meet quarterly and annual Supplemental Nutrition Assistance Program – Education (SNAP-Ed) reporting requirements. User accounts must be created to access the web application. EWPHCCS RDs enter intervention and demographic data of participants into the web application within one week after a session. EWPHCCS Staff view the data in real-time to monitor program activities. In addition, CACFP Report Staff can send notifications and reminders to EWPHCCS Grantees through the EWPHCCS web application.

Monthly, quarterly, and annual reports are generated by CACFP Report Staff to satisfy SNAP-Ed reporting requirements and include: center information, deliverables by RD/grantee, attendance, demographic data, session topics, activities completed, handouts distributed, and recipe information. Ad-hoc reports are generated by CACFP Reporting Staff, as needed, and include number of parents in attendance, number of parent classes attended, and number of parent classes with zero attendance.

3.6 Eat Well Play Hard Day Care Homes (EWPHDCH)

Since 2017, EWPHDCH program data is collected and stored on paper forms. Paper documents are collected by EWPHDCH Staff in the field and submitted to the Department's Central Office in Albany, NY.

The following data is collected throughout the intervention:

- Contact information and demographic data of the provider (i.e. address/race/ethnicity)
- Self-efficacy questions (thoughts and beliefs on healthy eating and physical activity)

- PHN Observation Checklist (completed by EWPHDCH Staff at introductory visit)
- Pre-and post-self-assessment on nutrition and physical activity practices
- Workshop attendance reports
- Record of all activities completed, including in-home visits (to include attendance, demographic data of the participants, session topics, handouts, and activities)
- Workshop evaluations
- Menus
- Policy and procedures

Prior to 2017, three historical EWPHDCH Access databases were used to store EWPH day care home implementation data that was collected between 2012 and 2016.

3.7 Breastfeeding Friendly (BFF)

The BFF Access database is used to track participation of day care center and day care home providers in the CACFP Breastfeeding Friendly Designation Program.

CACFP Report staff manually enter contact and participation data for all BFF day care providers into the BFF database (DB). Participation data includes effective date and expiration date of BFF designation, as well as sponsor-level breastfeeding training. The CIPS reporting database automatically imports day care provider data to the BFF DB daily. The BFF DB does not currently send data back to the CIPS. The BFF DB determines which day care providers are no longer participating in the CACFP and which day care providers have certificates that are expired or are expiring soon. It contains pre-defined queries for monthly reports and is used to generate BFF certificates and correspondence to the BFF designated day care center or home provider. The BFF DB is accessed by CACFP Report Staff to create monthly reports used by Breastfeeding Workgroup members to maintain and increase participation in the BFF program. The CACFP Report Staff submit the monthly reports to the NYS Public Website Administration for public posting on the NY.gov website, so the public can find BFF childcare in their counties. The report data on the website is also used by partnering organizations to inform decisions on grants to underserved areas and to identify potential areas of improvement.

The CACFP Report Staff manually pulls data from the BFF DB into the Metrix DB to generate quarterly reports that are submitted to the Department's Health Data NY Program staff for posting on the Data.ny.gov website to identify BFF child care providers located in NYS.

3.8 EWPHCCS Farm to Preschool (F2P)

EWPH Grantees implement F2P activities and report sales data and classroom gardening activities to the Department. The F2P program coordinators manually enter F2P data in three different Excel spreadsheets, daily, during the F2P program year and submit the Excel workbooks to EWPHCCS Staff monthly. Currently, there are five grantees and 27 farmers' market locations each year.

EWPHCCS Staff aggregate the workbooks into a master Excel document of statewide data and uses the master workbook to manually create and submit statewide reports to the New York State Office of Temporary and Disability Assistance (OTDA). The reports are used to:

- Track F2P implementation and show how the CACFP is improving access to affordable, locally grown vegetables and fruits
- Satisfy quarterly and annual reporting requirements of the Supplemental Nutrition Assistance Program SNAP-ED

3.9 Growing Up Healthy Hotline (GUHH) DB

The Growing Up Healthy Hotline (GUHH) DB is an Access database used to maintain the zip code areas covered by each DCH Sponsoring Organization. This data is presented on the NY.gov website so that DCH providers can look up a Sponsoring Organization in their service area. The Access DB is updated by CACFP Report Staff when a Sponsoring Organization is added, removed, or has a change in service area coverage.

3.10 Unserved DB

The Unserved Database identifies licensed day care programs not participating in the CACFP. This valuable information is used to target outreach efforts and increase CACFP participation across the state.

Day care provider licensing data from the OCFS and the NYCDOHMH, as well as CACFP participation data from the CIPS reporting database is manually brought into the database daily.

Reports of unserved day care programs are the result of matching the CACFP participation data and the OCFS and NYCDOHMH licensing data, all of which resides in the CIPS reporting database. The CIPS reporting database automatically updates the unserved database daily. The CACFP conducts outreach to all eligible programs in the state to encourage participation. The DB is automatically updated daily from the CIPS reporting database. Through Access, information in Access and the license information in the database is matched to information from the CIPS reporting database. The unserved database compares those day care providers that are participating in CACFP against all day care providers in NYS to determine who is not participating in the CACFP. The reports are updated daily and provide geographic, contact, capacity, and status information of programs and providers across NYS that are unserved by the CACFP.

3.11 METRIX DB

METRIX is the acronym for “Maximizing Essential Tools for Research Innovation and eXcellence.” The METRIX DB is used to create a quarterly report to satisfy the Department’s public data access requirements, NYS Executive Order #95. CACFP Report Staff prepare the report using Access, due to the number of data sources that are merged to create the report. The report consists of CACFP, BFF, and EWPHCCS data.

3.12 Seriously Deficient (SD) List

Federal regulations require each state to maintain a list of institutions and providers that have been determined to be seriously deficient in their operation of the CACFP. Authorized Department staff manually maintain the SD list in SharePoint. The SharePoint SD list includes the serious deficiencies identified, dates of all correspondence, and the status, which may include temporary deferment, proposed termination, or termination and placement on the National Disqualified List (NDL). It also summarizes the serious deficiency identified, corrective actions

taken by the organization to resolve the serious deficiencies, the Department's response to the corrective action, appeal requests, and hearing decisions (if applicable). The purpose is to track and assess the effectiveness of the serious deficiency process, identify any changes needed in the State's processes and procedures, and identify trends and training needs for State agency or institution staff.

This list is separate from the NDL the USDA maintains. The NDL only lists agencies and providers that have been through the SD process and have been terminated and/or disqualified from participation.

3.13 Potential New Sponsor (PNS)

The PNS is a web application that is hosted outside the HCS portal. The PNS is a website that allows users to determine if they would be eligible for the CACFP by answering several pre-screening questions. The answers to these questions are unable to be stored, because the application does not have a database. Instead, the application directs the user to an Adobe Connect event on the CACFPNY training website to gather the non-CACFP participating PNS's organizational contact information. This information then triggers an email to CACFP Application Reviewers to follow up with the organization. CACFP Application Reviewers log into the CACFPNY training website to view a report of the non-CACFP participating PNS for follow up. The information entered into the Adobe Connect event and PNS application does not auto-populate in the CIPS to initiate the application process.

3.14 CACFPNY Training Website

The Department is required by the USDA to provide annual trainings to CACFP Sponsoring Organizations in specific topic areas. This requirement is partially met by the CACFPNY training website and partially met by conducting in-person training.

The CACFPNY training website provides multiple training topics and a platform to share training materials used by the Sponsoring Organizations when they provide required trainings to their day care providers. CACFP Training Staff create and publish eLearning training content for Sponsoring Organizations to the CACFPNY training website every month. NYS purchases Adobe Connect Pro subscription renewals and maintenance to reduce the cost of providing training for the CIPS. Adobe Connect Pro provides an online training registration and eLearning venue.

3.15 Reports Server Website

The report server website resides on a SQL2008/WIN2008 server and can be accessed via the Department's intranet. The purpose is for CACFP Report Staff to deploy and store SQL reports to the reports server website. Reports for claims, centers, homes, management, training, and EWPH are made available for Department staff to access within the Department's network. The data for the reports is copied from the CIPS production database into the CIPS reporting database nightly. The data is from the previous business day. The reports server website can be configured to systematically email requested reports to identified Department staff.

3.16 DocStar e-File System

"DocStar" stands for Document Storage and Retrieval, and is the electronic document management software used since 1996 by the CACFP to fulfill federal and state record retention

requirements and reduce the volume of paper stored on site. Department staff can capture, store, and retrieve program documents and content through the Department's intranet on machines with DocStar installed. The DocStar system includes an SQL2008/WIN2008 server with RAID storage and three document scanning stations. License and maintenance for DocStar is provided through an annually renewed agreement. The Department has 133 concurrent licenses shared among Division of Nutrition Staff and scans approximately 17,000 pages into DocStar monthly. The DocStar e-File system has replaced a manual file system that required dedicated staff.

Scanning and processing into DocStar is done in the central office in Albany, New York by CACFP Report Staff daily. All CACFP program-related documents are scanned, excluding personnel records and some corrective action supporting documentation received from sponsoring organizations. Reports generated from the CIPS, such as administrative program reviews, corrective action plan letters, and monthly claim vouchers are scanned in to DocStar. DocStar has the capability to auto-title documents that are scanned in large volumes, reducing manual staff input time. Currently, this feature enabled when scanning the monthly claim voucher, which is scanned approximately 1,800 times per month.

All Department staff have access to look up information in the system via a web client. DocStar allows all staff to view, print, or email documents as needed to carry out program operations. This information is provided to investigators and partnering agencies upon request.

In addition to storing paper documents electronically, DocStar securely stores any native file type, such as .wav, .pdf, .jpg, and .html. It also time and date stamps documents upon capture into the system using AuthentiDate certification. The AuthentiDate capability is recognized by the U.S. Post Office as an accurate way of certifying that each document was entered in the system at a certain date and time. AuthentiDate is accepted as evidence in court cases, which adds to its credibility in the event the Department is required to testify in administrative hearings.

3.17 System Interfaces/Data Exchanges

3.17.1 Statewide Financial System (SFS)

The current data exchange process with SFS is manual and requires a substantial amount of staff interaction. The payment file is created in the CIPS and systematically placed on a Department network file location. Department staff must manually move the payment file to an FTP server for an automated pick-up by the FMG for uploading to the SFS. A warrant file, produced by the SFS, is systematically placed on a different FTP server for Department staff to pull down and upload into the CIPS, thus populating claims with payment information. The Department also requires the ability to push a file out manually to the SFS test environment for testing purposes.

Payment files are processed on a daily basis to abide by NYS's 15- and 30-day prompt-payment legislation.

3.17.2 Child Care Facility System (CCFS)

Each night, the OCFS creates three extract files from their Child Care Facility System (CCFS) and places them on their FTP server. The files consist of day care home provider application data and day care provider licensing data. The Department runs an automated nightly job that retrieves these three files. Each of these files is systematically imported into corresponding tables in the CIPS Database. Once the data has been uploaded successfully, the data is also systematically merged into a single look-up table. During the application process, when a user enters three key fields, the CIPS searches for a record in the look-up table. If a match is found,



the CIPS allows the user to verify that it is a match and then auto-populates the required fields in the CIPS with that data. Changes to provider license information only come from the CCFS; therefore, once the information has been submitted, it is locked down. System-generated versions of the provider application are created in the CIPS when changes to the licensing data are recognized. The CCFS database is updated in real time and is the official record of licensing data for day care home providers. CIPS integration with the CCFS data is the key to preventing closed providers from claiming and preventing application approvals for unlicensed providers.

3.17.3 NYCDOHMH (New York City Department of Health and Mental Hygiene)

The NYCDOHMH system sends a nightly file to the Department with New York City day care center licensing data. On a daily basis, the web service, Rhapsody, runs an upload process moving NYCDOHMH data into a staging database called NYData. The data is systematically validated, formatted, and uploaded to the CIPS reporting database. The data is used for reporting only and is not stored in the CIPS production database.

The NYCDOHMH data is used to identify unserved populations to expand program services, meet outreach commitments, and comply with the mission of the organization.

3.17.4 USDA FNS eAuthentication Portal

3.17.4.1 FPRS Reports

The USDA Food and Nutrition Services (FNS) requires a report, known as the FNS-44. The monthly FNS-44 report includes the number of meals and snacks for which Sponsoring Organizations were reimbursed by the Department. The meals and snacks are categorized by meal type and reimbursement rate (free, reduced, paid). The number of Homes Sponsoring Organizations, day care home providers, and their average daily attendance (ADA) are also reported monthly. On a quarterly basis, the report must include the number of sites and the ADA for each of the sponsor types: child care centers, day care homes, adult care, and Sponsoring Organization that have both child care centers and day care homes. Semi-annually, the report includes the number of Sponsoring organizations, sites, and ADA for each type of child care center participating: outside school hours, head start, after school (at risk), and homeless shelters. Two reports are created each month by CACFP Accounting Staff in the CIPS; one is an estimate and is required to be submitted within 30 days of the last day of the reporting month, and the other is an actual to be submitted within 90 days of the last day of the reporting month. At fiscal year-end, a final report for each month is submitted to the USDA. All reports are entered manually by CACFP Accounting Staff on the USDA's web-based Food Programs Reporting System (FPRS).

The 90-day reports are converted from meals to dollars by the USDA and compared to the Department's fiscal reporting, the FNS-777, which is completed by an accountant in the FMG. Accurate FNS-44s are extremely important, so the number of meals reported supports the amount of reimbursement paid out by the CACFP as reported on the FNS-777. If there is a discrepancy, the Department is required to reimburse the USDA for any shortfall.

3.17.4.2 USDA NDL List

The USDA National Disqualified List (NDL) is a web-based database containing a real-time listing of institutions and individuals that have been terminated or disqualified from participating in the CACFP. Independent centers, Sponsoring Organizations, and Department Staff can obtain accounts from the USDA to view this information. Specific Department Staff have the authority to enter data on this site to meet reporting regulations to USDA, of the institutions and individuals

disqualified in New York State. The NYS CACFP disqualification data is accessed nationwide by individuals who have accounts to access the USDA NDL.

3.17.5 NY.Gov Website

The NY.Gov website is a public-facing Department website with dedicated CACFP pages that are updated by CACFP Report Staff as needed. The Department uses this website to provide policy and program information to the public and is also accessed by CACFP Sponsoring Organizations. The website pages are updated by CACFP Report Staff as more current information becomes available. BFF-certified day care centers and home providers are listed, and the lists are updated monthly.

3.17.6 Data.NY.Gov Website (METRIX)

The Data.NY.Gov website makes data collected and used by New York State agencies, local governments, and the federal government easily accessible to researchers, policy makers, business operators, academia, and the public. The Data.NY.Gov website was created in response to NYS Executive Order #95 and builds on the work begun by the Department's METRIX Initiative. CACFP Report staff use a Microsoft Access database to email a report to the Health Data NY Program quarterly. This report includes information on types of meals served and number of participants, as well as indicators for BFF designation and participation in the EWPH initiatives. Once CACFP data is available on the Data.NY.Gov website, viewers can filter, sort, and view the data on interactive maps. The dataset has received 23,548 hits since its initial posting in 2013.

3.17.7 Federal Funding Accountability and Transparency Act (FFATA) Subaward Reporting System (FSRS)

The Federal Funding Accountability and Transparency Act was signed in 2006, with the intention of creating transparency in federal spending for public access. Any organization receiving federal funds must obtain a Data Universal Numbering System (DUNS) number from Dun & Bradstreet. All sponsoring organizations that have received \$25,000 or more from the CACFP must be reported on the FFATA Subaward Reporting System (FSRS) by their DUNS number. The Department retains each organization's DUNS number in the CIPS and creates a monthly report of all sponsoring organizations within 30 days of the last day of the reporting month. The report is created in the CIPS and exported to an Excel worksheet by CACFP Accounting Staff. CACFP Accounting Staff, who move the data into the required layout and format before uploading and submitting into the FSRS.

4 Current Strengths, Weaknesses, Opportunities, and Threats (SWOT)

The strengths, weaknesses, opportunities and threats associated with CACFP technology and the CIPS modernization are identified in this section.

4.1 Strengths

The internal factors or attributes of the Department's technology that are helpful to achieving the CACFP's goals and objectives include:

- Utilizing CIPS, Sponsoring Organizations can submit online claims for reimbursement and receive payments meeting New York State prompt payment legislation.
- The CIPS allows Home Sponsoring Organizations to report monthly expenditures by budget category.
- The CIPS maintains historical changes to application, claim, budget, and compliance data by program year, with the effective date and author of change, and highlights the changes made.
- The CIPS supports: 1,400 Sponsoring Organizations, more than 14,000 site records, 390,000 participant records, and \$242 million in annual federal funding.
- The CIPS allows CACFP Accounting Staff to maintain federal fiscal year integrity, including the ability to open a new year, maintain grant levels for all entitlement funding, and change claim rates.
- The CIPS allows Sponsoring Organizations to request an advance electronically and tracks the monthly balance of the advance request.
- The CIPS provides the ability to assign various levels of role-based access for both CACFP Staff and Sponsoring Organization staff.
- The Department processes approximately 500 federally mandated administrative program reviews each year using an automated review tool, CnpXpress, and the CIPS review module.
- The CIPS payment module is designed with regulatory edit checks that use information from the center application or provider application to ensure that claims are calculated and paid correctly.
- The CIPS allows Department Staff to maintain and update state account codes for each entitlement category by federal fiscal year.
- The CIPS allows CACFP Accounting Staff to recalculate claims, if necessary. One example is the USDA issuing the wrong reimbursement rate for a specific entitlement category.
- The CIPS has various search options, including sponsor, provider, and participant. State staff can search sponsors by agreement number, name, or FEIN. Searches can also be refined with drop-downs for county, type of program, sponsor status, packet status, financial rep, administrative rep, region, program status, and packet assignment.
- The CIPS accommodates an online budget application process that includes submission, review, and approval
- The CIPS allows Department Staff to communicate valuable information through updated splash page notifications.

- The CIPS is capable of creating a bulkload payment file in an acceptable format for processing in the SFS.
- The CIPS has the ability to accept the M171 payment file (from the SFS) and upload payment information, including warrant number, date, and amount, for each sponsoring organization's claim.
- The CIPS generates required federal FNS-44 and FFATA reports.
- The CIPS allows partnering agencies the ability to view CACFP participation data in real-time.

4.2 Weaknesses

The internal factors or attributes of the CSCFP's current state that may be harmful or prevent the organization from achieving its goals and objectives.

- The CIPS does not capture all program participation data. Forced to use siloed applications that are dependent on manual processes. The system is unable to do reporting in a streamlined fashion due to multiple siloed databases.
- The CIPS captures limited information regarding food service vendor contracts, requiring staff to manually track the data necessary to ensure that sponsors are in compliance with federal procurement requirements.
- The CIPS does not allow for Sponsoring Organizations of centers to report yearly expenditure information, limiting the Department's ability to track fund balances.
- The CIPS does not allow for capturing of Sponsoring Organizations' budget details. This information is currently collected and stored in Excel. This involves the Department staff sending Excel workbooks to the Sponsoring Organizations and the Sponsors completing and uploading the workbooks as attachments to their application packet in the CIPS. The data is not readily available for reporting and must be manually validated by Department staff, which increases the risk of not meeting the federally mandated application processing timeline.
- The CIPS does not have the ability to capture serious deficiencies and manage the serious deficiencies process for sponsoring organizations, facilities, or responsible individuals. Therefore, the Department has created a SharePoint list as a workaround, to capture serious deficiencies and meet USDA reporting requirements.
- The CIPS does not allow Department staff to collect additional (ad-hoc) information from Sponsoring Organizations.
- The CIPS is built on a classic ASP platform, which is below industry standard.
- The current CIPS system is reaching obsolescence, with support for 2008 SQL servers ending in 2020.
- CnpXpress only integrates with Crystal Reports 2005, which is no longer supported (Crystal Reports versions prior to and including 10.x are no longer available).
- Department staff have to manipulate some of the current pre-defined reports to meet business objectives and the latest federal requirements, such as:
 - Monthly FFATA Report – matching DUNS code
 - 30-day FNS 44

- Status Summary Report
 - List of Reviews Report
 - The CIPS has known user concurrency issues. When multiple users edit the same record, the system saves multiple records, which creates future processing errors.
 - The CIPS has other known system errors during certain input processes. Currently, 44 bugs are identified.
 - The CIPS allows Sponsoring Organizations to report monthly expenditures in unapproved budget categories.
 - The CIPS does not allow users to search sponsoring organizations by Vendor ID or DUNS.
 - The EWPHCCS web application does not allow Department Staff to add and manage users. Currently, NYS ITS staff configure all users, session assignments, and program year data updates. The Department incurs additional costs for these services provided by ITS.
 - The CIPS does not allow users to add or change specific application information without requiring Sponsor or Department Staff approval.
 - The administrative review capability (CnpXpress) resides outside of the CIPS and requires several manual processes before it is integrated with the CIPS. To initiate a program review, reviewers must download the CnpXpress tool onto a laptop/work station. The review resides on CnpXpress until it is complete and uploaded into the CIPS. This is problematic because:
 - It restricts access by other staff
 - It restricts the staff member to work on the laptop/workstation where the program review was downloaded
 - It puts data in jeopardy if completed reviews are not uploaded into the CIPS
- At this time, the review is purposely not uploaded into the CIPS prior to completion, because it can be publicly viewed by Sponsoring Organizations. This is problematic because the CIPS currently does not prevent sponsoring organizations from viewing or responding to incomplete program reviews.
- In the CIPS, the application checklist feature is not fully functional, limiting the sponsoring organization's ability to submit required information with the application.
 - The CIPS does not capture any information related to classroom training. This information is recorded and stored in Excel workbooks by CACFP Training Staff.

4.3 Opportunities

The external factors or conditions that would help the Department achieve its goals and objectives include:

- Opportunity to consolidate obesity prevention programs' data (EWPHCCS, EWPHDCH, F2P and BFF). Benefits include:
 - Fewer user accounts to manage
 - Consistent web-based data collection mechanism
 - Increased data integrity with a single, centralized database

- Improved data reporting capabilities
- The current process includes manual import of Basic Educational Data System (BEDS) codes, SED free and reduced price meal eligibility data, and census data into an Access database to manually generate eight reports.
- Ability to accommodate and implement evolving changes to federal requirements.
- Opportunity to streamline the outreach to potential new sponsors and enable entering application information electronically, which will reduce manual data entry by Department Staff and enable managing the processing of the application.
- Opportunity to integrate training notifications into the modernized CIPS.
- Opportunity to streamline the training process and automate eligibility for different trainings based on the Sponsor's application.
- Opportunity to enable Department Staff working in the field to access the modernized CIPS with mobile devices.
- Opportunity to build mechanisms into the new system that hides preliminary program review information from Sponsor viewing. Information would be viewed by the Sponsoring Organization only when the complete program review is officially released by Department Staff.
- Opportunity to enhance the accuracy of accounting and claim transaction reports with the flexibility to search on different parameters.
- Opportunity to enhance the current edits on claims.
- Homes provider tier eligibility and months/days open (still need if full data uploaded?)
- Homes provider child enrollment care ends date (still need if full data uploaded?)
- Edit for early claim submissions.
- Opportunity to enhance role-based user assistance features with clearer error messages and hover over help
- Opportunity to accommodate continual sponsoring organization agreements, thus eliminating Sponsoring Organizations from enrolling into the program each year. This will also eliminate year-dependency issues in the application module and make it easier to locate historical data.
- Currently, the Department transfers only one file each day, because the file name includes the creation date. Multiple transfers would be allowed in a given day, as long as the transfer files are named uniquely, getting sponsors paid more quickly.
- Improve program integrity by supporting the serious deficiency process and integration with the USDA NDL.
- Opportunity to improve program compliance by systematically linking program review findings to appropriate training opportunities.
- Ability to upgrade system to ASP.NET (industry standard) to increase performance (Microsoft tests have shown that ASP.NET applications can handle two to three times the requests per second as classic ASP applications), stability (processes are closely monitored and managed by the ASP.NET run time), and developer productivity (new

features like server controls and event handling in ASP.NET help developers build applications more rapidly; option to use more structured languages on web pages - not restricted to JavaScript or VB Script).

- The newest platform of the CIPS includes a web-based administrative review module that would eliminate the need for CnpXpress to be installed locally on laptops and move the administrative review process online.
- Opportunity to save time and costs associated with manual workaround and fixes to maintain the current systems by moving to a modern robust, integrated, all-inclusive system.
- Can reduce system maintenance costs if the EWPHCCS web application allowed CACFP EWPHCCS users the ability to configure user security and session assignments and to perform annual program year updates.

4.4 Threats

The external factors or conditions that are harmful or may prevent the CACFP from achieving its goals and objectives include:

- The Department relies on CnpXpress to conduct 400 federally mandated program reviews each year. CnpXpress is currently not supported; therefore, updates are unavailable. In addition, CnpXpress only operates using Crystal Reports 2005, which is no longer receiving service packs. This technology has become obsolete, and a new, automated review tool is necessary to meet the administrative review requirements of the growing NY CACFP.
- The Department has been unable to resolve known system bugs and errors.
- Sponsoring Organization's may be resistant to any change, as they are familiar with current CIPS functionality.
- Due to deficiencies in current system architecture and lack of system documentation, the Department is unable to update some components of the system to meet changing requirements.
- The CIPS application and data are vulnerable to security threats, since it does not have virus scanning capabilities.
- Due to current system limitations, there are a significant number of manual processes performed by staff. This increases the risk of human errors and the potential for inaccurate data.
- The CIPS relies on data sent daily from outside sources:
 - An interruption to receiving OCFS data may cause inaccurate meal reimbursements paid out and increase the number of recovery amounts to be processed.
 - An interruption to receiving data from the NYCDOHMH and OCFS could lessen outreach efforts.

4.5 Additional Notes

- Sponsoring Organizations are familiar with CIPS functionality and navigation.



- From the inception of the CACFP in 1993 to March 2013, the Department contracted the development and maintenance of an electronic state-level information and payment system to an outside Contractor. In March 2013, NYS ITS assumed maintenance of the CIPS, at a significant increase in annual costs.
 - The CACFP uses federal funds to support the development and maintenance of the CACFP Information and Payment System. Through March 2013, it required approximately 2,400 hours/year in consulting services to make necessary improvements and maintain, with costs never exceeding \$285,000 annually.
 - Cost of current development and maintenance with NYS ITS and Hourly Based Information Technology Services (HBITS) staff has increased to more than \$750,000 annually, and encompassed minimal enhancements and fixes to CIPS.
- The project request to update the CIPS from ASP to .Net or beyond was not accepted or carried out by NYS ITS due, in part, to the lack of system documentation and available resources.

Attachments

Attachment E – CACFP Systems and Data

Attachment F – Eat Well Play Hard Child Care Settings (EWPHCCS) Data

Attachment G - Eat Well Play Hard in Day Care Homes (EWPHDCH) Data

Attachment H – Breastfeeding Friendly (BFF) Data

Attachment I – Seriously Deficient (SD) Data

Attachment J – Foodservice Vendor Contract Data

Attachment K – CIPS Data