



SWIFT ACF FY18 Enhancements Release

Administration for Children and Families (ACF)

Design Validation Document

December 11, 2017

PROPRIETARY STATEMENT

The Technical documentation herein includes data that shall not be disclosed and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than for evaluation purposes in support of the Department of Health & Human Services. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. Unpublished Rights Reserved, Sole Solutions Inc. The data subject to this restriction are contained in sheets marked by the following statement:

Confidential and Proprietary

Table of Contents

Table of Contents	2
Table of Figures.....	4
Table List	5
1 Preface	6
1.1 Revision History.....	6
1.2 Signature Sheet	7
2 Introduction	8
2.1 Purpose.....	8
2.2 Intended Audience	8
3 Solution Overview	9
3.1 File Management Enhancements	9
3.2 Change Default Due Date for Approval Task	9
3.3 Electronic Approval Package	9
4 Process Description.....	14
4.1 ACF Front Office Approval Process (High-level Process).....	14
4.1.1 Analyst Prepares Approval Package	15
4.1.2 Exec Sec Director Approval	16
4.1.3 DAS-EA Approval	17
4.1.4 IOAS Approval	18
4.1.5 Exec Sec Director Autopens and Responds to Constituent.....	19
5 Detailed Design	20
5.1 Detailed Design for File Management Enhancements	20
5.1.1 Enhanced File Browser	20
5.1.2 Enhanced Version History Accessibility.....	21
5.1.3 File Priority Flag in Documents Tab and File Browser	23
5.2 Detailed Design for Change Approval Task Due Date Logic.....	26
5.2.1 Reconfigured Approval Task Default Due Date Logic.....	26
5.3 Detailed Design for Electronic Approval Package	27
5.3.1 Consecutive Routing.....	27
5.3.2 Email Task Portal Enhancements	33

5.3.3 Response Receipt Notifications.....	37
5.3.4 Electronic Signature	38
6 Appendix	41
6.1 Front Office Approval Process User List.....	41
6.2 Special Contact Record Configuration	41
6.3 Electronic Signature Applet User Configuration	41
6.4 Electronic Signatures Configured	41

Table of Figures

Figure 1: SWIFT Email Task	12
Figure 2: Email Task Portal Page	13
Figure 3: ACF Front Office Approval Process	14
Figure 4: Analyst Prepares Approval Package	15
Figure 5: Exec Sec Director Approval.....	16
Figure 6: DAS-EA Approval.....	17
Figure 7: IOAS Approval	18
Figure 8: Autopen and Respond	19
Figure 9: Old File Browser Style	20
Figure 10: New File Browser Style	21
Figure 11: Previous Versions in the Documents Tab	22
Figure 12: Previous Versions in File Browser.....	23
Figure 13: Priority Flag Checkbox in the File Details Dialog	24
Figure 14: Priority File Icon in Documents Tab.....	24
Figure 15: Priority File Icon in File Browser	25
Figure 16: Approval Task Default Due Date.....	26
Figure 17: Choose Next Recipient Button.....	27
Figure 18: Forwarding Dialog.....	28
Figure 19: Electronic Approval Package Email Task.....	29
Figure 20: Before any responses are received, the Epic task will display the assigned team.	30
Figure 21: When the first response is received, the Approval task will display the name of the responder.	30
Figure 22: Approval Package States.....	31
Figure 23: Link to Recently Opened Items and Pending My Approval	33
Figure 24: Recently Opened Items with Links to Recently Opened Email Task Portal Pages	34
Figure 25: Pending My Approval With Links to Email Portal Pages Routed to an Executive.....	35
Figure 26: Current reviewer on the Email Task Portal Page	36
Figure 27: Current reviewer on the Choose Next Recipient Dialog	36
Figure 28: Current reviewer on the Email Portal Task Details	37
Figure 29: Email Task Response Receipt.....	38
Figure 30: Autopen Document	39
Figure 31: Electronic Signature – Applying a signature to a sample letter	40

Table List

Table 1: Revision History6

Table 2: Approve Response Configuration32

Table 3: Return for Revision Response Configuration32

Table 4: Final Approval Configuration Response Configuration33

Table 5: Choose Next Recipient Option List Configuration.....41

Table 6: Special Contact Record Configuration41

Table 7: Electronic Signature Applet User Configuration41

Table 8: Electronic Signatures42

1 Preface

1.1 Revision History

Table 1: Revision History

Date	Version	Description	Author
12/6/17	1.0	Initial version created.	Jake Morgan
12/11/17	1.1	<p>Updated Special Contact Record name in Section 6.2 from “Front Office Approval Team” to “ES Director”. Note: references to the “Front Office Approval Team” in screenshots have not been replaced.</p> <p>Updated Section 5.3.1.1 with a note indicating that the Message field on the forwarding dialog will be hidden. Also removed reference to this message in Section 5.3.1.2. Note: screenshots have not been updated to show the forward dialog with the Message field hidden.</p> <p>Updated screenshot of Response Receipt in Section 5.3.3.</p>	Jake Morgan

1.2 Signature Sheet

The following parties approve and agree to the design of the following system enhancements, as specified in this document:

- File Management Enhancements
- Change Default Due Date for Approval Package
- Electronic Approval Package

The task will be complete and successfully delivered if it is accomplished as specified. Any significant change to the design after this agreement will require a formal change request.

Business Owner (Signature)

Date

Kenneth Cottingham

Business Owner (Printed Name)

Contract Officer's Representative (Signature)

Date

Rudette Pinkney

Contract Officer's Representative (Printed Name)

2 Introduction

2.1 Purpose

The purpose of this document is to propose a design for the following SWIFT enhancements awarded to SSI in task order HHSP23337023 under GSA BPA HHSP233201400038B. These enhancements are scheduled for delivery with the SWIFT Enhancements Release after close of business on Friday, February 16, 2018.

TASK	Key Deliverables
TASK V – File Management Enhancements	<ul style="list-style-type: none">• Redesigned “More Files” dialog• Enhance the Documents tab with version history• Enable a flag for files in Documents tab and More Files dialog
TASK VI – Change Default Due Date for the Approval Task Type	<ul style="list-style-type: none">• Update Approval Task default due date
TASK VII -Electronic Approval Package	<ul style="list-style-type: none">• Electronic Approval Package• Electronic signature applet

2.2 Intended Audience

The target audience for this Design Document includes business, technical, IT governance and project management stakeholders at ACF. The document will be validated by the stakeholders and used as a reference by the application architects, developers, and testers during the course of the implementation.

3 Solution Overview

The following section provides an executive-level overview of the proposed design. Additional detail regarding work processes and specific modifications required in the SWIFT system to implement this solution are found in later sections of this document.

3.1 File Management Enhancements

ACF uses SWIFT to manage many types of files associated with the Correspondence process including original correspondence, multiple response drafts, clearance comments and more. While the existing version history management and prioritization of current files are critical to keeping the contents of the control clear and organized, the following File Management Enhancements are aimed at building upon existing functionality to improve accessibility to previous file versions and visibility of the most critical current files.

The existing File Browser (“More Files” dialog) will be enhanced to make it accessible from the Documents Tab.

The Documents Tab and the File Browser will be enhanced to make the existing file version history accessible from a collapsible menu below files that have previous versions. From the File Browser launched from the outgoing task form, SWIFT Power Users will also be able to attach previous versions of files to outgoing tasks.

A priority flag will be enabled that will allow SWIFT Power Users to mark files in the Documents tab and the File Browser that should be “moved forward” in the response process.

3.2 Change Default Due Date for Approval Task

ACF uses the Approval task type today to route controls to senior leadership for final approval. For controls coming from the Immediate Office of the Secretary (IOS), this final approval should be completed prior to submission of ACF’s response to IOS. The default due date for outgoing Approval tasks is 3 business days after the date sent.

ACF needs the due date for Approval tasks to default to a date relative to the Source Due date, such that the Approval task can easily tell when the ACF Executive Secretariat is expected to respond.

The Approval task default due date will be updated to be equal to the Source Due Date.

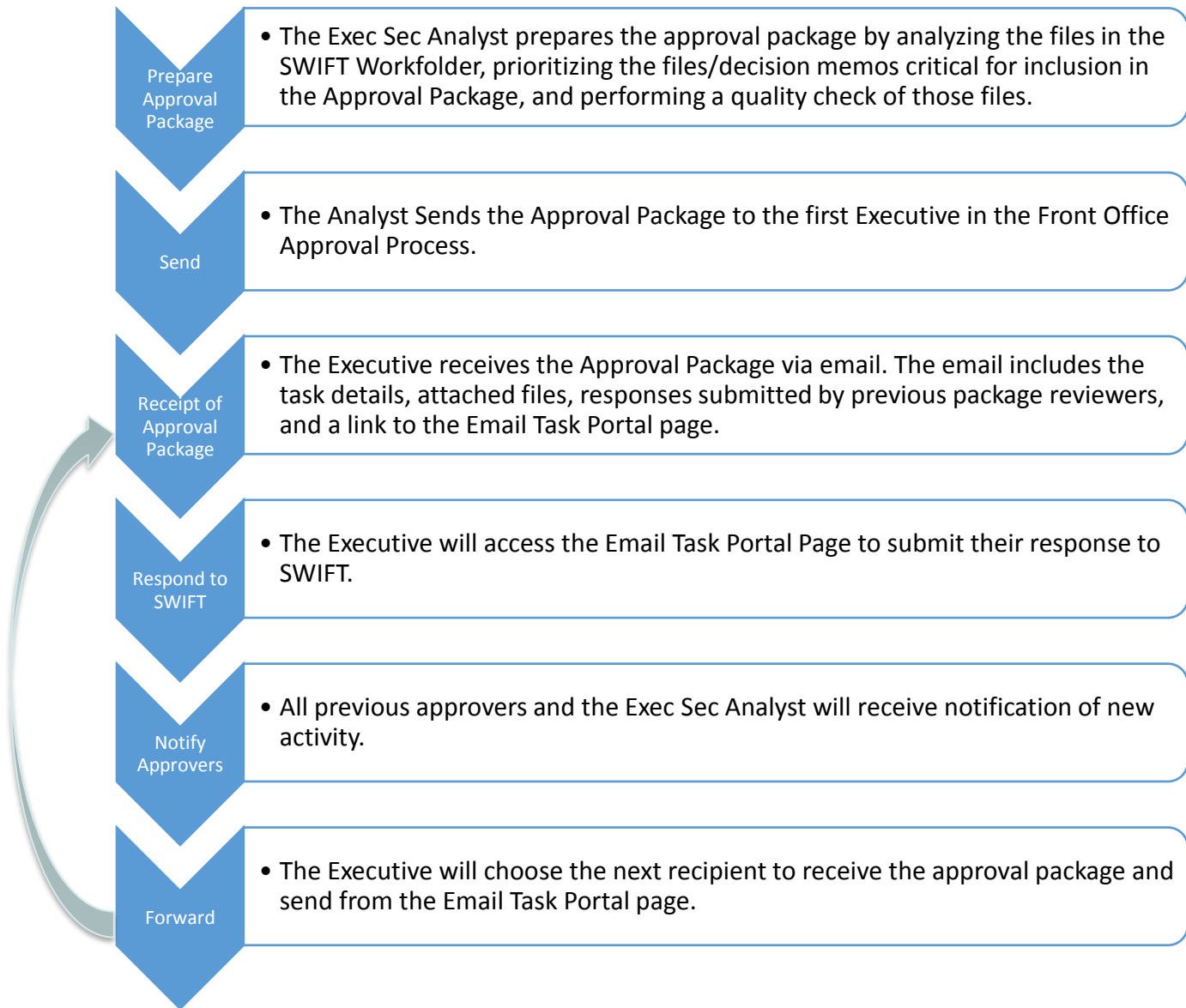
3.3 Electronic Approval Package

In Fiscal Year 2017, ACF made significant progress toward implementing a streamlined process for the review and approval of their most senior executive members using SWIFT. Where ACF ES was preparing paper packages for manual routing to each executive involved in the review process, they are now able to route controls to their executives electronically using the new Approval task type in SWIFT. While the simple addition of this new task type has brought

increased efficiency to the final approval process, a more comprehensive solution is required to meet all of the business needs of ACF's most senior leadership.

The SWIFT Electronic Approval feature is a compilation of existing workflow capabilities, user interface enhancements and several new features including consecutive routing and electronic signature designed to replace the paper-based executive approval process previously in use at CMS. This suite of features and enhancements will be migrated to ACF's instance of SWIFT and implemented to further improve their Front Office Approval process.

Today, Approval Packages must be individually sent to each participant in the Front Office Approval process one-by-one for their review. Even when each member Approves the contents of the control, the ACF Analyst or Exec Sec Director must create new tasks for each phase of the process. The SWIFT Executive Paperless Approval feature will streamline this process with the consecutive routing capability. This capability will enable participants in the Front Office Approval process to electronically route the Approval Package consecutively from one executive to another without requiring the SWIFT Analyst to intervene except if an item is rejected by a reviewer.



Today, the ACF Exec Sec office utilizes an Autopen machine to allow ACF Executives to delegate the process of signing response letters and decision memos to the Exec Sec Director. While this streamlines the approval process for the Executive who simply submits his or her response electronically to SWIFT, the Exec Sec Director must still print each document that requires a signature, sign it with the Autopen machine, and then scan a copy of the signed document back into SWIFT. This process will be improved with the Electronic Signature Applet to be delivered with the SWIFT Electronic Approval Package. This feature will allow the Exec Sec Director to open files directly from SWIFT and apply a digital signature for his or her own signature or an electronic Autopen signature for other Executives who have delegated their signing authority.

ACF Executive Leadership will receive links to Electronic Approval Packages via email when a) they are assigned an Approval task by the Exec Sec office or b) a package is forwarded by a previous package reviewer. Contents of the email will provide a link to [Open the SWIFT Approval Package](#) as well as details about the package to allow a cursory review from the email.

The incoming letter and draft response are attached to the email. Supporting documentation and concurrences will only be available via the link to [Open the SWIFT Approval Package](#).

The email will display the SWIFT task information including Subject, Full Name and Deadline.

The email will also include any previous responses from executives who already reviewed and approved the package.

 Incoming Letter.pdf
86 KB

 Draft Response to Smi...
18 KB

Steve, please review the attached draft. It has been approved by Ken and Anna this afternoon.

Open the [SWIFT Approval Package](#)

Details

Full Name:	John Smith
Organization:	General Public
Subject:	Administration for Children and Families Policy Concern
Synopsis:	John Smith writes in with a policy concern.
Instructions:	Please approve the attached draft.
Action Required:	Prep for Sig
Assigned To:	Front Office Approval Team (pending: Steve Wagner)
Deadline:	Friday, December 01, 2017 6:00 PM
Primary Issues:	(none)

Previous Responses

Approve

by Anna Pilato on 11/28/2017 3:00 PM

"Looks good to me."

Approve

by Kenneth Cottingham on 11/28/2017 2:04 PM

"Reviewed draft. Anna, please particularly note the language in paragraph 2."

This **SWIFT** package may include document attachments that are not in this email. Please click the link at the top of the email to review all attachments.

Contact the SWIFT Coordinator, [Jessica Schmitz](#) (ES), if you have any difficulty opening the link.

Note: Only forward this email if you intend to delegate the ability to respond directly to SWIFT. Additional sharing options are available by clicking the link at the top of this email.

Figure 1: SWIFT Email Task

The Email Task Portal page is the primary interface that ACF Executive Leadership will interact with when using the Electronic Approval Package features.

The page contains all of the package components and allows the Executive to submit their response to SWIFT and choose the next recipient of the Approval Package.

Attached files will be organized into virtual “tabs” to facilitate the review process.

When the review is complete, the executive will choose the appropriate response and then forward the Approval Package to the next recipient.

The Email Portal Page will also be enhanced to display a convenient list of recently opened packages as well as those packages that the system is aware of having been routed to the Executive. Note that the system will only be aware of packages routed through SWIFT tasking or the “Choose Next Recipient” feature. Packages shared by manually selecting recipients in Outlook will not appear in the SWIFT list.

The screenshot displays the 'Email Task Portal Page' for a 'SWIFT Approval Package'. The interface is divided into several sections:

- Share by Email:** Includes 'Share' and 'Delegate' options.
- Submit Response:** Includes 'Approve', 'Return for Revision', and 'Final Approval' options.
- Next Steps:** Includes a 'Choose Next Recipient' option.
- Task Details:** A table providing information about the task:

Full Name:	John Smith
Organization:	General Public
Subject:	Administration for Children and Families Policy Concern
Synopsis:	Smith writes in with questions and concerns regarding ACF Policy.
Instructions:	Please approve the attached draft.
Action Required:	Prep for Sig
Sent By:	Jessica Schmitz (ES)
Assigned To:	Front Office Approval Team
Deadline:	Friday, December 01, 2017 6:00 PM
Primary Issues:	(none)
- Attachments:** A list of files organized into tabs:
 - Cover Sheets:** Clearance.pdf
 - Primary Documents:** Incoming Letter.pdf
 - Working Documents:** Draft: Response to Smith.docx
 - Supporting Documents:** Supporting.pdf
- Responses:** A section for submitting a response, including a 'New Response' form with fields for:
 - *Response: (Dropdown menu, currently set to 'Approve')
 - Contact Name: (Text input)
 - Contact Phone: (Text input)
 - Comments: (Text area)
 At the bottom of the form are buttons for 'Add Files...', 'Cancel', and 'Submit'.

Figure 2: Email Task Portal Page

4 Process Description

The following sections detail the process maps for ACF's Front Office Approval process. Some of the more complex diagrams are broken up into sub-processes that help visualize the high-level processes and the detailed low-level processes.

4.1 ACF Front Office Approval Process (High-level Process)

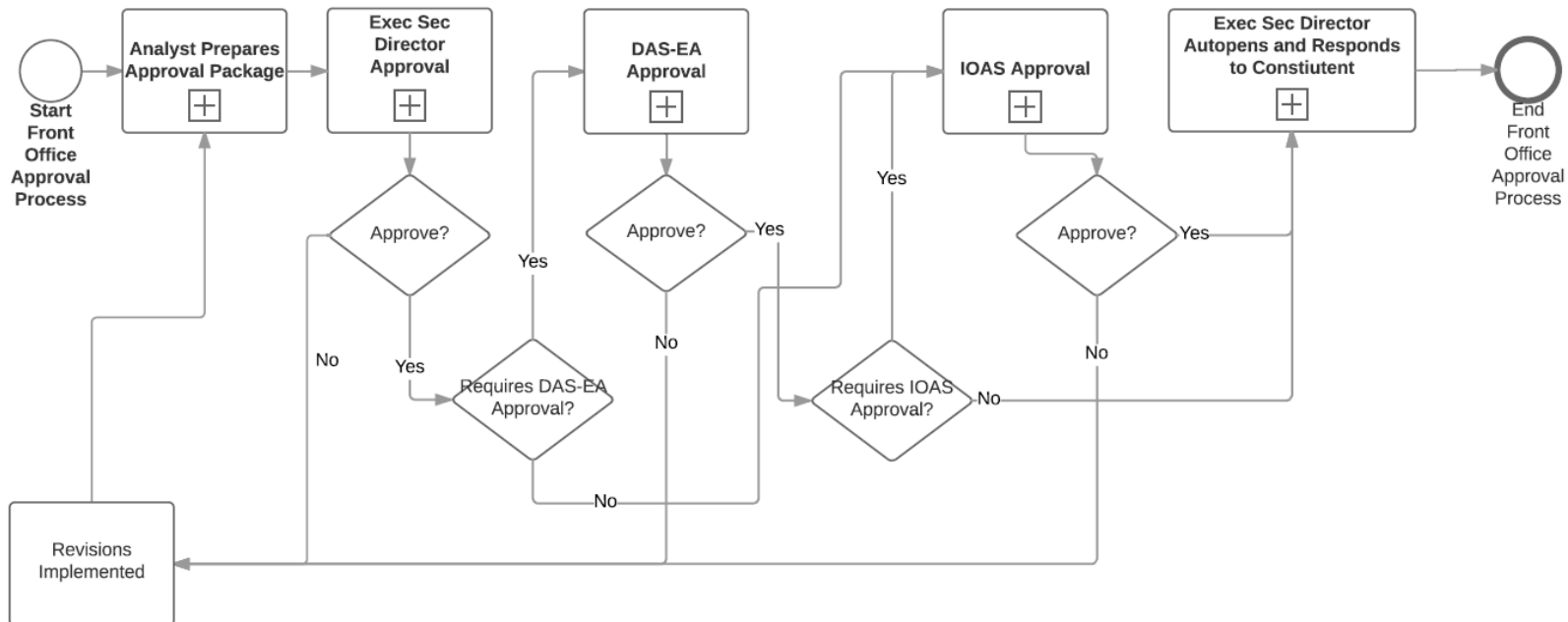


Figure 3: ACF Front Office Approval Process

4.1.1 Analyst Prepares Approval Package

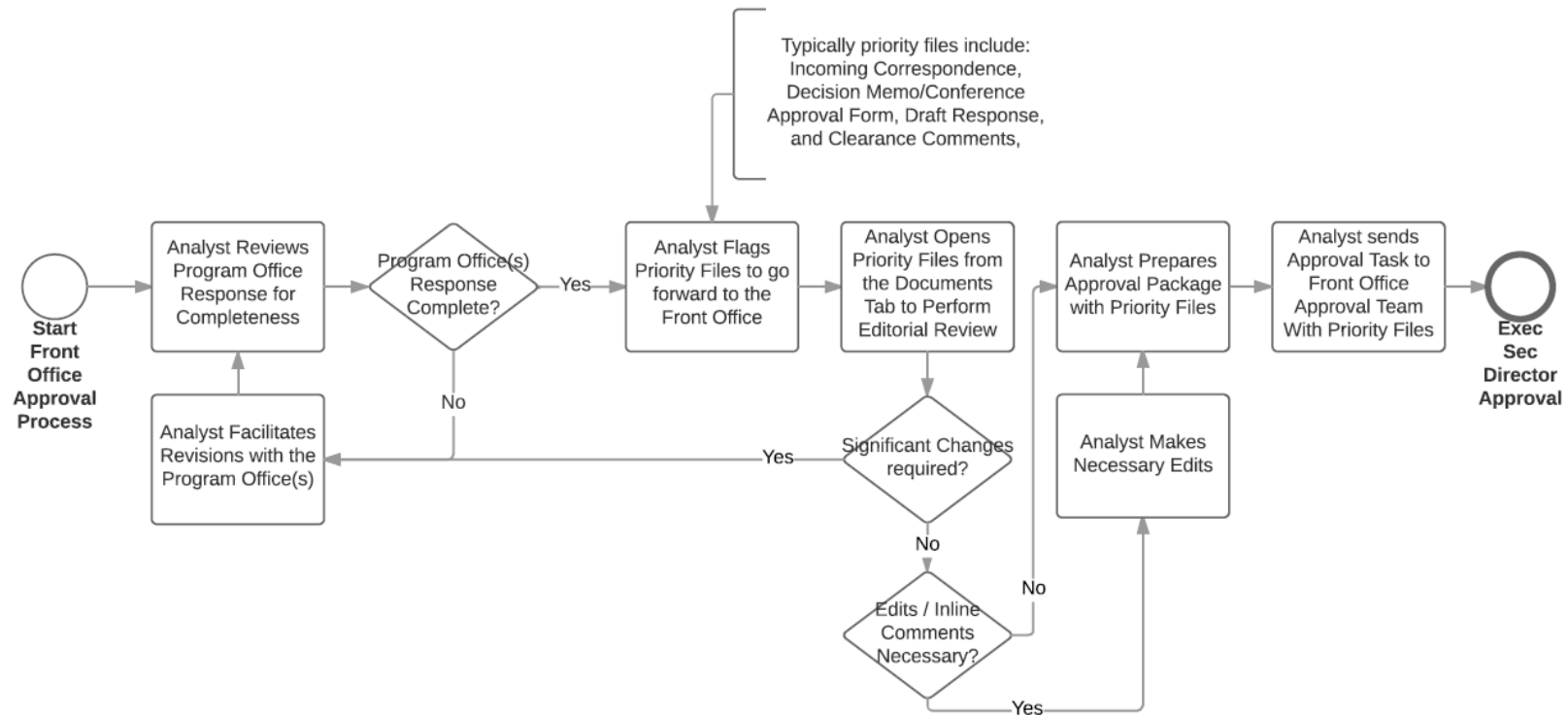


Figure 4: Analyst Prepares Approval Package

4.1.2 Exec Sec Director Approval

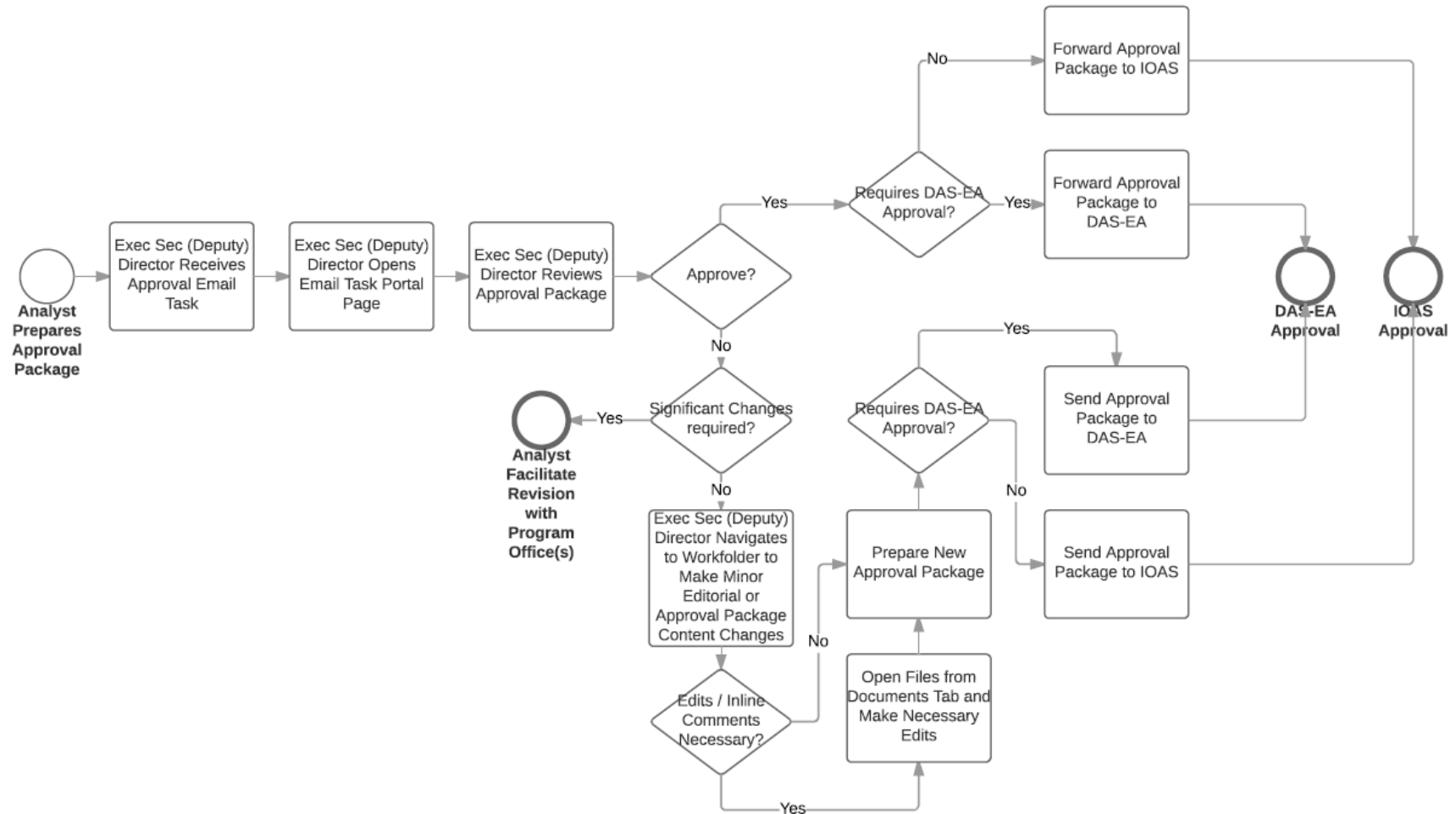


Figure 5: Exec Sec Director Approval

4.1.3 DAS-EA Approval

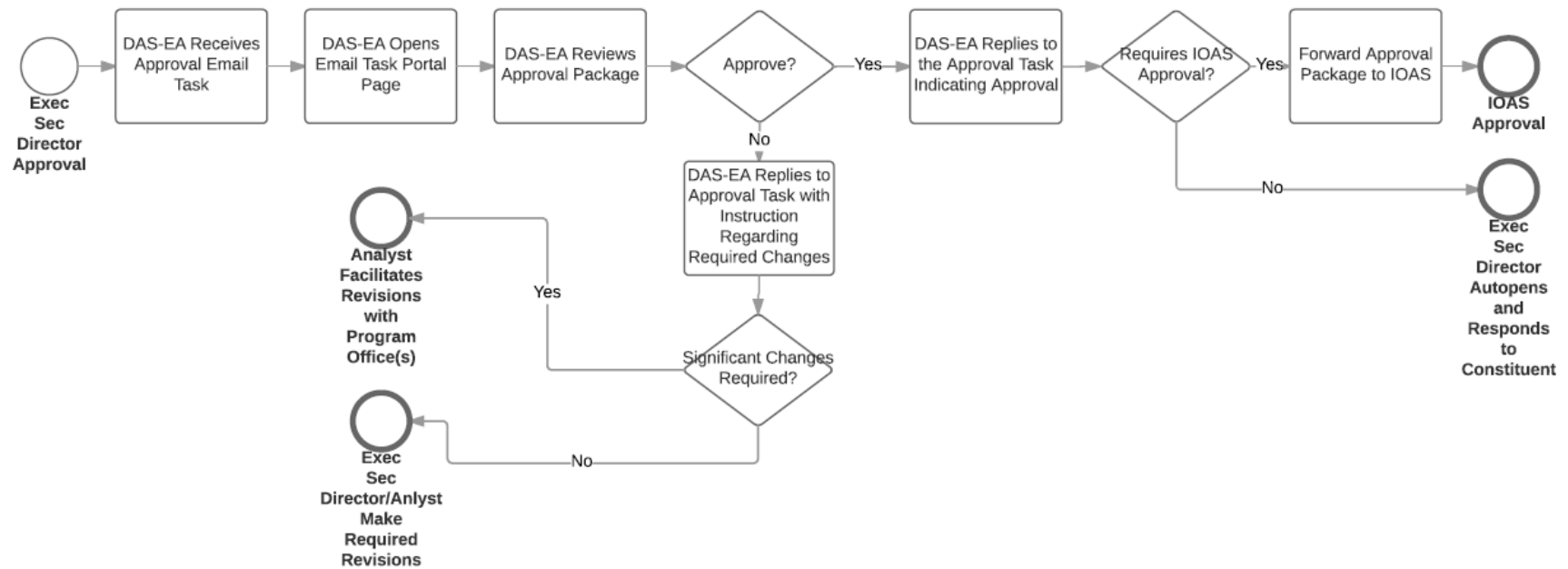


Figure 6: DAS-EA Approval

4.1.4 IOAS Approval

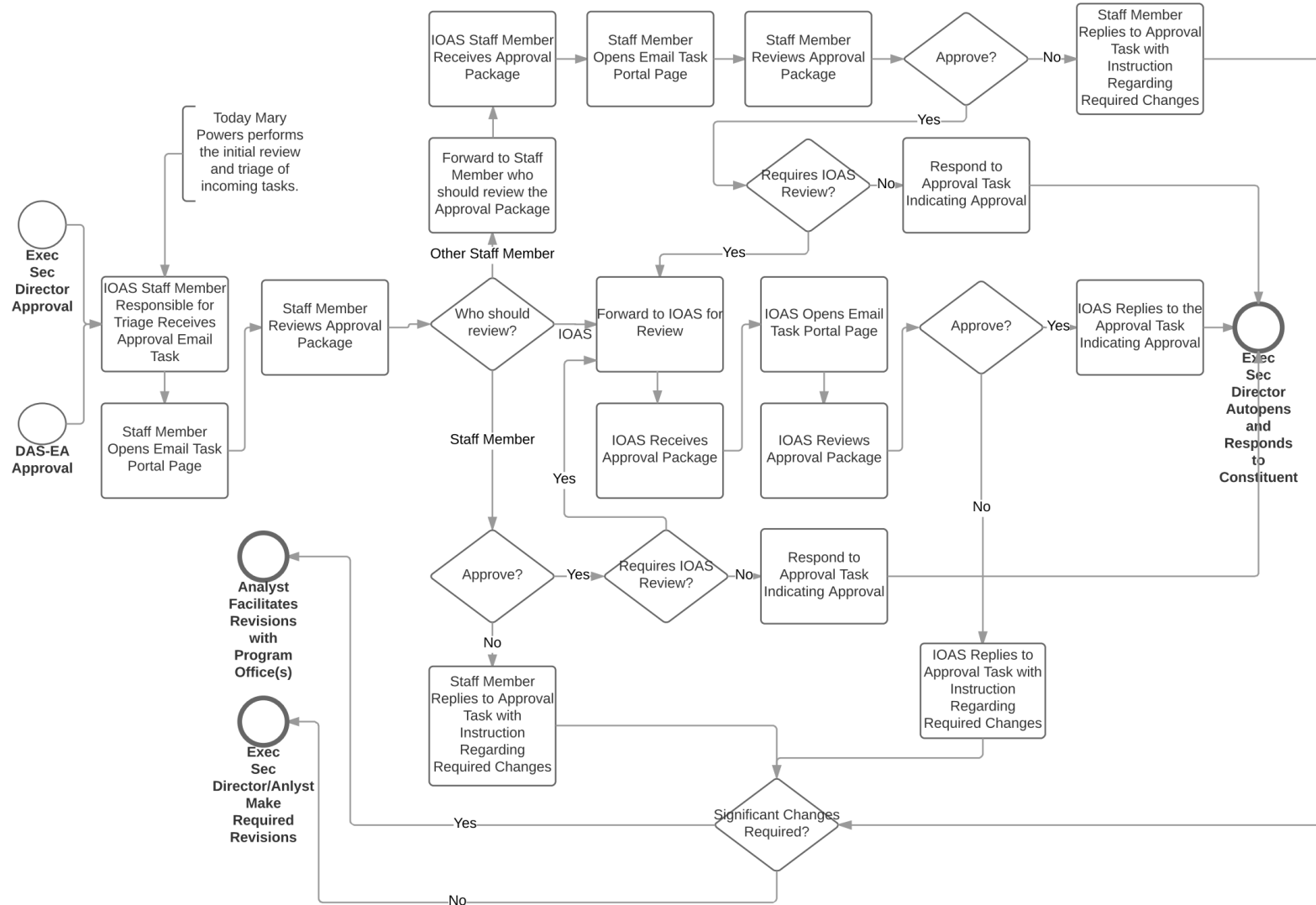


Figure 7: IOAS Approval

4.1.5 Exec Sec Director Autopens and Responds to Constituent

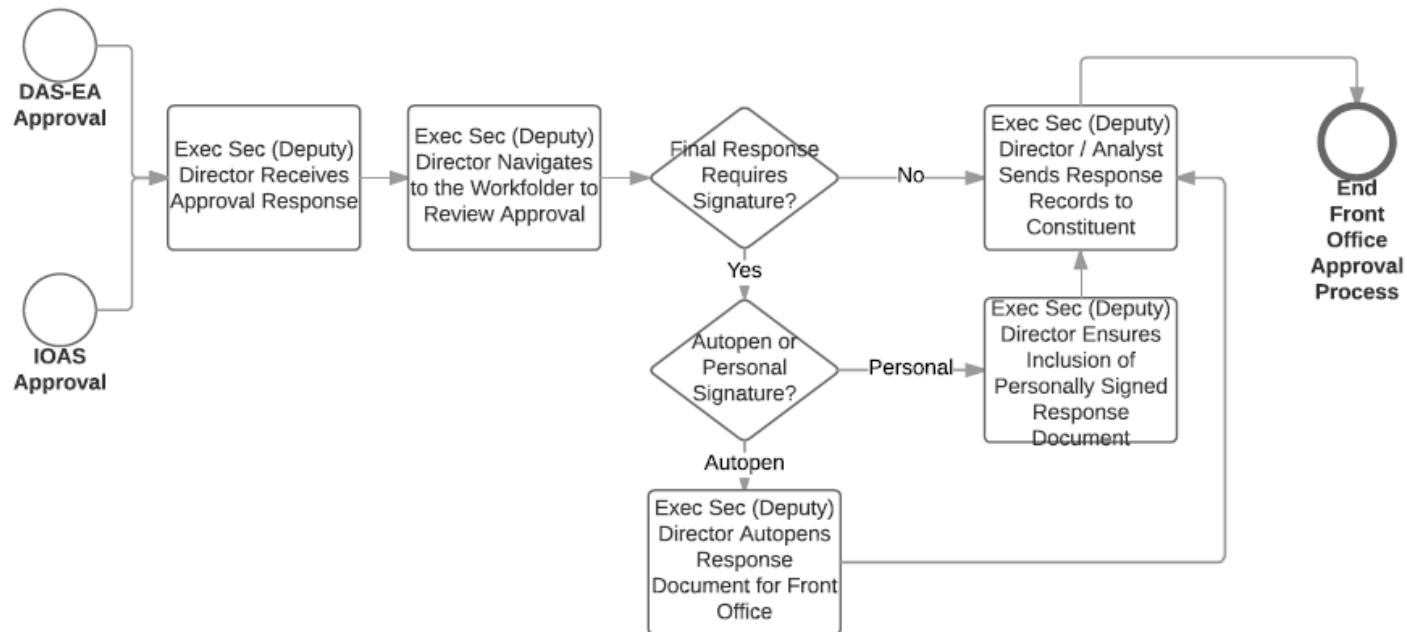


Figure 8: Autopen and Respond

5 Detailed Design

The sections below provide a detailed design description for the major deliverables.

5.1 Detailed Design for File Management Enhancements

The following sections provide detailed design for the File Management Enhancement deliverables described in Section 3.1 of the “Solution Overview”.

5.1.1 Enhanced File Browser

ACF needs the ability to view files from previous rounds of review from the Documents tab in SWIFT. Currently the Documents tab in SWIFT displays only the latest round of files. Accessing documents from previous rounds is useful on occasion to compare differences or to research historical activity. While these files are available from the “More Files” dialog (or SWIFT File Browser) from the task form, they cannot currently be accessed from the Documents Tab.

The existing File Browser will be enhanced to make it accessible from the Documents Tab with the Enhancements Release in February, 2018. To improve user experience with the File Browser, new styling will be applied to the form with the Tech Refresh in November, 2017 (see before and after screenshots below). The underlying functionality of the File Browser will remain unchanged.







<input type="checkbox"/>	Entered By	Filename	Date	Source
<input type="checkbox"/> Assignment: Assignment, received on 7/3/2017 - 6 Item(s)				
<input type="checkbox"/>	ACYF	 ACYF Direct Reply Response.txt	7/3/2017	Direct Reply Task
<input type="checkbox"/>	Jake Morgan	 Example File.docx	10/12/2017	Local User
<input type="checkbox"/>	Jake Morgan	 Email Files.docx	10/25/2017	Local User
<input type="checkbox"/>	Jake Morgan	 Example File PDF Final Version.pdf	10/25/2017	Local User
<input type="checkbox"/>	Jake Morgan	 Example File.docx	10/25/2017	Local User
<input type="checkbox"/>	Jake Morgan	 RE_TEST EMAIL.msg	10/25/2017	Local User

Figure 9: Old File Browser Style

File Browser

Transfer Assignment received on 9/5/2017 - 9 Item(s)

Entered By	File Name	Date	Source
<input type="checkbox"/> OTIP	Example File Name Example File Name Example File Name.pdf	9/5/2017 10:10 AM	Assignment
<input type="checkbox"/> OTIP	Example File Name Example File Name Example File Name.docx	9/5/2017 10:10 AM	Assignment
<input type="checkbox"/> OTIP	ControlSheet.pdf	9/5/2017 10:10 AM	Assignment
<input type="checkbox"/> Tremayne Ryant	Example File Name Example File Name Example File Name.pdf	9/5/2017 3:44 PM	Local User
<input type="checkbox"/> Tremayne Ryant	Example File Name Example File Name.pdf	9/6/2017 10:49 AM	Local User
<input type="checkbox"/> OTIP	OTIP Round 2 Necessary Action Response.txt	9/21/2017 5:10 PM	Necessary Action Task

Attach

Cancel

Figure 10: New File Browser Style

Note: When launched from the Documents Tab, the checkboxes and “Attach” button’s will not be visible as those features are only relevant to the dialog when launched from the outgoing task form.

5.1.2 Enhanced Version History Accessibility

Today when a file is edited in SWIFT, “(modified)” appears next to the file name to indicate that the original file has been altered. SWIFT Power Users can access the previous versions of the file in the File Details dialog.

ACF needs easier access to several data points about file history: the previous versions of the file, modified date of the version, and the name of the user who modified the version. They also need the ability to send easily attach previous as well as current versions of files to outgoing SWIFT Tasks.

The Documents Tab and the File Browser will be enhanced to display a collapsible “Previous Versions” menu below any files with previous versions.

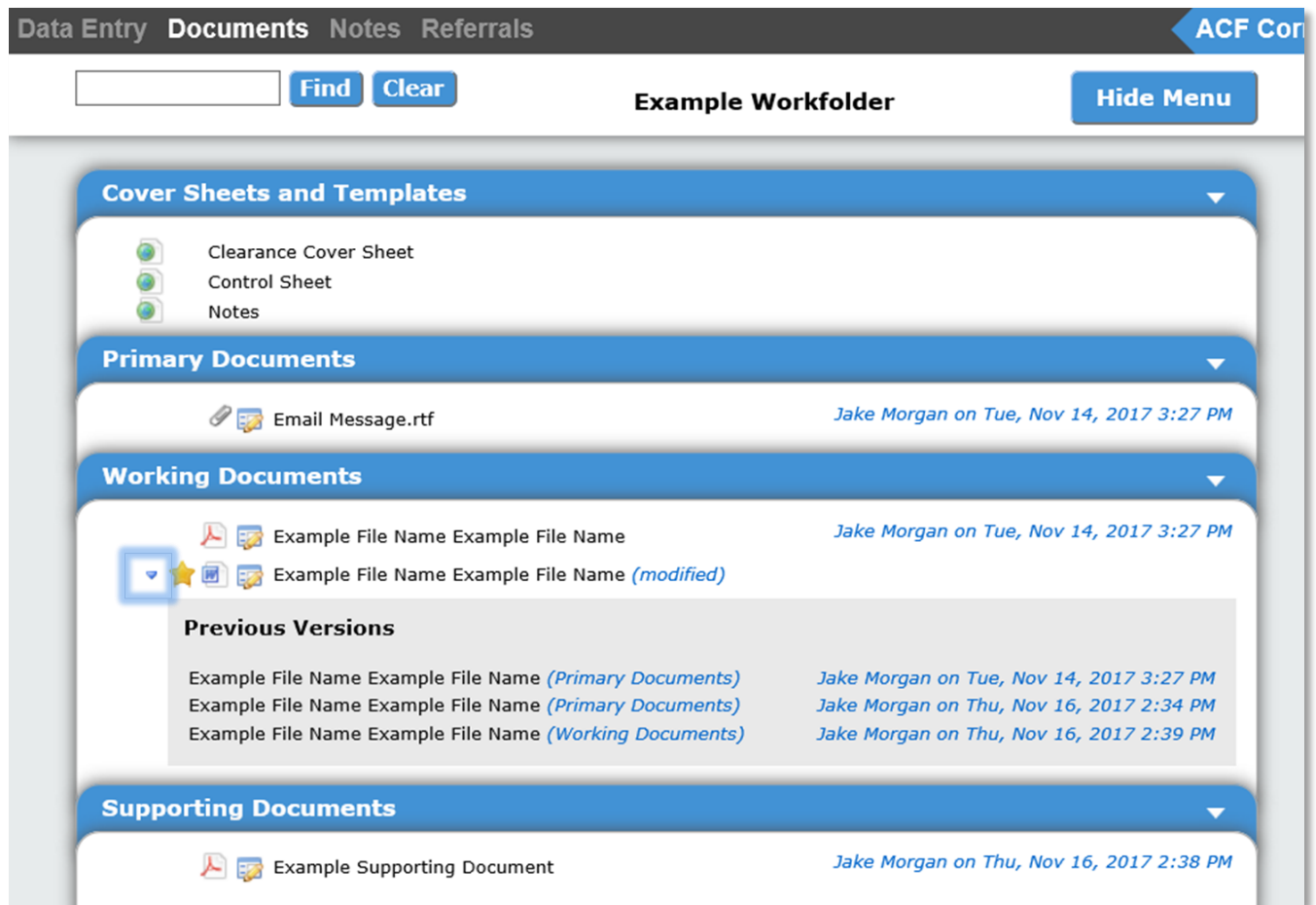


Figure 11: Previous Versions in the Documents Tab

Previous versions of files may be attached to outgoing tasks from the File Browser using the checkboxes associated with each version.

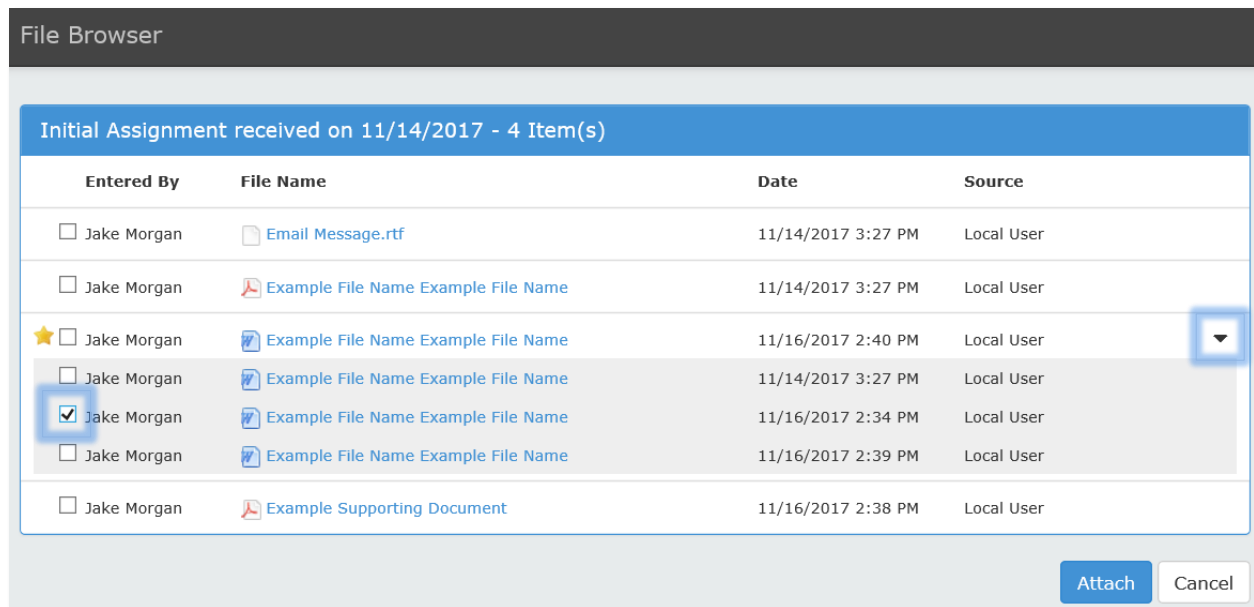


Figure 12: Previous Versions in File Browser

5.1.3 File Priority Flag in Documents Tab and File Browser

Today ACF Exec Sec Analysts use a special naming convention to flag files that should be included for senior leadership review and for submission to IOS. ACF needs the ability to systematically flag files that should be “moved forward” in the final review and submission process.

SSI will enable a basic flag for SWIFT Power Users to mark files in the Documents tab and the Files Browser (“More Files”) dialog that are to be “moved forward”.

By checking a “Display priority flag” checkbox in the file details dialog for a given file, SWIFT Power Users will be able to mark priority files with a star icon to designate important files that should be “moved forward”. The “star” icon shown in the below screenshots will be displayed only in the Documents Tab and in the Files Browser.

The screenshot shows a 'File Details Dialog' for a document named 'Test Email Attachment 2.docx'. At the top, there are two links: 'View/Edit Document' and 'Delete Document'. Below this, a message states 'There are 3 previous versions of this document.' with a 'View Previous Versions' button. The main section is titled 'Upload New Version' and includes a text input field for 'Choose new version of this file from your computer:' and a 'Browse...' button. Below that is the 'Change Document Classification' section, which has a 'Document Classification' dropdown menu set to 'Working Documents' and a 'Display Priority Flag' checkbox that is checked. At the bottom is the 'Rename Document' section with a 'New File Name:' text input field.

Figure 13: Priority Flag Checkbox in the File Details Dialog

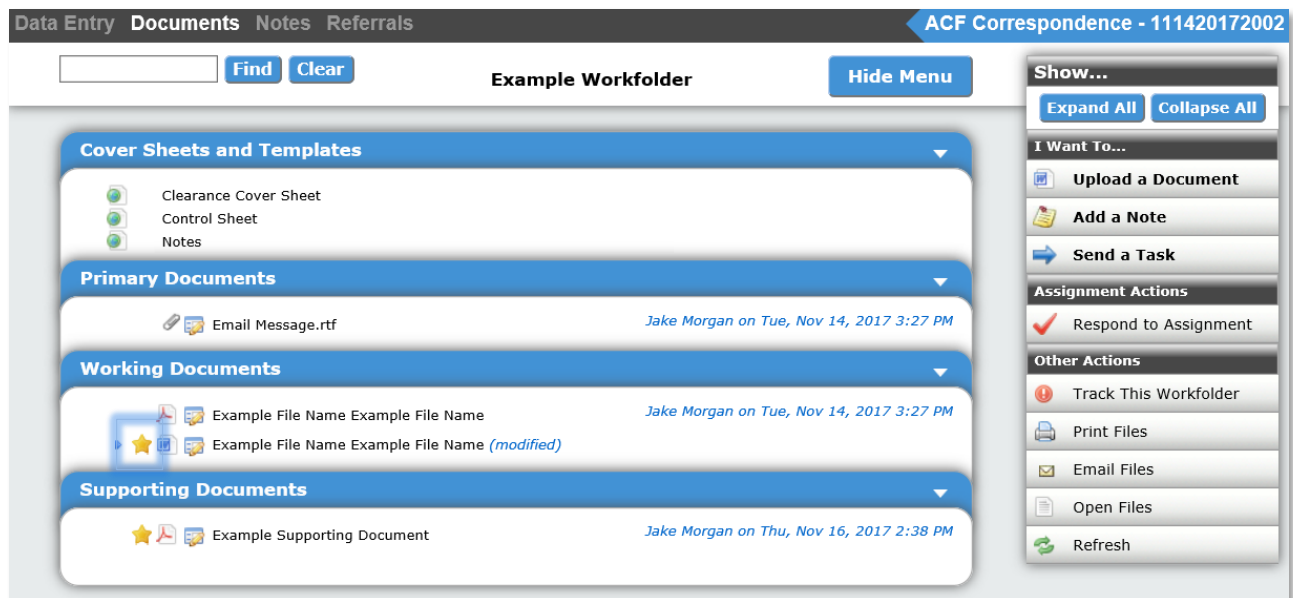


Figure 14: Priority File Icon in Documents Tab

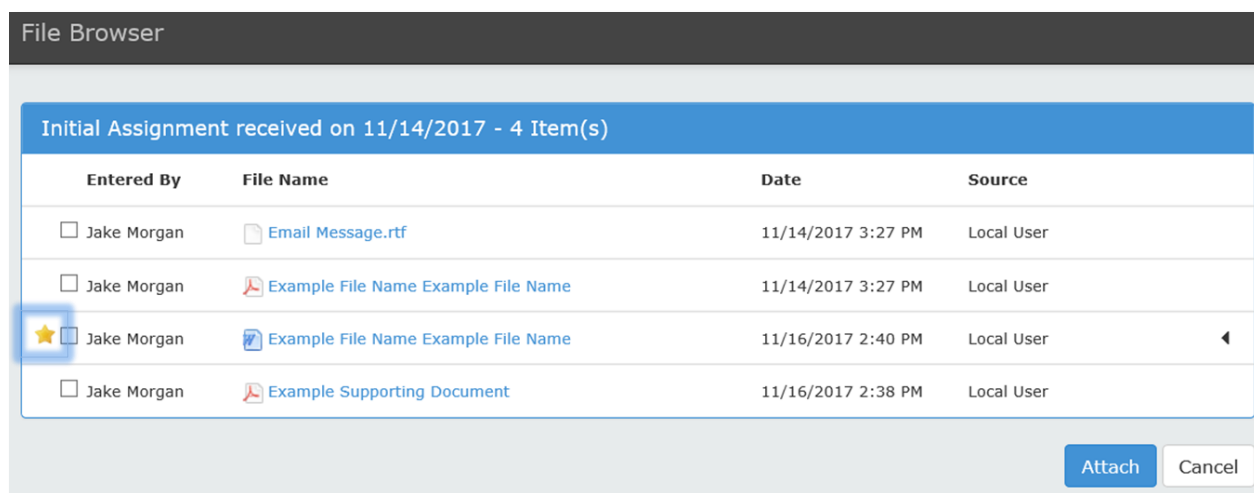


Figure 15: Priority File Icon in File Browser

5.2 Detailed Design for Change Approval Task Due Date Logic

As described in Section 3.2 of “Solution Overview” above, the Approval task type due date is set by default 3 business days after the date that the task is created. However, because the Approval task is used for the Front Office Approval process which involves ACF senior leadership reviewing ACF’s response prior to final submission, the task due date should reflect the date that ACF’s overall response is due. The following section details the new logic that will be used to determine the default task due date.

5.2.1 Reconfigured Approval Task Default Due Date Logic

The Approval task default due date logic will be configured as follows:

- The default task due date will equal the Source Due Date on the workfolder Data Entry Form.
- If the Source Due Date and the latest Assignment Due Date are the same, the task time due will default to the latest Assignment Time Due. If the Source Due Date and the latest Assignment Due Date are not the same, the task due time will default to 6:00PM.

The default task due date may be changed as desired prior to assignment of the task.

The screenshot displays the SWIFT ACF system interface. On the left, the 'Example Workfolder' is shown with a 'Clear Assignment' task. The task details include 'received from IOS on Tue, Nov 14, 2017 4:48 PM' and 'Due Tue, Nov 21, 2017 4:30 PM'. The task is assigned to 'Control Sheet' and 'Example File'. Below this, a 'Round 1' section shows a 'Clearance Task' with a due date of 'Due Tue, Nov 21, 2017 6:00 PM' and a status of 'Awaiting Response'. On the right, a task configuration panel is visible. It includes a 'Send' button, a 'Log and Do Not Send' button, and a 'Task' field. The 'Assign To' field is set to 'Front Office Approval Team'. The 'Info Copy' field is empty. The 'Subject' field is empty. The 'Deadline' field is set to '11/21/2017'. The 'Time Due' field is set to '4:30 PM'. The 'Date Sent' field is set to '11/20/2017'. The 'Instructions' field is empty. At the bottom, the 'Selected Attachments' section shows a table with columns for 'Type', 'File Name', 'File', and 'Print'.

Figure 16: Approval Task Default Due Date

5.3 Detailed Design for Electronic Approval Package

The SWIFT Electronic Approval feature is a compilation of existing workflow capabilities, user interface enhancements and several new features including consecutive routing and electronic signature designed to replace the paper-based executive approval process previously in use at CMS. This suite of features and enhancements will be migrated to ACF's instance of SWIFT and implemented to further improve their Front Office Approval process. This section details the discrete modifications necessary to deliver the design described in Section 3.3 of the "Solution Overview".

5.3.1 Consecutive Routing

A key component of the Electronic Approval Package features is the ability to consecutively route the Approval Package from one executive to the next in a flexible chain of reviewers. The existing Approval task will be enhanced with support for consecutive routing as the functionality exists at CMS. The following enhancements will be enabled for ACF to support consecutive routing for Electronic Approval Packages.

5.3.1.1 Forwarding from the Email Task Portal Page

A new "Next Steps" section will be added to the sidebar of the Email Task Portal page that will display a "Choose Next Recipient" button. This button will only be visible when Approval tasks are displayed on the Email Portal page.

The screenshot displays the Email Task Portal interface. On the left sidebar, there are three sections: 'Share by Email' with 'Share' and 'Delegate' options; 'Submit Response' with 'Approve', 'Return for Revision', and 'Final Approval' options; and 'Next Steps' with a 'Choose Next Recipient' button. The 'Next Steps' section is highlighted with a blue border. The main content area shows 'Task Details' for a task assigned to John Smith, with fields for Full Name, Organization, Subject, Synopsis, Instructions, Action Required, Sent By, Assigned To, Deadline, and Primary Issues. Below this is an 'Attachments' section showing a 'Primary Documents' list with 'Incoming Letter.pdf'.

Figure 17: Choose Next Recipient Button

“Choose Next Recipient” will open the forwarding dialog. The dialog will include an option list to permit the user to select the next recipient and a carbon copy recipient from a predefined group of users. When the forwarding dialog is submitted, an animated icon will appear to indicate that the email is being created and sent. Note: the “Message” field that appears in this screenshot will be hidden for ACF. This private message field was required for CMS, but is not required by ACF.

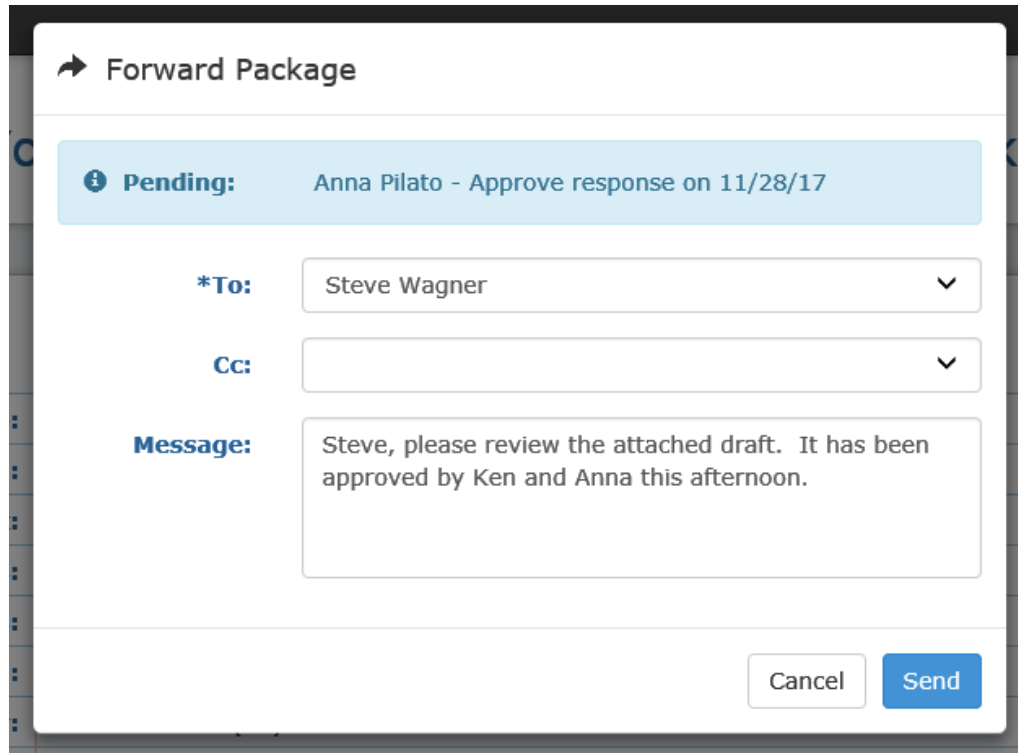



Figure 18: Forwarding Dialog

5.3.1.2 Email Task Enhancements

The Electronic Approval Package will be sent to the initial recipient(s) and any subsequent forward recipients via SWIFT Email Tasks. The email will include the attachments and package details such that the recipient has sufficient information to perform a preliminary review before opening the Email Task Portal page to submit a response.

When an Approval Package is forwarded from the Email Task Portal page using the “Choose Next Recipient” feature described in Section 5.3.1.1 above, the email will include new data points. A new section for previous responses to the Electronic Approval Package will be added to the email task that will show task responses recorded by previous reviewers. The task responses will include any response comments or special instructions that were submitted with the previous executives’ response. In addition, the Response Type, Response Date and name of the person who responded will be displayed.

 Incoming Letter.pdf
86 KB

 Draft Response to Smi...
18 KB

Steve, please review the attached draft. It has been approved by Ken and Anna this afternoon.

Open the **SWIFT Approval Package**

Details

Full Name:	John Smith
Organization:	General Public
Subject:	Administration for Children and Families Policy Concern
Synopsis:	John Smith writes in with a policy concern.
Instructions:	Please approve the attached draft.
Action Required:	Prep for Sig
Assigned To:	Front Office Approval Team (pending: Steve Wagner)
Deadline:	Friday, December 01, 2017 6:00 PM
Primary Issues:	(none)

Previous Responses

Approve
 by Anna Pilato on 11/28/2017 3:00 PM
 "Looks good to me."

Approve
 by Kenneth Cottingham on 11/28/2017 2:04 PM
 "Reviewed draft. Anna, please particularly note the language in paragraph 2."

This **SWIFT** package may include document attachments that are not in this email. Please click the link at the top of the email to review all attachments.

Contact the SWIFT Coordinator, [Jessica Schmitz](#) (ES), if you have any difficulty opening the link.

Note: Only forward this email if you intend to delegate the ability to respond directly to SWIFT. Additional sharing options are available by clicking the link at the top of this email.

Figure 19: Electronic Approval Package Email Task

Additionally, the current reviewer label described in depth in Section 5.3.2.2 below will also be added to the Task Details section of the Email Task.

5.3.1.3 Response Display on the Referrals Page

Generally, the task recipient selected by the SWIFT analyst is the name that should be displayed on the referral pane, even if a delegate responds to the task. However, the Approval task uses a “multi-recipient” style workflow where it is more appropriate to display the name of the actual responder rather than the recipient initially selected. The Epic Referrals tab will be updated to support this display feature for “multi-recipient” contacts.

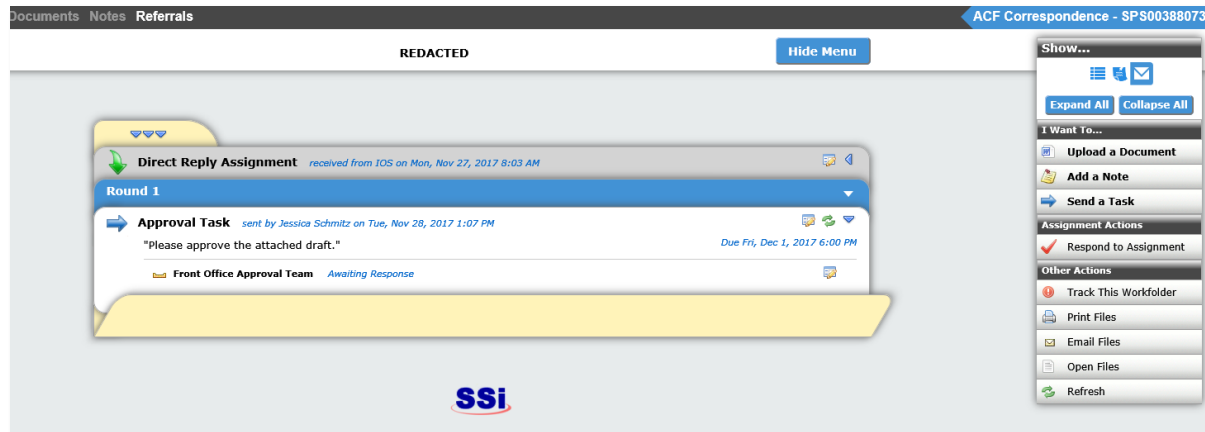


Figure 20: Before any responses are received, the Epic task will display the assigned team.

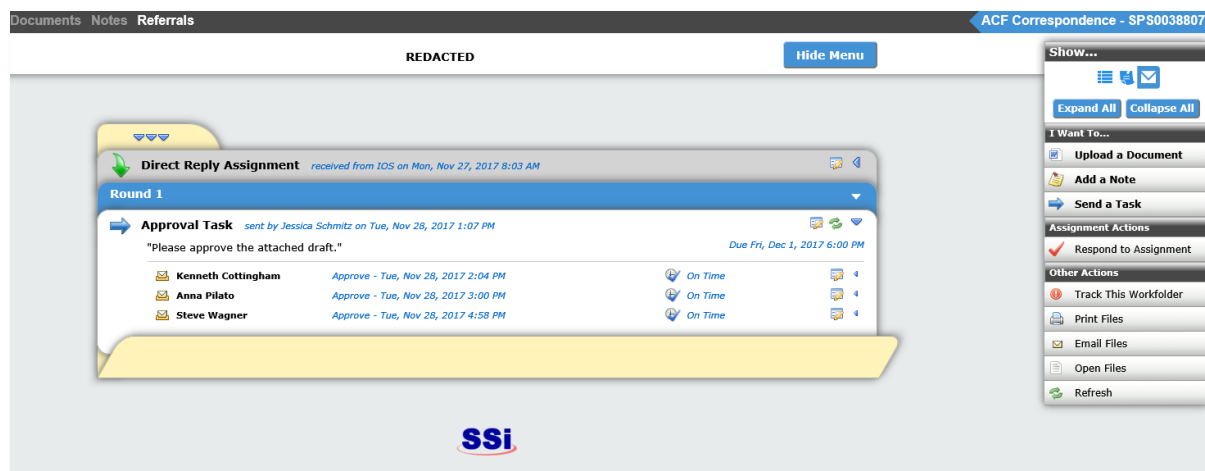


Figure 21: When the first response is received, the Approval task will display the name of the responder.

The Approval task will initially be assigned to the *ES Director*. This team name will only be displayed on the Epic Referrals tab when there are no responses.

5.3.1.4 New Approval Task Response Options and Workflow Logic

Consecutive routing allows the Electronic Approval Package to be forwarded from one Executive to the next in an approval chain without the intervention of the Analyst unless a

reviewer rejects the package or until the approval process is complete. Upon each Executive's review and response, the Electronic Approval package will be in one of three states:

- 1) Approval - The package will be approved and forwarded to the next reviewer and thus continue to progress through the approval process
- 2) Revisions Required – The package will be rejected by a reviewer and require revisions by the Program Office(s), the Exec Sec Analyst, or the Exec Sec Director
- 3) Approval Review – The package will be approved by the final reviewer and return to the Exec Sec Director for autopen signature and final closure

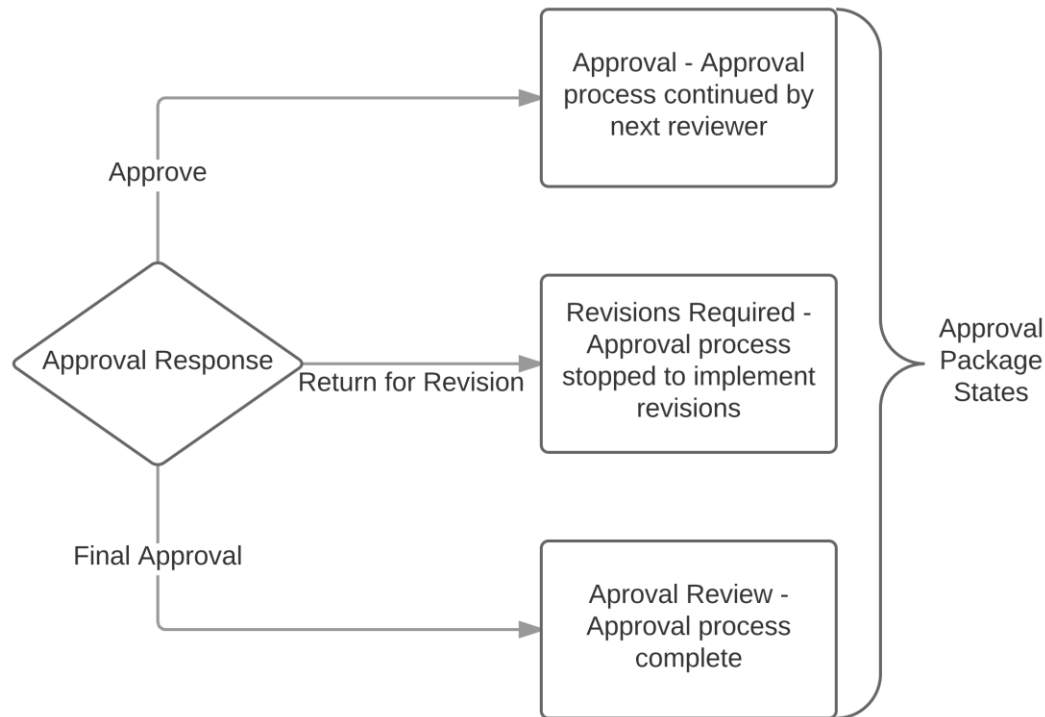


Figure 22: Approval Package States

Executive reviewers must clearly indicate the appropriate state of the package with their response. While existing task response options (*Concur*, *Concur with Comments*, etc.) are important for controlling cross-organizational Clearance workflows, they are too ambiguous for the consecutive Approval process with respect to the state of the Electronic Approval Package. The following task response options will be configured in place of the existing response options:

Configuration Point	Definition
Response Type	Approve
Workfolder Status Changes When	N/A
Workfolder Status Changes To	N/A
Categorize Attachments As	Supporting Documents

Remove from Dashboard Queues	None
Add to Dashboard Queues	None
Attachment Renaming	None
Attachments Hidden By Additional Response To Same Task	No
Change Status When Not Current Task	No
Response Comments Saved as a .txt file?	No

Table 2: Approve Response Configuration

Configuration Point	Definition
Response Type	Return for Revision
Workfolder Status Changes When	Any Return for Revision response is submitted
Workfolder Status Changes To	Returned for Revision
Categorize Attachments As	Supporting Documents
Remove from Dashboard Queues	All
Add to Dashboard Queues	Workfolders – My Action Items
Attachment Renaming	None
Attachments Hidden By Additional Response To Same Task	No
Change Status When Not Current Task	Yes
Response Comments Saved as a .txt file?	No

Table 3: Return for Revision Response Configuration

Configuration Point	Definition
Response Type	Final Approval
Workfolder Status Changes When	Any Final Approval response is submitted
Workfolder Status Changes To	Approval Review
Categorize Attachments As	Supporting Documents
Remove from Dashboard Queues	All
Add to Dashboard Queues	Workfolders – My Action Items
Attachment Renaming	None

Attachments Hidden By Additional Response To Same Task	No
Change Status When Not Current Task	Yes
Response Comments Saved as a .txt file?	No

Table 4: Final Approval Configuration Response Configuration

5.3.1.5 Remove Approval Task from Program Office Workspaces

The existing Approval task at ACF is a standard task type available to any SWIFT Workspace at ACF. The Electronic Approval Package enhancements being implemented for the Approval task type are configured specifically for senior executive leadership approval processes. The enhanced Approval task type will be made available only to the ACF Executive Secretariat workspace.

5.3.2 Email Task Portal Enhancements

The Email Task Portal page is one of the primary interfaces with which ACF Leadership will interact using the Electronic Approval Package feature. The following sections describe the enhancements to this interface that support Electronic Approval Packages.

5.3.2.1 Link to Recently Opened and Pending My Approval Items

The Email Task Portal page will also be enhanced to display a convenient list of recently opened packages as well as those packages that the system is aware of having been routed to the Executive.

To access these lists, an Executive may click the newly added “arrow” button from any Email Task Portal page. The Executive may toggle between a “Recently Opened Items” list and a “Pending My Approval” list. Clicking on the tasks in either list will open the corresponding Email Task Portal page.

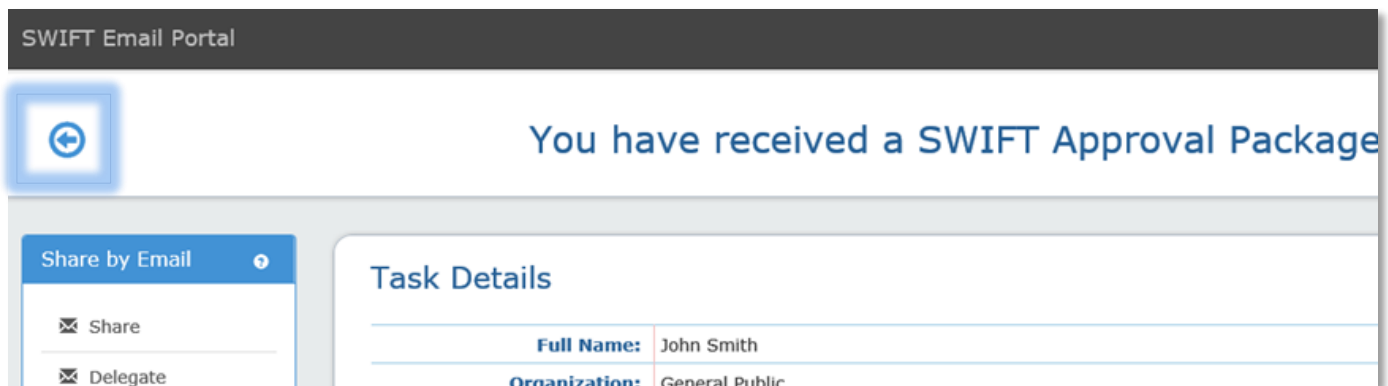


Figure 23: Link to Recently Opened Items and Pending My Approval

The “Recently Opened Items” list shows Email Portal Tasks that the Executive has recently opened. The list will display up to 15 tasks. Any tasks for which the Executive has opened the Email Task Portal page in the past 30 days will appear in the list. The list is sorted by the date the Email Task Portal page was opened.

SWIFT Email Portal		
<div>Recently Opened</div> <div>Pending My Approval</div>		
	John Smith 112920172001 - Office A Administration for Children and Families Policy Concern	11/30/2017 10:07 AM
	Hugh Jones SPS000000001 Example Subject of an Administration for Children and Families Correspondence Task	11/30/2017 10:06 AM
	Thomas Fox 112920172002 - Office C Example SWIFT Document 112920172002	11/29/2017 4:53 PM
	John Watson 112720172001 - Office B Recently Opened View Example	11/29/2017 11:37 AM
	Frank Churchill 112820172001 - Office A SWIFT Document Example Email Portal Task	11/28/2017 2:59 PM
	Example Name 112720172005 Administration for Children and Families SWIFT Document 112720172005	11/28/2017 12:59 PM
	Jane Smith 112820172005 - Office A New SWIFT Document 112820172005	11/28/2017 11:05 AM
	Mary Johnson 112720172004 - Office B Citizen Writes With Feedback on New Programs	11/27/2017 1:45 PM
	Example Name 112720172002 - Office C Example Administration for Children and Families SWIFT Document	11/27/2017 11:08 AM
	Sarah Watson 112720172003 - Office A Given Recent Program Changes Correspondent Writes Requesting Information	11/27/2017 10:55 AM

Figure 24: Recently Opened Items with Links to Recently Opened Email Task Portal Pages

The “My Approval Items” list displays the items that the system is aware of having been routed to the Executive. The list will be sorted by date that the task was forwarded to the executive. Note that the system will only be aware of packages routed to the individual Executive through SWIFT tasking or the “Choose Next Recipient” feature. Packages shared by manually selecting recipients in Outlook will not appear in the SWIFT list. Items will be removed from this list once a) user responds to the task or b) the Approval Package is forwarded to the next reviewer through the “Choose Next Recipient” feature.

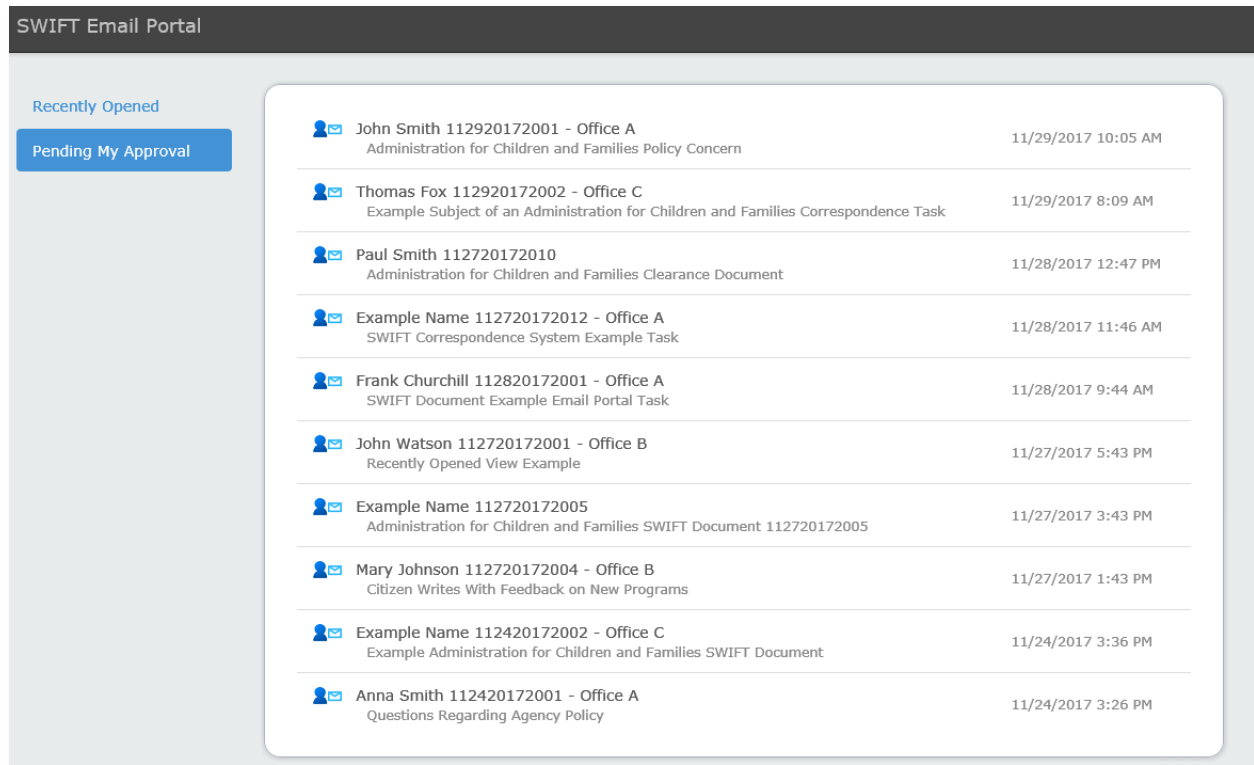


Figure 25: Pending My Approval With Links to Email Portal Pages Routed to an Executive

5.3.2.2 Approval Package Current Reviewer Label

An Approval Package current reviewer label will be added to the system to provide more visibility into where the Approval Package is in the approval process. The individual who the system is aware of having last received the Approval Package (either through SWIFT Tasking or from the Email Task Portal page “Choose Next Recipient” feature) will be logged as the current reviewer. Note that each approval package can only have one reviewer at a time. The current reviewer label will be displayed in the following locations and formats:

The current reviewer label will appear in the Task Details section of the Email Task Portal page in parenthesis following the Assigned To value.

Details	
Full Name:	John Smith
Organization:	General Public
Subject:	Administration for Children and Families Policy Concern
Synopsis:	John Smith writes in with a policy concern.
Instructions:	Please approve the attached draft.
Action Required:	Prep for Sig
Assigned To:	Front Office Approval Team (pending: Steve Wagner)
Deadline:	Friday, December 01, 2017 6:00 PM
Primary Issues:	(none)

Figure 26: Current reviewer on the Email Task Portal Page

The current reviewer label will appear on the “Choose Next Recipient” dialog. This label will include an indication of whether a response from the current reviewer has been received.

Forward Package

Info **Pending:** Steve Wagner - Approve response on 11/28/2017

***To:**

Cc:

Message:

Action Required: Clearance (Sec Sig)

Figure 27: Current reviewer on the Choose Next Recipient Dialog

The current reviewer label will appear in the Task Details section of the Email Task in parenthesis following the Assigned To value. The label will display the name of the reviewer at the time that the email was generated.

Task Details	
Full Name:	John Smith
Organization:	General Public
Subject:	Administration for Children and Families Policy Concern
Synopsis:	Smith writes in with questions and concerns regarding ACF Policy.
Instructions:	Please approve the attached draft.
Action Required:	Prep for Sig
Sent By:	Example Analyst (ES)
Assigned To:	Front Office Approval Team (pending: Steve Wagner)
Deadline:	Friday, December 01, 2017 6:00 PM
Primary Issues:	(none)

Figure 28: Current reviewer on the Email Portal Task Details

5.3.3 Response Receipt Notifications

SWIFT includes an Email Task Response Receipt feature that notifies the initial recipient upon receipt of a response to an emailed task. This feature is designed to provide verification of a response, even if the initial recipient delegated response authority by forwarding the task to a colleague.

This existing feature will be extended to support the Front Office Approval process. Whenever a response is submitted for an Electronic Approval Package, the following individuals will receive a response receipt:

1. The Analyst assigned to the Workfolder in SWIFT
2. The Exec Sec SWIFT Power User that sent the Approval Package (if different than above)
3. All assigned recipients
4. Any recipients who have submitted a response



Figure 29: Email Task Response Receipt

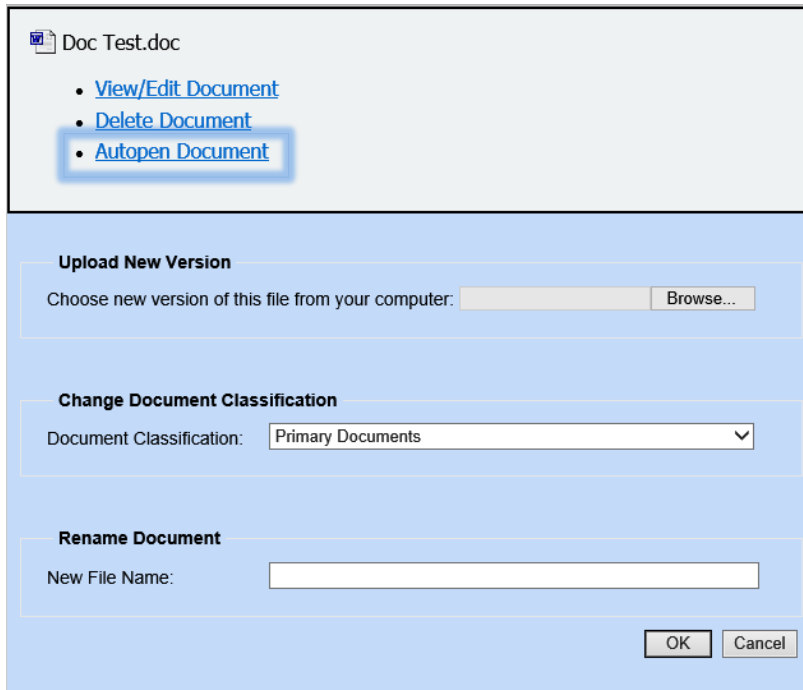
5.3.4 Electronic Signature

SSI will implement the Electronic Signature applet that will allow a user to electronically sign files from SWIFT. The applet will support two types of signatures:

1. “Digital signatures” may be applied with the applet allowing the user to position a signature image and apply a compliant digital signature to the file.
2. “Autopen signatures” may also be applied with the applet allowing the user to position a signature in the file, but no digital signature will be applied.

The digital signatures will be useful for executives who want to apply their own signature to a document and need a fully compliant digitally signed document to distribute. The autopen signatures are meant to be an alternative for the current autopen machine permitting authorized ACF personnel to apply the signature image of some member of ACF Leadership. ACF will determine where the autopen feature is appropriate to be used and which SWIFT users will have the ability to access the feature. The Appendix section 6.3 below documents the initial users to be configured for the Electronic Signature applet.

SWIFT Power Users who are configured to use the Electronic Signature applet, can open up either a Microsoft Word or a PDF file for signature by clicking on the “Autopen Document” link in the File Details dialog. If it is a Microsoft Word file, it will be converted to PDF for signature.



The screenshot displays a web-based document management interface. At the top, a document titled 'Doc Test.doc' is shown with a Microsoft Word icon. Below the title, there is a list of three actions: 'View/Edit Document', 'Delete Document', and 'Autopen Document'. The 'Autopen Document' link is highlighted with a blue rectangular border. Below this list, the interface is divided into three sections: 'Upload New Version' with a text input field and a 'Browse...' button; 'Change Document Classification' with a dropdown menu currently set to 'Primary Documents'; and 'Rename Document' with a text input field for the 'New File Name:'. At the bottom right of the interface are 'OK' and 'Cancel' buttons.

Figure 30: Autopen Document

The Power User can then select a signature to apply to the document and position and size the signature image as necessary on the page.

Sign your document in three easy steps [What's this?](#)

1. Select a PDF or Word file

The path to your file (we'll automatically convert Word files to PDF format):

2. Add virtual signature

Using this one:


Virtual signatures waiting to be saved to this PDF:

3. Save the PDF

☐ Secure the PDF with my PIV card

PMI_response_letter_Oct2016.docx

Department of Health and Human Services
Centers for Medicare & Medicaid Services
7500 Security Blvd.
Baltimore MD 21244



November 2, 2016

André Calantzopoulos, Chief Executive Officer
Philip Morris International
120 Park Ave
New York, NY, 10017

Dear Mr. Calantzopoulos,

I thank you for your recent correspondence regarding your ideas for revenue generation for the Centers for Medicare & Medicaid Services (CMS). As public servants, we are always appreciative of fresh ideas and initiatives that result in financial benefits to taxpayers. Your ideas, while perhaps somewhat unconventional, could possibly result in significant financial gains for CMS, which could in turn be applied to programs that help those in greatest need, both in matters financial and medical.

That said, one must remember the sacred trust that public servants must preserve with their constituents. Even the slightest suggestion of preferential treatment or a lack of objectivity in our affairs with the private sector must be avoided at all costs.

It is because of this sacred trust that we must decline your offer to procure the "naming rights" to the CMS complex in Baltimore. While CMS could do great things with \$25MM per year over a ten year span, we think it would send the wrong message to the public if the Centers for Medicare & Medicaid Services were to conduct its business from a facility called **Marlboro Station at Philip Morris Plaza**.

With kind regards,

Andy Slavitt
Acting Administrator
Centers for Medicare & Medicaid Services

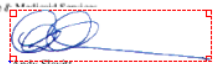


Figure 31: Electronic Signature – Applying a signature to a sample letter

If the Power User is applying his or her own signature, they may have the option to secure the PDF with a digital signature. The digital signature will use the certificate on the PIV card of the user logged into the machine and will fully comply with the FIPS 140-2 encryption standard. If there are multiple certificates available on the user's machine, the user will select which certificate to use when the applet is opened for the first time.

If the Power User is using the applet to electronically sign the document on behalf of another individual, they will only apply the signature image to the file as an electronic alternative to using the Autopen machine.

Upon electronically signing the file, the user may save the file and it will be uploaded to the SWIFT Workfolder as a PDF file.

Signature images will be configured in the system by the SWIFT Support Team when an executive requests access to the digital signature feature so that the proper quality and size of image is assured.

6 Appendix

6.1 Front Office Approval Process User List

The following individuals have been identified as members of the ACF Front Office Approval process and will appear in the “Choose Next Recipient” option list on the Email Task Portal page for Approval tasks. These individuals will also appear in the SWIFT Recipients List in the Exec Sec workspace:

Name	Email Address	Group	Email Attachments?
Kenneth Cottingham	kenneth.cottingham@acf.hhs.gov	Exec Sec	No
Linda Hitt	linda.hitt@acf.hhs.gov	Exec Sec	No
Anna Pilato	anna.pilato@acf.hhs.gov	DAS-EA	No
Sarah McNelis	sarah.mcnelis@acf.hhs.gov	DAS-EA	No
Steven Wagner	steven.wagner@acf.hhs.gov	IOAS	Yes
Mary Powers	mary.powers@acf.hhs.gov	IOAS	Yes
Warren Negri	warren.negri@acf.hhs.gov	IOAS	Yes
Cori Kellogg	cori.kellogg@acf.hhs.gov	IOAS	Yes
Meghan Dugan	meghan.dugan@acf.hhs.gov	IOAS	Yes

Table 5: Choose Next Recipient Option List Configuration

6.2 Special Contact Record Configuration

The following contact record will be configured to allow the Exec Sec Analyst to send the initial Approval Package to the Exec Sec Director and Deputy Director simultaneously. This Contact Record will appear as a SWIFT Recipient to which the Analyst can send the Approval Package.

Contact Record Name	Recipients
ES Director	kenneth.cottingham@acf.hhs.gov ; linda.hitt@acf.hhs.gov

Table 6: Special Contact Record Configuration

6.3 Electronic Signature Applet User Configuration

The Electronic Signature applet will be enabled for the following users. Users who are configured to perform digital signature will be able to apply both digital signatures and autopen signatures as described in Detailed Design Section 5.3.4 above.

User	Can autopen?	Digital signature enabled
Linda Hitt	Yes	No
Kenneth Cottingham	Yes	Yes

Table 7: Electronic Signature Applet User Configuration

6.4 Electronic Signatures Configured

For each electronic signature to be configured, a high-resolution image (600x600dpi minimum) of the signer’s signature in PNG format must be provided by ACF. Upon delivery of the signature images, SSI will configure each signature according to the below configuration table.

The following signatures will be configured for the ACF Exec Sec Office. Signatures enabled for Digital Signature may be securely applied with PIV credentials by users configured to apply digital signatures.

Signature Display Name	Allows Digital Signature?	Image Name	Available to the following users
Autopen for Steve Wagner	No	TBD	Linda Hitt; Kenneth Cottingham
Autopen for Anna Pilato	No	TBD	Linda Hitt; Kenneth Cottingham
Kenneth Cottingham	Yes	TBD	Kenneth Cottingham
Autopen for Kenneth Cottingham	No	TBD	Linda Hitt

Table 8: Electronic Signatures