

California Department of Social Services

Child Welfare Services-California  
Automated Response and Engagement  
System (CWS-CARES)

## Special Project Report 4



**Office of  
Systems  
Integration**  
"SERVING CALIFORNIA"

March 2021

Version 2.0

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**California Department of Social Services  
 Child Welfare Services-California Automated Response and Engagement System  
 Special Project Report 4**

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**California Department of Social Services  
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**1.0 Executive Project Approval Submittal**

<b>Information Technology Project Request</b>  <b>Special Project Report 4</b>  <b>Executive Approval Transmittal</b>				
<b>Agency/State Entity Name</b>				
California Health and Human Services Agency/California Department of Social Services				
<b>Project Title (maximum of 75 characters)</b>			<b>Project Acronym</b>	
Child Welfare Services-California Automated Response and Engagement System			CWS-CARES	
<b>FSR Project ID</b>	<b>FSR Approval Date</b>	<b>State Entity Priority</b>	<b>Agency Priority</b>	
0530-211	January 10, 2013	1	1	



I am submitting the attached Special Project Report (SPR) in support of our request for the California Department of Technology's approval to continue development and/or implementation of this project.

I certify that the SPR was prepared in accordance with the State Administrative Manual Sections 4945-4945.2, my Agency/state entity has considered the cost benefits analysis associated with the proposed project changes and the changes are consistent with our information management strategy as expressed in our current Agency Information Management Strategy (AIMS).

I have reviewed and agree with the information in the attached Special Project Report.

I also certify that the acquisition of the applicable information technology (IT) product(s) or service(s) required by my department that are subject to Government Code section 7405 applying Section 508 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following page).

**California Department of Social Services**  
**Child Welfare Services-California Automated Response and Engagement System**  
**Special Project Report 4**

<b>APPROVAL SIGNATURES</b>					
<b>CDSS Chief Information Officer</b>		<b>Date Signed</b>	<b>OSI Chief Technology Officer</b>		<b>Date Signed</b>
<b>Printed name:</b>	Sandra Carrasco-Ynostroza		<b>Printed name:</b>	David Patch	
<b>CDSS Budget Officer</b>		<b>Date Signed</b>	<b>OSI Budget Officer</b>		<b>Date Signed</b>
<b>Printed name:</b>	Kira Younger		<b>Printed name:</b>	Mike French	
<b>CDSS Program Director</b>		<b>Date Signed</b>	<b>OSI State Entity Deputy Director</b>		<b>Date Signed</b>
<b>Printed name:</b>	Cindy Halverstadt		<b>Printed name:</b>	Cynthia Tocher	
<b>CDSS Deputy Director</b>		<b>Date Signed</b>	<b>OSI Chief Deputy Director</b>		<b>Date Signed</b>
<b>Printed name:</b>	Angie Schwartz		<b>Printed name:</b>	Brian Wong	
<b>CDSS Chief Operating Officer</b>		<b>Date Signed</b>	<b>OSI Director</b>		<b>Date Signed</b>
<b>Printed name:</b>	Salena Chow		<b>Printed name:</b>	Dan Kalamaras	
<b>CDSS Chief Deputy Director</b>		<b>Date Signed</b>	<b>Agency Chief Information Officer</b>		<b>Date Signed</b>
			<small>DocuSigned by:</small>  <small>40CF50EBC93A43D...</small>		3/19/2021
<b>Printed name:</b>	Jennifer Troia		<b>Printed name:</b>	Adam Dondro	
<b>CDSS Department Director</b>		<b>Date Signed</b>	<b>Agency Secretary</b>		<b>Date Signed</b>
			<small>DocuSigned by:</small>  <small>40CF50EBC93A43D...</small>		3/19/2021
<b>Printed name:</b>	Kim Johnson	<b>Date Signed</b>	<b>Printed name:</b>	Mark Ghaly	



**California Department of Social Services  
Child Welfare Services-California Automated Response and Engagement System  
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## Executive Approval Transmittal

### IT Accessibility Certification

**Yes or No**

Yes	<b>The Proposed Project Meets Government Code Section 7405 / Section 508 Requirements and no exceptions apply.</b>
-----	--

#### Exceptions Not Requiring Alternative Means of Access

Yes or No	Accessibility Exception of Justification
No	The IT project meets the definition of a national security system.
No	The IT project will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (i.e., "Back Office Exception").
No	The IT acquisition is acquired by a contractor incidental to a contract.

#### Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception of Justification
No	Meeting the accessibility requirements would constitute an "undue burden" (i.e., a significant difficulty or expense considering all agency resources).
No	No commercial solution is available to meet the requirements for the IT project that provides for accessibility.
No	No solution is available to meet the requirements for the IT project that does not require a fundamental alteration in the nature of the product or its components.

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**

**2.1 SECTION A: EXECUTIVE SUMMARY**

**2.0 Information Technology: Project Summary Package**

**2.1 Executive Summary**

<b>1.</b>	<b>Submittal Date</b>	<b>January 11, 2021</b>
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		<b>SPR</b>	<b>PSP Only</b>	<b>Other:</b>
<b>2.</b>	<b>Type of Document</b>	<b>X</b>		
	<b>Project Number</b>	<b>0530-211</b>		

			<b>Estimated Project Dates</b>	
<b>3.</b>	<b>Project Title</b>	<b>Child Welfare Services-California Automated Response and Engagement System Project</b>	<b>Start</b>	<b>End</b>
	<b>Project Acronym</b>	<b>CWS-CARES</b>	<b>07/2013</b>	<b>04/2026</b>

<b>4.</b>	<b>Submitting Agency/state entity</b>	<b>California Department of Social Services</b>
<b>5.</b>	<b>Reporting Agency/state entity</b>	<b>California Health and Human Services Agency</b>

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

<b>6.</b>	<b>Project Objectives</b>
	<p>The CWS-CARES Project is focused on meeting technical and business objectives that will:</p> <ul style="list-style-type: none"> <li>• Improve service delivery and outcomes;</li> <li>• Allow more timely system enhancements to support changes in CWS practice;</li> <li>• Achieve Comprehensive Child Welfare Information System (CCWIS) requirements required to maintain Federal Financial Participation (FFP) funding and avoid federal non-compliance penalties; and</li> <li>• Reduce ongoing maintenance and operations costs.</li> </ul> <p><b>Technical Objectives:</b></p> <ul style="list-style-type: none"> <li>• Replace the proprietary Child Welfare Services/Case Management System (CWS/CMS) with a Platform as a Service (PaaS) solution that meets current business practice needs;</li> <li>• Develop application programming interfaces (APIs) utilizing a new state-managed infrastructure to facilitate data conversion from CWS/CMS, to provide a data exchange gateway and to house a database and analytics software to track and measure child welfare outcomes.</li> <li>• Use Agile iterative software development techniques to iteratively deliver modules over time which meets CWS and children’s residential licensing requirements;</li> <li>• Establish a CARES Data Infrastructure (CDI) to maximize state independence and control of vital assets and provide more complete, timely, accurate and consistent data.</li> </ul> <p><b>Business objectives:</b></p> <ul style="list-style-type: none"> <li>• CCWIS Compliance: To ensure retention of FFP at current or improved participation levels;</li> </ul>

8.	Major Milestones	Est Complete Date
	<b>Releases:</b>	
	Quarterly Updates to Roadmaps (FY 2019/20 Q3)	Completed 01/02/2020
	Continued Support of Existing CARES-Live Decision	Completed 02/20/2020
	Data Conversion Plan Drafted	Completed 03/30/2020
	Governance Plan Update Complete	Completed 07/30/2020
	Quarterly Updates to Roadmaps (FY 2019/20 Q4)	Completed 07/30/2020
	Identify Transition Approach Options	Completed 11/19/2020
	PaaS Systems Integrator Solicitation Release	Completed 11/20/2020
	Product Value Services (PVS) Solicitation Release	Completed 11/25/2020
	Independent Advisor Solicitation Release	Completed 12/1/2020
	CDI Solicitation Release	Completed 12/04/2020
	Execute CARES-Live Site Reliability Contract	Completed 12/09/2020
	Vendor Management Training for State Functional Managers	Completed 12/29/2020

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

<ul style="list-style-type: none"> <li>• Resource Utilization: Through elimination of redundant data entry, increased availability of information and documentation, and timely business practice execution;</li> <li>• System Access: Improved CWS worker, Service Provider and Service Organization access to system information through portal and mobility technologies;</li> <li>• Information Exchange Interfaces: Improved access, accuracy and completeness of data resident in external State/County and business partner repositories;</li> <li>• Business Collaboration: Improved communication/collaboration and information management between CWS workers, community organizations, service providers and multi-disciplinary teams; and</li> <li>• Outcome-Driven Planning, Management and Assessment: Improved case management outcome/process planning, management, and assessment/reporting.</li> </ul>	Identify Greenfield Module Candidates	Completed 12/31/2020
	Implementation Advance Planning Document (IAPD) Submission to ACYF	Completed 12/31/2020
	Quarterly Updates to Roadmaps (FY 2020/21)	Completed 12/31/2020
	Draft SPR 4 Submission	Completed 01/11/2021
	Update Governance Management Plan and Decision-Making Framework	Completed 01/21/2021
	PVS Contract Intent to Award	Completed 01/26/2021
	IAPD Approved with Conditions by ACYF	Completed 02/24/2021
	PVS Contract Execution	Completed 02/28/2021
	PaaS Systems Integrator Contract Intent to Award	Completed 02/24/2021
	Submit FY 2021-22 Spring Budget Change Proposal (BCP) to DOF	Completed 02/14/2021
	Update Product Management Plan	In Progress Mar 2021
	SPR 4 Formal Submission	Completed Mar 2021
	Vendor Management Metrics Training for Contract Analysts and State Functional Managers	Completed 3/12/2021
	Salesforce Licenses Subscription Solicitation Release	In Progress Mar 2021
	CDI Contract Award	Completed 3/10/2021

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

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WOA Process Training for State Functional Managers	Completed 3/12/2021
Independent Advisor Contract Award	In Progress Mar 2021
Establish high level criteria for moving developed product into Staging, Sandbox, and Production environments	Mar 2021
Quarterly Updates to Roadmaps (FY 2020/21 Q3)	Mar 2021
Salesforce Licenses Subscription Contract Award	Apr 2021
WOA and KPI Training for Vendors	Apr 2021
PaaS Systems Integrator Contract Execution	In Progress Apr 2021
CDI Contract Execution	In Progress Apr 2021
Update CWS-CARES Development Guiding Principles	April 2021
Implement Splunk for CARES-Live	In Progress Apr 2021
Independent Advisor Contract Execution	Apr 2021
Salesforce Licenses Subscription Contract Execution <sup>1</sup>	Apr 2021
Execute Implementation Services contract	May 2021

<sup>1</sup> Contract execution dates for PaaS (Salesforce) Licenses Subscription, PVS, PaaS Systems Integrator, CDI and Independent Advisor are contingent upon ACYF approval.

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

	Decision on Greenfield Module	May 2021
	Establish KPIs to ensure greenfield module/tool aligns with program goals, at the value-milestone and/or module level	May 2021
	Submit As-Needed APD to ACYF detailing requirements, schedule, and implementation details for Greenfield solution prior to the start of development work	Jun 2021
	CDI Setup and Testing	Jun 2021
	Development Pipeline Setup	Jun 2021
	Update Data Conversion Plan	Jun 2021
	Update Product Quality Assurance Guide	Jun 2021
	Determine approach to transition from CWS/CMS to CWS-CARES	Jun 2021
	Quarterly Updates to Roadmaps (FY 2020/21 Q4)	Jun 2021
	As-Needed APD Approved by ACYF	Jun 2021
	Update System Security Plan	Jul 2021
	Draft Master Plan for Implementation	Aug 2021
	Greenfield Development Progress Evaluation	Sep 2021
	Conduct "Current State" County Assessment Pilot	Oct 2021

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

	Complete "Current State" County Assessment Repository	Oct 2021
	Submit IAPDU to ACYF	Nov 2021
	Establish Data Conversion Workbench	Nov 2021
	Publish "Current State" County Assessment Schedule	Nov 2021
	Complete Greenfield Sandbox Readiness/Production	Dec 2021
	Completed Development of Greenfield Module	Dec 2021
	Decide Greenfield Sandbox Go/No Go	Dec 2021
	Execute new IV&V Services Contract	Dec 2021
	Submit Iterative Project Report (IPR) (formerly SPR) to CDT	Jan 2022
	Submit FY 2022-23 Spring BCP	Jan 2022
	CWS-CARES V1 Development Progress Evaluation	Feb 2022
	Complete Greenfield Implementation	Mar 2022
	Complete CWS-CARES Product Milestone 1: Screening (Hotline)	Apr 2022
	Submit IAPDU to ACYF	Apr 2022
	Complete CWS-CARES Product Milestone 2: Investigations	Jul 2022

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

	Complete CWS-CARES Product Milestone 3: Emergency Placement	Jul 2022
	Submit IPR to CDT	Jul 2022
	Submit FY 2023-24 Fall BCP	Jul 2022
	Draft CWS-CARES System Disaster Recovery Plan	Jul 2022
	Draft CWDS Business Continuity Plan	Jul 2022
	Complete CWS-CARES Product Milestone 4: Pathway to Court Ordered Family Maintenance	Oct 2022
	Complete CWS-CARES Product Milestone 5: Pathway to Community Based Connection or Voluntary Family Maintenance	Dec 2022
	Award Financial Management Services Contract	Dec 2022
	Complete CWS-CARES Product Milestone 6: Ongoing Case Management, Placements, and Exits to Permanency; Resource Family Engagement, Applications and Monitoring	Feb 2023
	Complete CWS-CARES Product Milestone 7: Case Closure and Aftercare, RFA Complaints	Mar 2023
	Complete CWS-CARES Product Milestone 8: Special Populations	Apr 2023
	Decide TI 1 – TI 19 Sandbox Go/No Go	Apr 2023
	Submit IAPDU to ACYF	Apr 2023
	Complete CWS-CARES Product Milestone 9: Data Services-Federal/State Extracts and Reports	May 2023



## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

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Complete CWS-CARES Product Milestone 10: Data Services-Ad-hoc Query and Reporting, Data Extracts for Counties	Jul 2023
Complete TI 1 – TI 19 Sandbox Readiness/Production	Jul 2023
Decide TI 20 – TI 25 Sandbox Go/No Go	Jul 2023
Submit IPR to CDT	Jul 2023
Submit FY 2024-25 Fall BCP	Jul 2023
Complete CARES Product Milestone 11: Extended Analytics; State Licensing Applications and Monitoring	Aug 2023
Complete TI 20 – TI 25 Sandbox Readiness/Production/Begin CWS-CARES Version 1 Implementation	Aug 2023
Complete CWS-CARES Product Milestone 12: Extended Resource Management; State Licensing Legal Action, Appeals/Grievances and Complaints	Dec 2023
Complete CWS-CARES Product Milestone 14: State Licensing	Feb 2024
Submit IAPDU to ACYF	Apr 2024
Complete CWS-CARES Product Milestone 13: Extended Financial Management	May 2024
Complete CWS-CARES Version 1 Implementation	May 2024
Complete CWS-CARES Product Milestone 15: CWS-CARES Administrator Workbench	Jul 2024
Decide TI 26 – TI 50 Sandbox Go/No Go	Jul 2024

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.1 SECTION A: EXECUTIVE SUMMARY

		Submit IPR to CDT	Jul 2024
		Submit FY 2025-26 Fall BCP	Jul 2024
		Complete TI 26 – TI 50 Sandbox Readiness/Production/Begin CWS-CARES Version 2 Implementation	Oct 2024
		Submit IAPDU to ACYF	April 2025
		Complete CWS-CARES Version 2 Implementation	Jul 2025
		Submit IPR to CDT	Jul 2025
		Submit FY 2026-27 Fall BCP	Jul 2025
		Complete Stabilization and CCWIS Compliance	Apr 2026
		Submit Post Implementation Evaluation Report to CDT	Apr 2026
		Implementation of FCED and shared interface between CWS-CARES and CalSAWS	Dec 2026
<b>7.</b>	<b>Proposed Solution</b>		
	<p>The Child Welfare Services-California Automated Response and Engagement System (CWS-CARES) Project will implement a modern web-based computing infrastructure that is flexible, scalable, and based on industry enterprise architecture framework concepts. The CWS-CARES will consolidate functionalities that are in various systems into a single system and include multiple interfaces with other applications thus providing CWS workers with critical case information more efficiently. The CWS-CARES will use a customer relationship management (CRM) based Salesforce solution and will be designed and developed using Agile techniques adopted by the Project. CWS-CARES functionality will be released to Production upon readiness of users to adopt based on general agreement.</p>		

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.2 SECTION B: PROJECT CONTACTS

Executive Contacts					
	First Name	Last Name	Area Code	Phone	E-mail
<b>Agency Secretary</b>	Mark	Ghaly	916	654-3454	<a href="mailto:Mark.Ghaly@chss.ca.gov">Mark.Ghaly@chss.ca.gov</a>
<b>State Entity Director</b>	Kim	Johnson	916	657-2598	<a href="mailto:Kim.Johnson@dss.ca.gov">Kim.Johnson@dss.ca.gov</a>
<b>Budget Officer</b>	Kira	Younger	916	657-3397	<a href="mailto:Kira.Younger@dss.ca.gov">Kira.Younger@dss.ca.gov</a>
<b>CIO</b>	Sandra	Carrasco-Ynostroza	916	651-2929	<a href="mailto:Sandy.Ynostroza@dss.ca.gov">Sandy.Ynostroza@dss.ca.gov</a>
<b>Project Sponsor</b>	Angie	Schwartz	916	657-2614	<a href="mailto:Angie.Schwartz@dss.ca.gov">Angie.Schwartz@dss.ca.gov</a>

DIRECT CONTACTS					
	First Name	Last Name	Area Code	Phone	E-mail
<b>Doc. Prepared by</b>	Hamed	Mahmoud	916	891-3176	<a href="mailto:Hamed.Mahmoud@osi.ca.gov">Hamed.Mahmoud@osi.ca.gov</a>
<b>Primary Contact</b>	Marta	Laszcz	916	804-3291	<a href="mailto:Marta.Laszcz@osi.ca.gov">Marta.Laszcz@osi.ca.gov</a>
<b>Project Management and</b>	Kelly	Hassenplug	916	407-9171	<a href="mailto:Kelly.Hassenplug@osi.ca.gov">Kelly.Hassenplug@osi.ca.gov</a>

**INFORMATION TECHNOLOGY PROJECT SUMMARY**

**2.3 SECTION C: PROJECT RELEVANCE TO STATE AND/OR DEPARTMENT/AGENCY PLANS**

1.	What is the date of your current Technology Recovery Plan (TRP)?	Date	7/2018
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	12/2017
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	AIMS
		Page	45

Project	0530-211
Doc. Type	SPR 4

		Yes	No
4.	Is the project reportable to control agencies?	X	
If YES, CHECK all that apply:			
X	a) The project involves a budget action.		
	b) A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.		
X	c) The estimated total development and acquisition costs exceed the Department of Technology's established Agency/state entity delegated cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM 4989-4989.3)		
	d) The project meets a condition previously imposed by the Technology Agency.		

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.4 SECTION D: BUDGET INFORMATION

<b>Project</b>	0530-211
<b>Doc. Type</b>	SPR 4

<b>Budget Augmentation</b>			
	<b>No</b>		
	<b>Yes</b>	<b>X</b>	<b>FY 2021/22</b>

						<b>FY 2019/20</b>	<b>FY 2020/21</b>	<b>FY 2021/22</b>	
						32,453,885	54,418,000	128,521,144	

**PROJECT COSTS**

Fiscal Year	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22	TOTAL
One-Time Cost	5,711,858	10,194,001	9,497,000	29,049,441	48,551,348	57,163,201	32,453,885	54,418,000	128,521,144	375,559,878
Continuing	0	0	0	0	0	0	0	0	0	0
<b>TOTAL</b>	5,711,858	10,194,001	9,497,000	29,049,441	48,551,348	57,163,201	32,453,885	54,418,000	128,521,144	375,559,878

**PROJECT FINANCIAL BENEFITS**

	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22	TOTAL*
Cost Savings/	(5,711,859)	(10,194,001)	(9,497,000)	(29,049,441)	(48,551,348)	(57,163,201)	(32,453,885)	(54,418,000)	(128,521,144)	(375,559,878)
Revenue	0	0	0	0	0	0	0	0	0	0

\*Figures obtained from the *Net (cost) or Benefit* line in the EAW SUM worksheet

## INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

### 2.5 SECTION E: VENDOR PROJECT BUDGET

<b>Vendor Cost for FSR Development (if applicable)</b>	N/A
<b>Vendor Name</b>	N/A

<b>Project</b>	0530-211
<b>Doc. Type</b>	SPR 4

**VENDOR PROJECT BUDGET**

Fiscal Year	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22	TOTAL
<b>Prime Vendor Budget</b>	-	-	-	5,625,472	22,701,387	16,879,157	0	6,682,044	31,244,540	83,132,600
<b>Project Management Budget</b>	21,649	443,375	711,940	777,395	1,071,827	1,288,601	662,062	901,320	1,440,000	7,318,169
<b>Independent Oversight Budget</b>	153,600	112,560	141,214	225,120	225,120	312,212	556,328	564,800	564,480	2,855,434
<b>IV&amp;V Budget</b>	208,253	306,185	302,072	350,357	104,105	494,785	691,346	945,215	1,152,000	4,554,318
<b>Other Budget</b>	1,477,046	3,711,863	1,134,768	6,296,661	8,417,566	16,541,945	9,517,733	13,253,056	47,269,007	107,619,645
<b>TOTAL VENDOR BUDGET</b>	<b>1,860,548</b>	<b>4,573,983</b>	<b>2,289,994</b>	<b>13,275,005</b>	<b>32,520,005</b>	<b>35,516,700</b>	<b>11,427,469</b>	<b>22,346,435</b>	<b>81,670,027</b>	<b>205,480,166,</b>

**PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT**

<b>Primary Vendor</b>	N/A
<b>Contract Start Date</b>	N/A
<b>Contract End Date (projected)</b>	N/A
<b>Amount</b>	N/A

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**

**2.6 SECTION F: RISK ASSESSMENT INFORMATION**

<b>Project</b>	0530-211
<b>Doc. Type</b>	SPR 4

	Yes	No
<b>Has a Risk Management Plan been developed for this project?</b>	X	

<b>General Comment(s)</b>
<p>The CWS-CARES Project Risks and Issues Management Plan has been updated and is attached. All Plan changes will utilize the documented change management process described in Section 7.7 Change Management.</p> <p>CWS-CARES Risk Assessment/Management is utilizing the California Project Management Framework (CA-PMF) guidelines and OSI Best Practices via Jira and includes five processes: Identify, Analyze, Response Plan Execution, Monitoring and Controlling. These processes are defined in the Risk and Issue Management Plan.</p>

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### 3.0 Project Background/ Summary

The Child Welfare Services (CWS) program is the primary prevention and intervention resource for child abuse and neglect in California. California provides a continuum of programs and services aimed at safeguarding the well-being of children and families in ways that strengthen and preserve families, encourage personal responsibility, and foster independence. The overall objective of the CWS program is that every child in California lives in a safe, stable, permanent home, nurtured by healthy families and strong communities. The mission work of the CWS does not occur in an office at a desk, but rather in the community, homes, schools, hospitals, foster homes, and community centers.

To effectively protect California's at-risk children and preserve families, the State of California (State) requires a multi-agency, collaborative service approach supported by a comprehensive case management system. The current case management system, the Child Welfare Services/Case Management System (CWS/CMS), is a legislatively mandated statewide application implemented in 1997 based on the CWS business needs and practices at that time. Today, the CWS/CMS does not fully support child welfare practice and is no longer an economical, efficient, or effective automated tool to support the delivery of effective child welfare services. In addition, CWS/CMS does not have all the functionalities that would collect the comprehensive data required by the Administration for Children, Youth and Families (ACYF), Comprehensive Child Welfare Information System (CCWIS) (formally Statewide Automated Child Welfare Information System [SACWIS]) CCWIS functional requirements required by federal regulations, which may jeopardize the State's ability to retain enhanced Federal Financial Participation (FFP).

In 2003, California initiated the Child Welfare Services/Web (CWS/Web) Project to plan and implement a replacement system for the current CWS/CMS. The goal was to implement modern technologies and new functionality to effectively meet the CWS business needs and CCWIS requirements. In 2011, the CWS/Web Project was indefinitely suspended due to the economic downturn in the State. However, the 2011 State Budget Act (Assembly Bill [AB] 106, Chapter 32, Statutes of 2011) included Trailer Bill language which requested a report to the Legislature from the California Department of Social Services (CDSS) in partnership with the Office of Systems Integration (OSI), legislative staff, the County Welfare Directors Association (CWDA), and county stakeholders. The CDSS submitted this report, entitled *The Report to the Legislature: Child Welfare Services Automation Study* (hereinafter referred to as the Automation Study), to the Legislature in April 2012.

The Automation Study contained an assessment of the CWS business needs, an assessment of the existing system, an analysis of viable automated system options to meet the critical business needs, communication from the federal government regarding SACWIS redesign requirements, and a recommendation on next steps including a timeline and implementation approach.

The Automation Study concluded that a buy/build approach was the best technical alternative to meet the CWS business needs and the SACWIS requirements at the lowest cost and quickest delivery time. This approach involved buying an application that is already developed, tested, and operational (e.g., commercial off-the-shelf [COTS])

software or a transfer system from another state) and building custom software services (i.e., customized application code) to meet the CWS business functional needs and the CCWIS requirements not already provided by the COTS or transfer solution.

As a result of the Automation Study, the 2012 Budget Act and Trailer Bill (SB1041, Chapter 47, Statutes of 2012, Section 52 [a]), directed the CDSS and the OSI to work with the CWDA and county stakeholders to continue utilizing the \$2.4 million base funding and position authority to complete a Feasibility Study Report (FSR) and a federal Advance Planning Document (APD), and conduct other planning activities.

In October 2012, an FSR was submitted to the California Department of Technology (CDT) for approval. Consistent with the Automation Study, the FSR recommended a buy/build approach. The CDT approved the FSR in January 2013 for an official CWS-New System (CWS-NS) Project (hereafter referred to as the "Project") launch of July 1, 2013. The Project then submitted the Planning APD in November 2012, which was approved by the ACYF in February 2013. Consistent with the approved FSR, the 2013 Budget Act appropriated additional funding, for a total of \$10.3 million, and authorized an additional 17 positions (resulting in a total of 18 for OSI and 13 for CDSS) to begin the planning and procurement phase.

In January 2014, the Special Project Report (SPR) 1 was developed, which updated project costs, resources, schedule, expanded the licensing functionality to include children's residential, and updated the implementation approach from a two phase to single phase. The CDT approved the SPR 1 in April 2014, and the Department of Finance (DOF) approved the complementary Spring Finance Letter (SFL) that requested the associated funding and staff for Fiscal Year (FY) 2014-15. The 2014 Budget Act appropriated additional funding, for a total of \$12.8 million, and authorized an additional nine State staff (total of 20 for OSI and 20 for CDSS) to continue with the planning and procurement phase.

In November 2015, the Project modified its procurement, design, development, and implementation (DD&I) approach after discussions with State and federal control agencies, the California Health and Human Services Agency (CHHSA), the California Government Operations (GovOps) Agency, the CDT, the ACYF, the Federal General Services Administration's (GSA) 18F team, and Code for America. Rather than releasing a monolithic multi-year Request for Proposal (RFP) estimated to cost several hundred million dollars and take five to seven years to implement, it was decided to instead use a modular procurement approach coupled with Agile design and development techniques to deliver the Project incrementally over time. This approach consisted of iteratively implementing business functionality in the form of "digital services" as they are developed. The scope of the Project remained as previously approved in the FSR and SPR 1.

In March 2016, the Project developed and submitted SPR 2, which updated the procurement approach, design and delivery approach (Agile), and a change in the implementation responsibilities. Also included was the change from a maintenance and operations (M&O) team to a development and operations team, adding additional project staff and updating existing project resources. The SPR 2 focused on the adoption of the Agile methodologies in the development of CWS-NS, which was new for the State and recognized that this would be a demonstration project. The Project also

requested changes to its procurement approach to a more modular or agile approach which consisted of sub-dividing the single System Integrator RFP into several different procurements. The procurements, whether they are RFPs or another type of procurement vehicle, will only define high-level requirements and then work with the vendors to continuously refine business functionality through an iterative process that includes user-centered design, development, and testing.

The digital services approach was a new opportunity for the Project to procure and implement the CWS-NS in a manner which delivered business value early and often which was expressed as a top priority for the CHHSA, the CDSS, and county end users. This new approach received support from many State and federal government stakeholders. To execute this revised approach, the Project partnered with 18F which had successful experience at the federal level iteratively delivering digital services using Agile principles. With the continued support from executive management within the CDSS, the OSI, and State and federal control agencies, the Project strongly believed this practice could be replicated in the State environment with the same level of success.

In September 2017, an Annual APD was submitted to ACYF. The Annual APD was approved with the following conditions:

1. Develop and begin to implement a plan to reduce the vacancy rate/increase hiring timeliness.
2. Successfully implement Intake Snapshot functionality statewide.
3. Incorporate and standardize measure of user value into Minimum Viable Product (MVP) definition.
4. Implement standardized project management tool to support Agile project work across teams.
5. Improve organizational change capacity.
6. Establish an effective and efficient software delivery process.
7. Provide budget baseline estimates.
8. Finalize plans to implement one statewide eligibility solution.
9. Provide an automated function checklist, provide a data quality plan, define the state's single data exchange standard, and develop plans for child welfare contributing agencies (CWCA) to comply with CCWIS requirements.
10. Implement methods to assess effectiveness of communication strategies.
11. Improve project oversight coordination and communication.

In December 2017, working with the CWDA, the Project formerly referred to as CWS-New System was renamed the Child Welfare Services-California Automated Response and Engagement System (CWS-CARES). The process to name the new system was a collaborative effort with child welfare directors and staff. The new name was intended to convey what the new system will deliver to users across the State.

On May 15, 2018, the Project responded to ACYF addressing the first five of the eleven conditions mentioned above and requested federal approval. Subsequently, the Project submitted an As-Needed APD to ACYF on October 5, 2018. This As-Needed APD requested approval of activities and corresponding budget for the period of October 1, 2018 through April 30, 2019, as the Project reevaluated its digital service

delivery method. In this As-Needed APD, a choice was made, with the approval of ACYF, to focus on delivering one feature set at a time: Child and Adolescent Needs and Strengths (CANS) Assessment tool. The decision to focus on one product feature set at a time also enabled the Project to assign dedicated resources, with essential skill sets, to critical foundational technical tasks and research of an acceleration strategy. The acceleration strategy looked at three primary work streams: Product Blueprinting and Domain Modeling to significantly enhance clarity of the “to be” business requirements; Legacy Integration/Synchronization research to evaluate the extent and limits of CARES integration capabilities with CWS/CMS; and evaluation of Platform as a Service (PaaS) proof of concepts (POCs) and PaaS market research as a possible alternative to custom development.

On April 1, 2019, the Project submitted a request for a two-month funding extension to ACYF. The extension also addressed the outstanding conditions and provided current project status. Below are the ten conditions that were addressed:

1. Develop a Contract Management Plan.
2. Develop a detailed Project Test Plan and test process.
3. Report monthly on bugs/defects.
4. Describe methods, resource needs and success rate of application/production support.
5. Remove legacy system costs in the CWS-CARES budget.
6. Provide a detailed Implementation Plan.
7. Provide a detail plan describing the legacy system integration/synchronization strategy.
8. Describe the methods and process for decreasing the vacancy rate for the Project.
9. Assess, manage and mitigate all “high risks” identified in the Independent Verification and Validation (IV&V) and the CDT oversight reports.
10. Respond to outstanding conditions from the 2017 Annual APDU:
  - Establish an effective and efficient software delivery process
  - Provide budget baseline estimates
  - Finalize plans to implement one statewide eligibility solution
  - Provide an automated function checklist, provide a data quality plan, define the state’s single data exchange standard, and develop plans for CWCAs to comply with CCWIS requirements
  - Implement methods to assess effectiveness of communication strategies
  - Improve project oversight coordination and communication

On April 29, 2019, the Project received approval from ACYF for federal funding through June 30, 2019. ACYF also advised that the Project submit a Planning APD that reflects the PaaS project planning activities and deliverables.

The Planning APD was submitted to ACYF on June 27, 2019, requesting approval for planning funding from July 1, 2019 through June 30, 2020. This request was approved on August 20, 2019 with the following conditions:

1. The state must update the CCWIS Automated Function Checklist in the forthcoming Implementation APD.

2. The state must commit to one statewide IV-E eligibility solution in the forthcoming Implementation APD and coordinate the approach and work with the applicable Statewide Automated Welfare System (SAWS) APD if the state chooses to build the functionality in an external system.
3. The forthcoming Implementation APD project budget should show all costs associated with the CARES Data Infrastructure (CDI) and include all actual expenditures for the Project to date.
4. The State may not move costs from the legacy system M&O budget to the CWS-CARES budget and vice versa. All staffing positions and vendor costs should be budgeted and claimed according to applicable APD budgets.
5. All outstanding conditions in Attachment A remain in effect. The State must address all conditions in the forthcoming Implementation APD.
6. The State reviews the Project cost allocation, as well as the Public Assistance Cost Allocation Plan, and modifies it as needed to ensure project costs are claimed in accordance with the approved APD.

These conditions were addressed in the Implementation APD that was formally submitted to ACYF on December 31, 2020.

In August 2019, as the Project began planning for transition to a CRM-based PaaS solution, a formal decision was made to refer to the CARES tools in Production (Snapshot, Facility Search and CANS) as CARES-Live. The title of CARES-Live allows the Project to provide clear and concise communication with core constituents and other stakeholders to reduce confusion about products in Production versus future development.

Following the approval of SPR 3 on February 28, 2020, the Project continued to refine the schedule and milestones to conclude the planning phase and begin DD&I activities in July 2020. The overall project timeline and budget was prepared for submission with the IAPD in May 2020; however, there were concerns regarding timing of delivery and overall project cost. This caused the Project to reassess the project approach, timeline and cost, which resulted in the need for the Project to submit an As-Needed APD requesting an extension of the planning period through December 31, 2020. This extension was approved, and on September 8, 2020, ACYF issued a letter requesting responses to the key following conditions and technical assistance for the State's consideration:

- Address identified concerns and modify the IAPD to commit to a shared project approach, schedule and budget approved by the governance entities
- Clarify actual budget variance
- Clarify the System Integrator role
- Provide project position detail
- Provide an update on Non-CCWIS CWS-CARES activities
- Strengthen the Project sponsorship and governance
- Memorialize County "buy in" to incentive share system ownership
- Consider methods to deploy CARES functionality to a Production "live" environment more frequently than two deployments
- Reduce project complexity, number of contracts and costs

To address the concerns expressed regarding timing of delivery and overall project cost, the Project assessed several alternatives that were presented to the Child Welfare Digital Services (CWDS) Board of Directors (BOD). Of four options that were presented in July 2020, the BOD approved the timeline with the Project duration from July 2020 – June 2025 that delivered functionality to the counties in one implementation versus incremental delivery. As a result of this BOD decision, a task force was formed by the CHHSA to refine a defensible methodology for developing the CARES solution that would obtain stakeholder support and address concerns from the CDT and the DOF.

On October 15, 2020 an agreement was reached between all governance entities (CDT, DOF, CHHSA, including CDSS, CWDA, and OSI) regarding the Project's approach to build and implement the new CARES solution. As a result, the Project re-released the CARES solicitations in November and December. CARES DD&I is anticipated to begin in April 2021, after the vendors are onboarded.

The revised IAPD was submitted to ACYF on December 31, 2020, which reflects the State's agreed upon approach. The Project will incrementally deploy to Production beginning with a greenfield module (no legacy integration), followed by CARES functionally that will replace CWS/CMS in CARES Version 1 (V1), and extended functionality in CARES Version 2 (V2). This SPR aligns with the IAPD and requests approval of continued project activities through Fiscal Year (FY) 2021/22. CWS-CARES will adhere to the CDT condition to submit an Iterative Project Report (IPR) each year thereafter to provide prior year actuals as well as estimated project costs for each subsequent FY. The following is a schedule for annual IPRs that will be submitted to CDT.

#### **Schedule of Annual IPRs**

IPR 1: July 2021 – For FY 2022/23

IPR 2: July 2022 – For FY 2023/24

IPR 3: July 2023 – For FY 2024/25

IPR 4: July 2024 – For FY 2025/26

#### **4.0 Benefits Achieved to Date**

Since the submission of SPR 3, all governance entities, CWDA, CDT, DOF, CDSS and OSI, successfully collaborated to address key concerns and solidify the commitment to a shared project approach, schedule, and budget. In October 2020, a CWS-CARES Path Forward agreement<sup>2</sup>, Attachment 1, was memorialized, and the CWS-CARES procurements were strategically realigned accordingly. Highlights of the CWS-CARES Path Forward agreement consist of the following:

- Reset and acceleration of the primary procurements
  - Modify procurements to expand competition and encourage cost and schedule efficiency
  - Add an additional independent advisory role
  - Shift the lead role in negotiations with Salesforce to CDT with the goal of a

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<sup>2</sup> To supplement the aforementioned agreement, a timeline of planned activities, the CWDS Path Forward Roadmap, has been attached to this SPR (Attachment 2)

- statewide contract
  - Transfer responsibility for data conversion work to the PaaS Systems Integrator (PaaS SI) vendor
- Demonstrate development capability through the release of a greenfield module within six months of onboarding the four primary vendors
- Evaluate opportunities for Production release of valuable functionality on an ongoing basis
- Demonstrate progress and success in meeting commitments prior to approval of funding in future budget years.
- Develop key performance indicators to ensure that products delivered align with program goals
- Strengthen the Governance Model to increase decision making rigor, clearly define roles and decision authority, and document governance activities and outcomes

## 5.0 Project Status

Since the approval of the SPR 3 on February 28, 2020, the Project has focused on planning activities to deliver the CWS-CARES operational applications on the Salesforce platform, using an iterative development methodology and user-centered design. Such efforts included careful thought and planning around data services on the CDI as well. Together, operational applications delivered on the Salesforce platform and data services delivered on the CDI make up California's CCWIS. This SPR outlines the status of such planning activities as the Project transitions to DD&I; including release of procurements, updating the project management plans and initial product strategy focus in alignment with the CWS-CARES Path Forward agreement

In addition, the Project continues to support existing functionality of CARES-Live; however, in May 2019, the decision was made to pause all new development. Essentially, no new functionality or features will be introduced to CARES-Live. The Project, however, remains committed to maintaining the integrity of the existing CARES-Live system, with an emphasis on increasing system efficiency for all users. This commitment follows the CWDS BOD decision made on February 20, 2020 to continue support for CARES-Live in production, which addressed SPR 3 Major milestone ('Continued Support of Existing CARES-Live Decision', referenced in Table 2 - SPR 3 Major Milestone Status, below).

### 5.1 CARES Product Strategy

The CWS-CARES Project is employing a product strategy which will develop a CCWIS compliant solution comprising the Salesforce Platform for operational applications and the CDI to manage data quality, enforce business rules, manage content, control data exchange with third parties, monitor program trends and evaluate program outcomes. In addition, if at any time the business need arises for special-purpose products or custom-developed applications to be integrated within the overall architecture, the Project will assess and submit any necessary requests for a COTS Waiver to ACYF for approval in accordance with 45 Code of Federal Regulations (CFR) §95.627 and 45 CFR §95.611.

The Project has developed the CWS-CARES Product Blueprint, which defines the top-level CWS-CARES scope. The blueprint documents program and practice requirements

in the form of process areas (e.g., Screening), which contains multiple Building Blocks (e.g., Gather Person and Allegation Information). Each Building Block depicts business workflow (activities and decision points), policy references, first pass user pain points, interfaces, and notes supporting Shared Services.

During top-level blueprinting, Service Managers collaborate with county and program staff to develop a Value Hypothesis, a “logic model,” for each Process Area. Each Value Hypothesis:

- Connects the dots between process efficiencies, practice behaviors, program interventions, and child and family outcomes.
- Identifies specific product features (e.g., a service matching tool, mobile contact note capture) that introduce efficiencies, reinforces good practice and supports program goals.
- Defines specific metrics the State can use to not only measure practice fidelity and outcomes, but also gauge the CWS-CARES’ contribution to improved results. In other words, the Value Hypothesis is key to establishing meaningful and measurable product Key Performance Indicators (KPI).

During the Discovery Phase, the Product Delivery Team(s) conduct targeted research to analyze user pain points and identify all relevant regulations, legal code, county letter guidance and policy for each of the Building Blocks. Also, Researchers and Service Designers collaborate with Service Managers to create detailed Service Blueprints. Service Blueprints provide an in-depth view of to-be processes and improvement opportunities, accounting for all types of users and all pathways children and families take through the system. Service Blueprints, along with detailed Domain Models, inform wireframing and rapid prototyping on Salesforce. Together, these artifacts represent the Project’s product strategy regarding what to build and why it will make a difference.

The CWS-CARES Product Blueprint directly informs the CWS-CARES Product Roadmap, Attachment 3, which shows the order in which the Project will deliver combinations of Building Blocks, along with Shared Services and converted data. Both the Blueprint and the Roadmap will guide the Project in determining product requirements and setting clear priorities, including those associated with candidate greenfield modules.

Product Building Blocks, which correspond to the CCWIS Automated Functions, are conceived and designed to meet the CCWIS modularity requirements. Each Building Block contains a distinct set of functions (activities and decision points) which are inherently complete in scope and capabilities. Each Building Block begins and ends with one or more defined “events” that may trigger the transition to other Building Blocks. For example, the completion of the Conduct Screening Assessment Building Block may trigger use of the Make Community-based Connection (Voluntary Services) Building Block. Building Blocks are not tightly coupled together by rigid, linear workflows; they enable workers to shift between activities associatively, in response to fluid family situations. Building Blocks may invoke modular Shared Services, which can be leveraged in the construction of all building blocks as needed. Examples of Shared Services are Person Search, Address Validation, Master Index Management and Document Template Management. Changes to Building Blocks or Shared Services can be made without affecting the functions of other system modules. As part of the CWS-CARES Service Delivery Lifecycle (SDLC), the Product Building Blocks, Shared



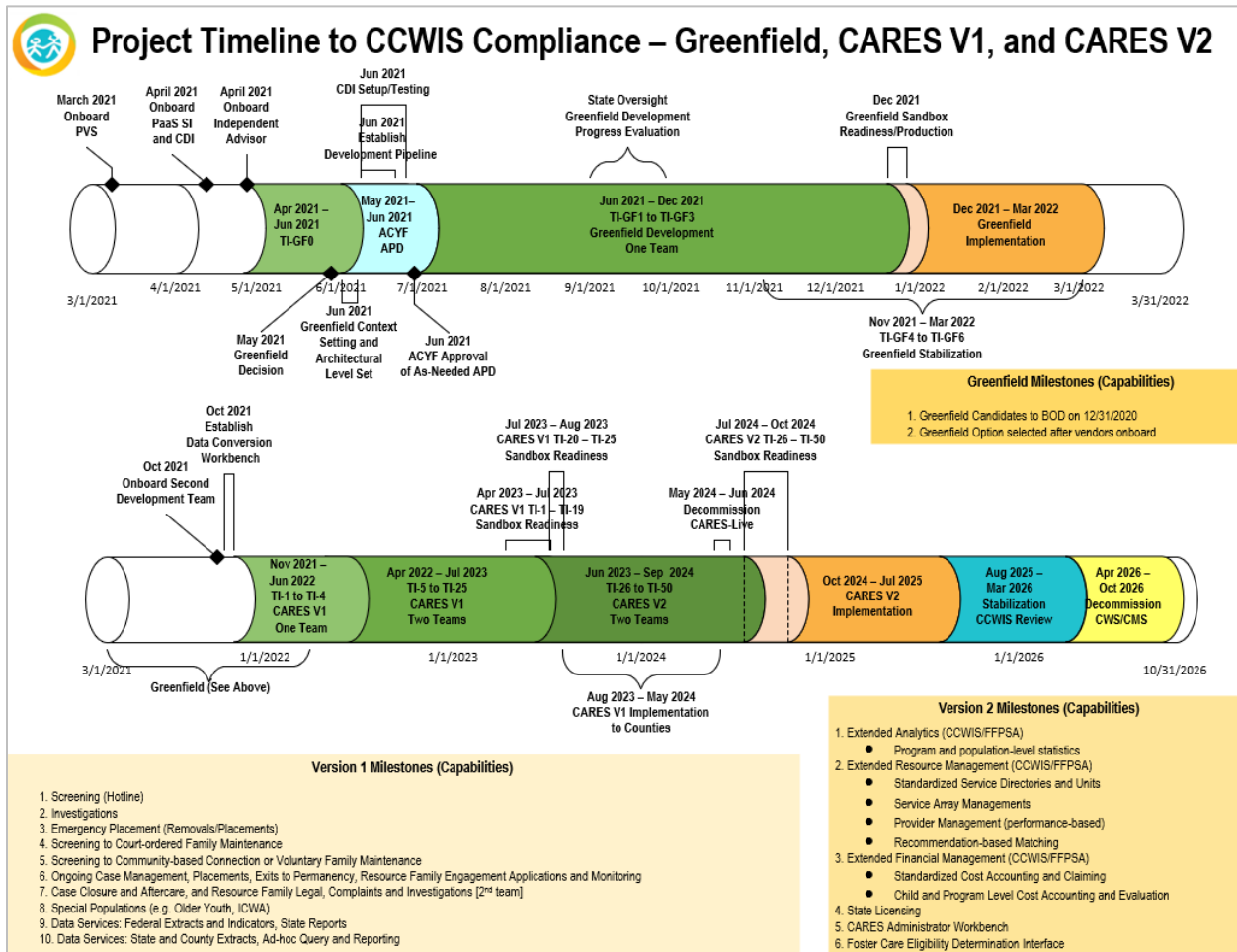
Services, the CWS-CARES Product Blueprint and the CWS-CARES Product Roadmap will be assessed and updated regularly. The identified work will then be mapped as stories, epics, etc. in Jira for feature development once the PaaS SI vendor begins works.

The CWS-CARES Product Roadmap includes 200+ Product Building Blocks covering Screening, Investigations, Community-based Connection, Case Management (including Adoption and Aftercare), Courts, Eligibility, Resource Family Applications, Licensing, Resource Management and Financial Management. The CWS-CARES Product Roadmap combines and sequences those Building Blocks, along with supporting Shared Services, into 50 Testable Increments (TIs), grouped into milestones with distinct value themes. With each TI, users provide feedback on both product features and converted data in the Staging environment. Each TI will start with timeboxed Discovery and Prototyping, so that the iterative exploration of opportunities and prioritization of scope reflects insights from delivered software. All delivered milestones/modules must include the data engineering and product analytics work required to produce reliable metrics to gauge process efficiencies, practice fidelity and program outcomes in accordance with the Value Hypothesis.

The Project has learned, through numerous POCs, that continuous deployment to Production is not feasible with emergent processes, such as Screening and Investigations, that entail near-real-time synchronization (of safety-critical child and family information) with legacy systems. Accordingly, the Project will look for opportunities, as Product Delivery Teams progress through the Roadmap, to deploy useful greenfield (no legacy integration) feature sets to Production. The Project intends to start by deploying such a greenfield tool within the first six months of onboarding the four primary vendors. The greenfield options are currently being evaluated and a selection will be made after consultation with vendors. The Project will deploy to Production incrementally beginning with a greenfield module (no legacy integration), followed by CARES functionally that will replace CWS/CMS in CARES V1, and extended functionality in CARES V2. Throughout the development phase, the Project will identify opportunities to iteratively deploy non-core or non-high-risk functionality into Production outside the three scheduled deployments to Production.

The CWS-CARES Product Roadmap has been split into two versions. The CWS-CARES V1 marker will deliver “backbone” administrative processes (Screening through Aftercare) to Production and allow for CWS/CMS decommissioning. The CWS-CARES V2 extends V1 with data-intensive features supporting the CCWIS and Families First Prevention Services Act (FFPSA) compliance. The CWS-CARES Product Roadmap also shows a non-core or non-high-risk functionality “track,” as a placeholder for opportunities to deploy to Production along the way. Below is the current CWS-CARES Project Timeline that includes a greenfield option, CARES V1, and CARES V2.

**Figure 1- CWS-CARES Project Timeline**



To ensure that the CWS-CARES products delivered align with program goals, the Project will develop KPIs. In addition, the Project will need to demonstrate progress and success in meeting commitments prior to approval of state funding in future budget years. Beginning with FY 2021/22, the DOF is anticipated to include provisional language in future CWS-CARES funding approvals that requires demonstration of value delivered as indicated by KPIs.

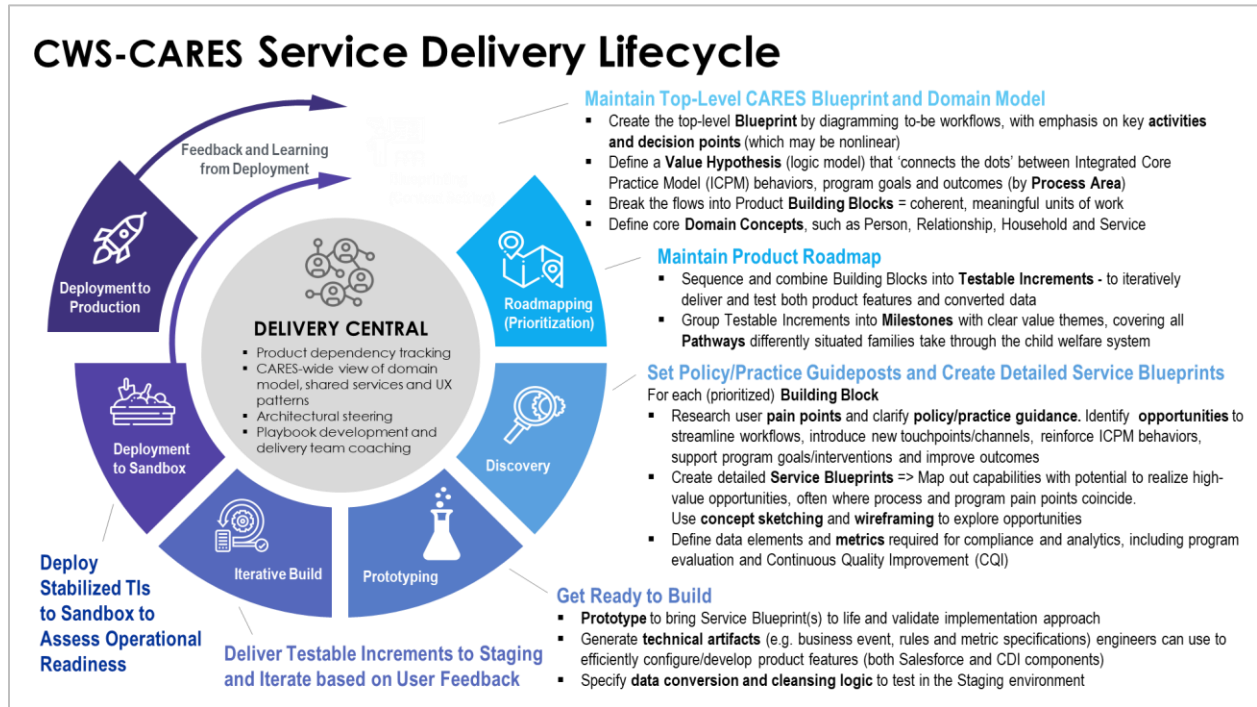
**5.1.1 Design and Development Strategy**

The CWS-CARES will continue to follow a user-centered and iterative methodology for product development, in conjunction with the project management methodology outlined in the CDT’s California Project Management Framework (CA-PMF), Project Management Body of Knowledge (PMBOK) and best practices.

The iterative approach will focus on user-centered design, with incremental development informed by user feedback in the Staging and Sandbox environments. The Project has defined these processes in the CWS-CARES Service Delivery Playbook (Attachment 4) and the SDLC Governance Model (Attachment 5) and can be found in the CWS-CARES Product Management Plan, Attachment 6.

The CWS-CARES Delivery Playbook includes an overview of the SDLC (Figure 2 - CARES Service Delivery Lifecycle), the CARES Enterprise Architecture and key state delivery roles and responsibilities. The SDLC Governance Model provides guidance on decisions and commitments required in each phase, as well as decision authority (accountability).

Figure 2 - CARES Service Delivery Lifecycle



### 5.1.2 CWS-CARES Solution

The Salesforce-based applications and CDI-based data services, *together*, make up the CWS-CARES as California's CCWIS. The Project will deliver the CWS-CARES operational applications on the Salesforce platform. In tandem, the Project will deliver the CWS-CARES data services, essential to the CCWIS compliance, on the CDI. Figure 3, CARES Enterprise Architecture in section 5.1.4, depicts the interactions between Salesforce, the CDI and (as Data Conversion progresses) legacy systems.

### 5.1.3 Salesforce

Salesforce provides the platform for operational applications that automate day-to-day child welfare workflows. Salesforce is an application that comes with standard out-of-the-box objects that are easily configurable to meet child welfare business needs and processes, thus allowing the Project to build and release functionality more rapidly than previously with custom development.

Below are examples of configurable items within Salesforce:

- New Objects and Fields
- New Page Layouts and Assignments

- Record Types
- User Management, Role Definitions
- Security Profiles, Permission Sets
- Workflows, Formula Fields, Validation Rules
- Lightning Flows (Guided Processes), Process Builder Processes
- Creating Portals with Lightning Community Builder
- Workflow Rules, Assignment Rules, Escalation Rules
- Email Templates, Mobile Application Configuration
- Reports and Dashboards

The PaaS SI vendor will have responsibility and accountability for the fidelity and functionality of the overall CWS-CARES solution. This includes ensuring the CDI and Salesforce work together architecturally, functionally, and technically to achieve product strategic outcomes, CCWIS requirements, and meet county business practice. The PaaS SI has primary responsibility of all data conversion, which includes data transformation (between the legacy and CWS-CARES models), data cleansing, and data loading into Salesforce and converting documents and other content from legacy systems into the CDI-based content management system. The PaaS SI product integration activities include ensuring transparency and coordination with the other CWS-CARES vendors. Although the PaaS SI is accountable for solution delivery, the State will retain decision making authority with the input of the PaaS SI and the other CWS-CARES vendors, as required.

#### **5.1.4 CARES Data Infrastructure**

The CDI also preserves State independence and control of vital assets, including content (data, documents and media) and business rules. Accordingly, the CDI hosts:

- A Business Rules Repository and Engine, which ensures that the CWS-CARES policy and program rules are portable to another platform, should the State replace Salesforce.
- Document and Template Management, which maintains the definitions of forms, assessment instruments, and survey instruments outside of Salesforce. This also equips the State to apply advanced analytics (text analytics, for example) to unstructured content, such as notes and narratives.
- Registries, which manage all the CWS-CARES reference (master) data and provide tools for detecting, resolving and preventing duplicate records for key entities such as Person, Address, Provider, and Facility.
- Identity Management, with a shared Active Directory that integrates with county directories to control access to both the Salesforce and the CDI resources.

Throughout the CWS-CARES development the CDI will host a Data Conversion Workspace, a set of data profiling, transformation and cleansing tools, along with data staging areas, that support the migration of legacy data to Salesforce. The CDI vendor will maintain and operate this utility for use by the Product Delivery Team. Successful delivery of product features must include not only Salesforce workflows, but also supporting the CDI data services and converted Production data.

The CDI is integral to the CWS-CARES. The CDI is neither simply a replica of Salesforce data nor a conventional data warehouse; the CDI is a set of managed data services (resources) that are as important to the administration of child welfare as the user-facing features provided through the Salesforce platform.

The primary purpose of the CDI is the management of high-quality longitudinal data for program evaluation and continuous quality improvement. This directly furthers the State's goal, set forth in the recently updated State Data Strategy, to "accelerate and align the creation of enduring longitudinal datasets...". In child welfare, such data includes long-running assessment, removal, placement and service histories for all families who have experienced involvement with the child welfare system. Under the FFPSA, this data must now cover new populations eligible for prevention services. It would not be technically advisable or cost effective to maintain such long-running histories on Salesforce.

The CDI communicates bi-directionally with Salesforce, in near real-time, to monitor and improve data quality, calculate metrics, generate alerts/recommendations and exchange data with the CWCAs and other partners. Crucially, the CDI provides product analytics, which help the project understand user behavior, apply those insights to improving product features and gauge the product's contribution to process efficiencies, practice fidelity, and program outcomes. The CDI makes it possible to use key performance indicators to assess and improve product value.

In sum, the CDI is designed to meet the following goals:

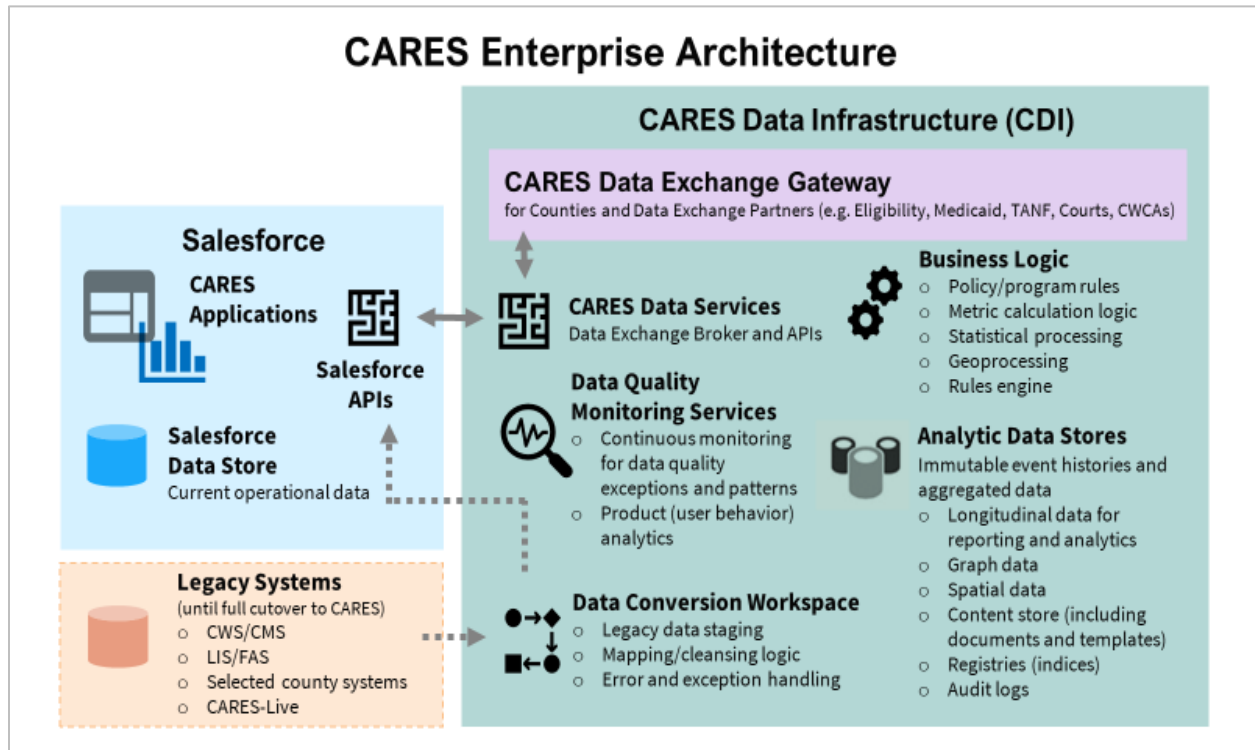
- Provide complete, timely, accurate, and consistent data through registries and continuous data quality monitoring
- Maintain immutable, person-centered longitudinal data that supports the generation of required federal (statewide) indicators, reliable practice fidelity and outcome metrics and near-real-time operational alerts, prompts and recommendations
- Enable continuous quality improvement and program evaluation, such that
  - Caseworkers and supervisors can see how children and families are doing over time and better understand the pathways they take through the system, and
  - Policymakers and program managers can gauge which programs/services work and do not work for specific populations
- Support the exchange of data with the CWCAs and other partners
- Maximize State independence and control of vital information assets and business rules. This means taking full advantage of the PaaS configurability, extensibility and technology innovation while controlling the PaaS cost drivers associated with managing high-volume, multi-dimensional historical data.

Managed CDI data services include:

- Business rules repository and engine
- Content management, including:
  - Documents and document templates
  - Media (e.g., images, audio, video, images)
  - Unstructured/semi-structured text (e.g., narrative, notes, Short Message)

- Service text, email)
    - Ability to search and browse all content
- Registries (master data management), including duplicate detection, resolution, and prevention
- Shared Active Directory, to synchronize with county directories in support of Identity Management
- Integration middleware supporting the data pipeline between Salesforce and the CDI and between the CWS-CARES and external partners/applications. Such middleware supports both batch processing and modern event-driven (stream) processing. The CWS-CARES processes workflow events (e.g., allegation conclusions), practice events (e.g., placement disruptions) and “life” events (e.g., school suspensions, medical diagnoses) as they happen, in near-real-time. This helps keep practitioners and analysts “in the loop” (literally) on emerging patterns and exceptions.
- API management
- A data/file exchange portal, including a metadata catalog
- Longitudinal data management, including logs
- Specialized data management supporting analytic (e.g., spatial, graph, text) processing
- Continuous data quality monitoring. Such monitoring checks, in near-real-time, for data inconsistencies (gaps in placement history, for example) with respect to not only federal extracts and reports, but also metrics of importance to measuring practice fidelity and managing the State programs. While data validation rules can prevent such inconsistencies, monitoring can spot larger problems that signal process, practice or product issues undermining data quality. Data Quality Monitoring can also help users to record “fuzzy” (preliminary) data at first and then make updates as family situations come into sharper focus. Data Quality Monitoring will provide automated functions that detect emerging data quality problems (e.g., duplicates and data entry lag) and provide corrective alerts and other messaging to the Salesforce users.
- Product (user behavior) analytics. The CDI includes tools for understanding how users navigate through the system and where they are getting stuck (not selecting any search results, for example). This data, along with usability testing, helps Product Delivery Teams continuously improve the CWS-CARES.
- Metrics, data extracts, and reports, including required federal and State data extracts, metrics and reports
- Statistical processing to support longitudinal analytics, matching algorithms (e.g., level of care, placement and service matching) and, ultimately, predictive risk modeling
- Ad-hoc query, data visualization and reporting, including metadata that assists users in building and sharing queries
- Data conversion workspace, including data profiling, transformation, cleansing, staging, loading and validation services
- AWS infrastructure provisioning and management
- Development and Operations (DevOps) tools and utilities

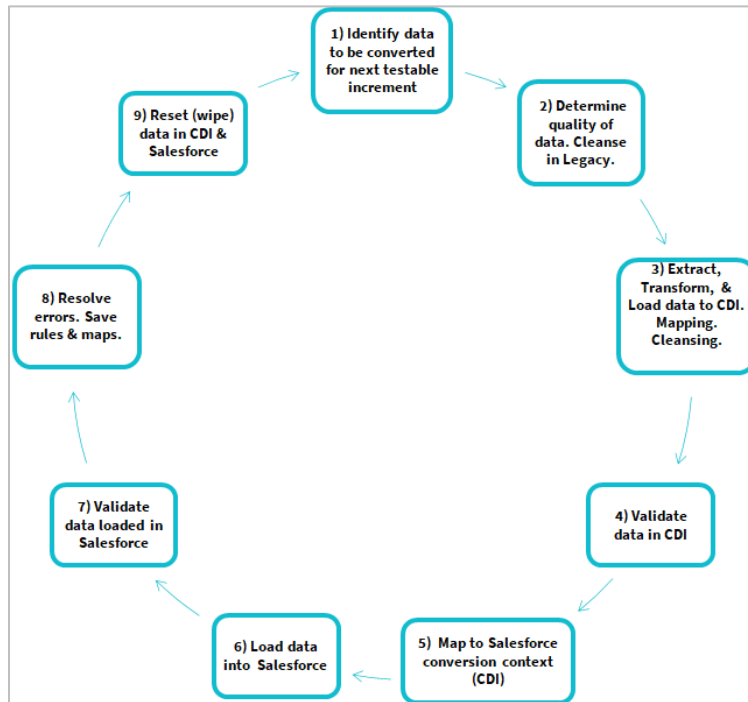
Figure 3- CARES Enterprise Architecture



### 5.1.5 Data Conversion Strategy

The planned scope for data conversion will include the CWS/CMS, Licensing Information System (LIS), Field Automation System (FAS), CARES-Live, and CANS data, and other selected systems.

Data conversion will involve incremental pre-cutover and cutover processes, as well as, a set of research tasks for each TI. The product delivery team will identify data to be converted in each TI and will go through a 9-step incremental pre-cutover process as shown below in Figure 4– Incremental Pre-Cutover Process

**Figure 4– Incremental Pre-Cutover Process**

The Cutover process will use the following work products from the Incremental Pre-Cutover Process:

- Data interfaces built among the legacy sources, the CDI, and Salesforce Platform
- Transformation rules built within the data interfaces
- Source-Target Mappings built within the data interfaces
- APIs executed to load data from the CDI into Salesforce

The Project is currently analyzing a range of cutover options, with the goal of compressing the cutover (rollout) window and minimizing data synchronization risk, while giving county groups (waves) sufficient time for successful implementation.

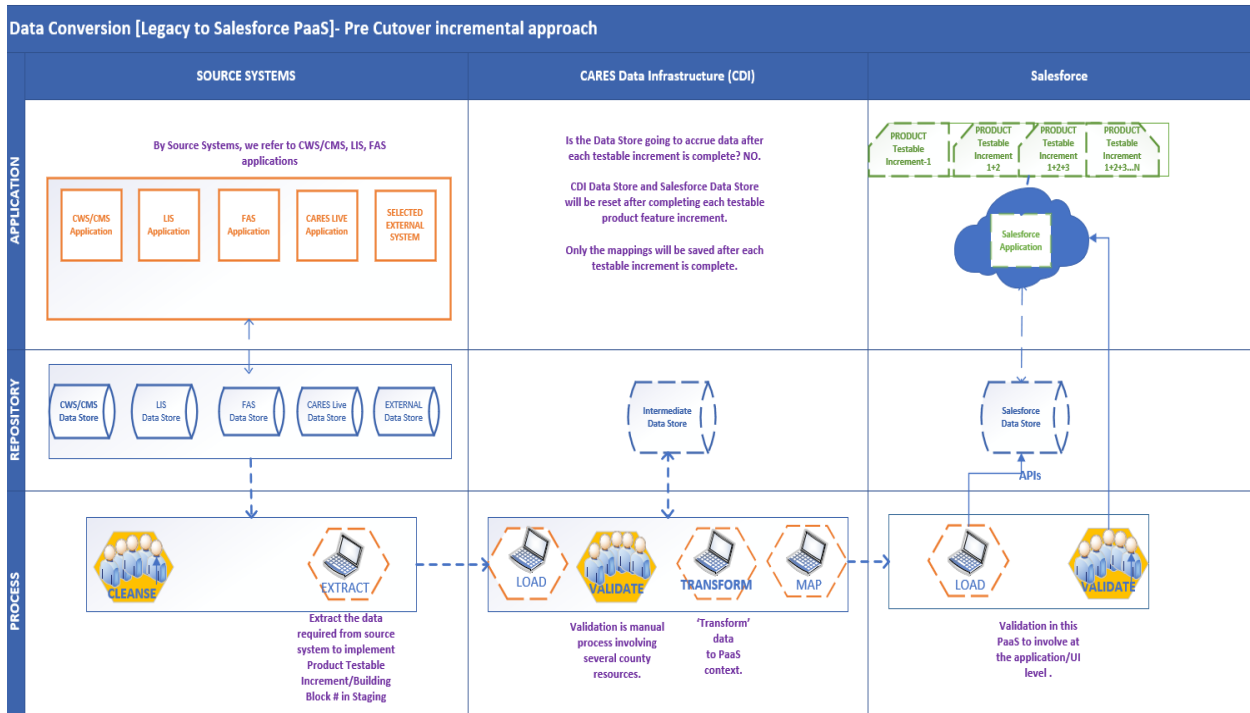
The data interfaces will be utilized to execute a repeatable process of data conversion from the legacy systems to the CDI and Salesforce.

In addition to the pre-cutover and cutover processes, it is critical to invest time and effort in fact-finding and research tasks to be able to:

- Understand inconsistencies among counties in capturing and interpreting critical information.
- Prioritize the ongoing data quality efforts to focus on the sequence in which the subject areas/domain concepts/data objects are likely to be converted.
- Analyze the special project codes that should be mapped to State/County specific programs and initiatives.



**Figure 5– Conversion Process Flow**



The Project continues to work with the county consultants on understanding the steps needed for county readiness for Data Conversion testing. It is anticipated that this work will continue throughout the development of CWS-CARES and will be focused on during each TI after the CDI has been developed.

For full details, please refer to the Data Conversion Plan - Attachment 7. The Data Conversion Plan includes a preliminary cutover approach, to be refined with vendors, counties, program partners and the Implementation team. This Data Conversion Plan was developed to outline the critical role of data conversion in the success of the overall delivery of CARES, and was included as an SPR 3 Major milestone ('Data Conversion Plan Drafted', due Q3 FY 2019-20) and is referenced in Table 2 – SPR 3 Major Milestone Status, below.

**5.2 CARES-Live**

**5.2.1 Releases**

While the Project transitions to Salesforce, the existing CARES-Live application remains in Production for county use and supported by CWDS. This decision was made by the CWDS BOD on February 20, 2020. The Project also continues with the CARES-Live implementation and adoption efforts by facilitating learning opportunities and providing demonstrations. Specifically, the Customer Relations team continues to support the CARES-Live and the counties in the following ways including:

- Provides regular communications including hosting a bi-weekly meeting
- Facilitates county questions and concerns regarding the CARES-Live adoption

- Maintains the CWS-CARES Implementation Portal content
- Supports the administration and management of the CARES-Live Training Environment
- Maintains and updates training materials
- Promotes and encourages CARES-Live adoption and usage

This work is intended to be ongoing through the implementation of the CARES V1. CARES-Live functionalities will ultimately be built in the CWS-CARES using the new solution. When that is accomplished, the CARES-Live data will be converted into the CWS-CARES and CARES-Live will be decommissioned. The table below provides details for the major CARES-Live releases since 2019. The Project has not had any major releases since January of 2020; however, there were 17 minor releases in 2020 that focused on improvement of existing functionality and performance.

**Table 1 - CARES-Live Releases**

CARES Live	Major Changes	Completion
CARES-Live 2.5	<p>CANS: N/A</p> <p>Facility Search: Updated License Status options to display new information.</p> <p>Identity Management: Enhanced activity change logs for administrators in CWS-CARES, provided additional search criteria and Quick Filter Reporting tiles, and fixed bugs.</p> <p>Snapshot: Reduced search latency to 10 seconds or less 98.71% of the time. Refined order of search results to display the best matches at the top of the result set.</p>	07/20/2019
CARES-Live 2.6	<p>CANS: N/A</p> <p>Facility Search: N/A</p> <p>Snapshot: Restored Snapshot functionality to the core counties. The functionality allowed users to attach information regarding related clients. Additionally, users can now search using multiple search criteria rather than a single search bar to allow more refined results.</p>	10/28/2019
CARES-Live 2.7	<p>CANS: Updated CANS age 0-5 template to keep in sync with CDSS CANS form (CA IP-CANS February 2019).</p>	11/16/2019

CARES Live Releases	Major Changes	Completion Date
	Facility Search: N/A  Snapshot: Provided Child Welfare History Snapshot enhancements requested by County users and SMEs. These enhancements and fixes brought efficiency to performing searches and the results that users reviewed.	
CARES-Live 2.8	Improved the efficiencies in the CARES-Live application and include the following: <ul style="list-style-type: none"> <li>• Increased Service Level Agreements attainment of 10 second replication time closer to 100%. Average replication will likely be less than two (2) seconds and all outliers should be eliminated.</li> <li>• Reduced mainframe CPU usage by as much as 50%</li> <li>• Reduced the likelihood of intermittent outages and resource usage spikes</li> </ul>	01/22/2020

In an effort for the Project to gauge how organizations felt about the CARES-Live, a CARES-Live User Survey was distributed to all the CARES-Live users on October 28, 2019 (8484) users, 1132 responses were received<sup>3</sup>.

Key Findings of Survey (percent is based on number of people that indicated they are a current user<sup>4</sup>):

- Over 80% recommend the CARES-Live Features
- Over 70% find the CARES-Live features reliable
- Over 60% find the CARES-Live features increase efficiency
- Over 60% use the system at least every two weeks

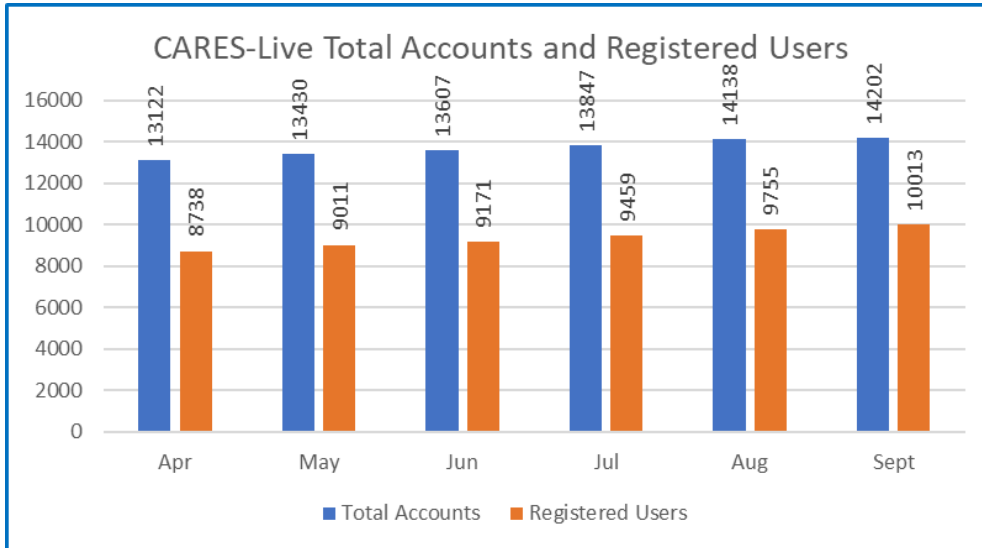
The rate at which counties ultimately adopted the CARES-Live features varied significantly based on a number of factors such as: required staff training, access to the CARES-Live system more broadly (i.e., registered user access as outlined in the graph(s) below) and county organizational change management (OCM) to ensure county awareness and that county processes and workflows were incorporated.

<sup>3</sup> The CARES-Live User Survey was distributed to all CARES-Live users that were in the system as of October 28, 2019. It should be noted that the Project did not make any distinctions regarding particular types of users when the survey was distributed. The first question in the survey was, "What CARES-Live features do you use?". If the individual selected the option "none" in response to this question, they were not asked subsequent questions about the CARES-Live features.

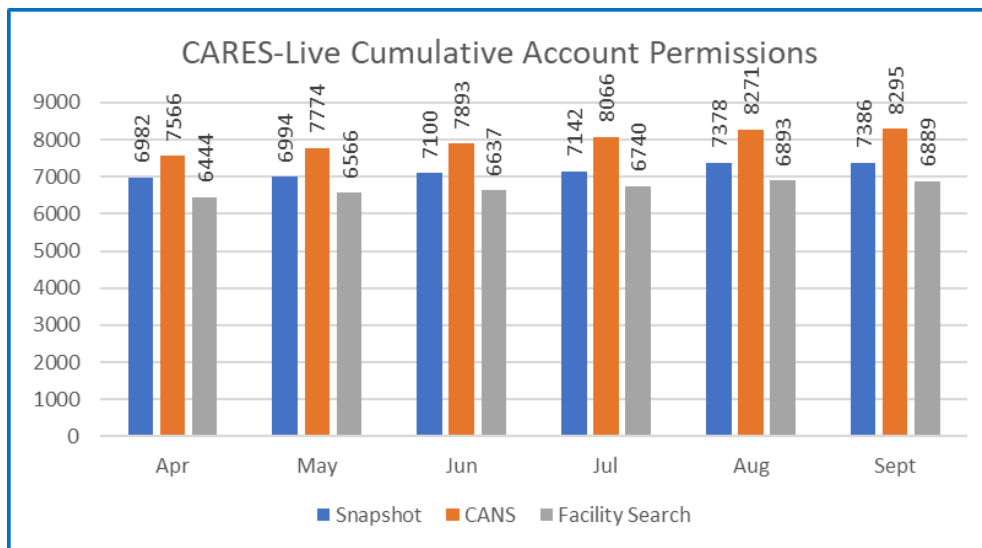
<sup>4</sup> Of the 1,132 individuals who responded, approximately 52% selected "none". It should be noted that the 52% are excluded from the CARES-Live survey results below.

Prior to COVID-19, the Implementation Team, in coordination with the county consultants worked extensively with counties to support the CARES-Live adoption through CARES-Live demonstrations. The COVID-19 has had an impact on the Project’s CARES-Live adoption campaign due to more pressing, higher priorities within the counties. The impact has been a slower or postponed rollout of Snapshot for some counties. The graphs below reflect the incremental growth of provisioned and registered users over a six-month period:

**Figure 6 - CARES-Live Total Accounts and Registered Users**



**Figure 7- CARES-Live Cumulative Account Permissions**



**5.3 Planned Versus Delivered**

Since the submission of the SPR 3 on February 7, 2020 the Project continued with the planning phase to procure vendor services, licenses and resources in support of the

updated architectural direction. The table below captures the milestones reported in the SPR 3 and provides status for this SPR. Incomplete milestones are due to the discussions that occurred amongst the Project governance entities that resulted in the CWS-CARES Path Forward agreement established in October 2020. The action taken was to realign the procurement and other milestones based on the agreement.

**Table 2 - SPR 3 Major Milestone Status**

Milestone	Planned Finish	Actual Finish	Status	Notes
Special Project Report 3 (SPR 3) Submission	11/30/19	02/07/2020	Completed	On February 28, 2020, CDT approved the Special Project Report (SPR) 3 with a set of five conditions.
PaaS Systems Integrator Solicitation Release	12/11/19	11/07/2019	Completed	Rereleased on 11/20/2020 based on the CWS-CARES Path Forward agreement.
Quarterly Updates to Roadmaps (FY 2019/20 Q3)	01/02/20	02/07/2020	Completed	The updated Product and Project Roadmaps were submitted with the updated SPR 3 on 2/7/2020.
Decision on Continuation of CARES-Live	01/30/20	02/20/2020	Completed	The Project released three product feature-sets to date: CANS, Facility and Snapshot. The Project completed the assessment and received approval by the BOD to maintain CARES-Live in Production.
Data Conversion Plan Drafted	03/30/20	03/22/2020	Completed	The draft plan was completed on 3/22/2020 and was reviewed with CWDS Executive Leadership Team (ELT) on 3/30/2020. The Project team will continue to refine the plan, pending input from critical vendors, once

Milestone	Planned Finish Date	Actual Finish Date	Status	Notes
				those are onboarded in March 2021.
Product Values Services (PVS) Solicitation Release	03/17/20	02/05/2020	Completed	Rereleased on 11/25/2020 based on the CWS-CARES Path Forward agreement
CDI Solicitation Release	03/27/20	06/25/2020	Completed	Rereleased on 12/4/2020 based on the CWS-CARES Path Forward agreement.
Salesforce Licenses Subscription Solicitation Release	03/30/20		In Progress	Will be rereleased by CDT based on the CWS-CARES Path Forward agreement. If this milestone is delayed beyond vendor onboarding, DD&I will be delayed. Action taken is CDT involvement with a new completion date of March 2021.
Governance Plan Update Complete	04/01/20	07/21/2020	Completed	The updated Governance Plan was reviewed by CDT IPO and by the Executive Leadership Team (ELT). The main concepts of the Governance Plan were shared and discussed with the BOD and received approval on July 21, 2020. Minor edits were made to the plan, and it was included in the formal IAPD submission to the ACYF on 7/30/2020.
Implementation Advance Planning Document	04/01/20	12/31/2020	Completed	Approved 2/24/2021.

Milestone	Planned Finish Date	Actual Finish Date	Status	Notes
Submitted to ACYF				
Quarterly Updates to Roadmaps (FY 2019/20 Q4)	04/02/20	12/28/2020	Completed	Revised based on CWS-CARES Path Forward agreement.
IAPD Approved by ACYF	05/30/20	2/24/2021	Completed	This milestone was delayed due to late submission of the IAPD. The IAPD was submitted 12/31/2021 and approved 2/24/2021.
Salesforce License Subscription Contract Award <sup>5</sup>	06/02/20			Will be completed by CDT based on the CWS-CARES Path Forward agreement. The new intent to award date is expected in April 2021.
PVS Contract Award	07/20/20	1/26/2021	Completed	This milestone was delayed due to revisions based on the Path Forward Agreement.
PaaS Systems Integrator Contract Award	08/11/20	2/24/2021	Completed	This milestone was delayed due to revisions based on the Path Forward Agreement. New completion date is February 2021 with contract execution expected in March 2021.
Quarterly Updates to	09/30/20		Completed	

<sup>5</sup> Contract execution dates for PaaS (Salesforce) Licenses Subscription, PVS, PaaS Systems Integrator and CDI are contingent upon ACYF approval.

Milestone	Planned Finish Date	Actual Finish Date	Status	Notes
Roadmaps (FY 2020/21 Q1)				
Special Project Report 4 (SPR 4) Submission	07/20/20		Completed	Due date revised based on CWS-CARES Path Forward agreement. SPR 4 was submitted on 1/11/2021. Updated version will be submitted by 3/12/2021.
FY 2021/22 BCP Submission	08/28/20		Completed	Budget Change Concept was submitted to OSI Fiscal in June 2020. Spring Budget Change Proposal was submitted in February 2021.
CDI Contract Award	10/02/20			This milestone was delayed due to revisions based on the Path Forward Agreement. New completion date is March 2021 with contract execution expected in April 2021.
Quarterly Updates to Roadmaps (FY 2020/21 Q2)	12/31/20		Completed	
Quarterly Updates to Roadmaps (FY 2020/21 Q3)	03/31/21			
Quarterly Updates to Roadmaps (FY 2020/21 Q4)	06/30/21			



## 5.4 SPR 3 Conditions

Upon approval of the SPR 3 by CDT on February 28, 2020, there were five conditions placed upon the Project. The Project worked closely with CDT to develop appropriate measurement vehicles that will be used to assess progress on each of the five conditions. Below are the Project's responses to each condition, along with a description of the measurement vehicle to be used to assess both the level of effort as well as the progress made.

### 1. Project Reporting:

- a. Annual Reporting: The CWS-CARES project must submit an Annual Project Update (APU)<sup>6</sup> or SPR by July 20, 2020, to true up the Fiscal Year (FY) 2019/20 and FY 2020/21 budget details in accordance with the most current knowledge available on the costs and award timeframes of the project's primary procurements (Application-based Platform as a Service [PaaS] Systems Integrator, CARES Data Infrastructure Services, Product Value Services, and Application-based PaaS Licenses Subscription).

If the Department does not submit the APU to the CDT by the required date, some or all project activities may be suspended until such time as the SPR is submitted.

**Response:** SPR 4 addresses the above condition and includes budget details and timeline for procurement. The submission deadline was adjusted by CDT to January 11, 2021 based on the CWS-CARES Path Forward agreement.

- b. Quarterly Reporting: The CWS-CARES project must submit Quarterly Project Reports to the CDT, commencing in the first month of the fiscal quarter following submittal of the APU, that provide an accounting of features/functionality delivered and milestones and deliverables completed in the current reporting period along with the status of Scope, Schedule and Cost baselines and risk. The Quarterly Project Reports must also include updated forecasts for the Total Project Cost, the Project End Date, and Percent Done.

The CDT will develop a template for the CWS-CARES Quarterly Project Reports that the CWS-CARES project will be required to use. The template will be provided to the project by July 20, 2020. The template will include a Project Overall Health Dashboard, and sections to report the project's health and progress against the SPR 3 baseline schedule, scope, and cost. Progress to be reported by the project includes the features/functionality delivered and milestones and deliverables completed in the current reporting period, and updated forecasts for Annual and Total Project Cost, Project End Date, and Percent Done. The report will also include a section for the project to report any risk, issue, or other item that

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<sup>6</sup> The APU is now referred to as the Iterative Project Report (IPR).

requires the attention of the CDT. The risk and issue descriptions must detail the likelihood, potential consequences, and mitigation strategies and action plans.

- Total Project Cost - represents the forecast for performing all authorized work at any level of the project. It includes all actual to-date direct costs, plus indirect costs allocable to the project, plus the estimate of costs (direct and indirect) for authorized work remaining.
- Project End Date - represents the forecast for completing the project's transition to Maintenance and Operations and submitting the Post Implementation Evaluation Report (PIER) to the CDT.
- Percent Done - expresses the overall percentage done for the total project. The percentage done calculation is based upon the planned resource hours assigned to the Epics that represent the totality of CWS-CARES project objectives.

**Response:** The Project received a draft of the CWS-CARES Quarterly Project Report template from CDT IPO in May 2020. The draft template includes all the components above. The Project will commence quarterly reporting beginning in July 2021, once vendors are onboarded and product development activities are in progress.

- c. Monthly Reporting: The CWS-CARES project must immediately commence reporting in the Monthly Project Status Reports submitted to the CDT:
- Progress against project and product roadmaps and schedules with explanations for deviations, as well as remediation plans.
  - Responses to and progress made on Independent Project Oversight and Independent Verification & Validation findings and recommendations.

**Response:** The Project began providing responses to CDT Independent Project Oversight (IPO) and Independent Verification & Validation (IV&V) findings and recommendations, along with updates and progress made in the monthly Project Status Report (PSR), beginning in April 2020. Additionally, the Project Roadmap is being provided as an attachment to this monthly report.

The high-level Product Roadmap has been established and shared with CDT IPO. Once vendors begin onboarding starting in March 2021, the Project will begin including it as an attachment to the monthly PSRs, with monthly updates and/or deviations published against it.

2. Release Planning and Execution: The CWS-CARES project must prepare and publish rolling 12-month product release plans in conjunction with the quarterly roadmap updates identified in the SPR 3 list of major milestones. The initial

product release plan must be published and made available to project stakeholders, including the CDT, 45 days after the Application-based PaaS Systems Integrator vendor onboarding commences.

The publication of product release plans will facilitate the clear communication of the product delivery forecast timeframes as well as monitoring and reporting on delivery progress. The release plans must map the delivery of building blocks, TIs, converted data sets, and APIs to the Staging, Sandbox, and Production environments. The release plans must also document any assumptions and risks associated with each planned release. The CDT must be provided evidence of project execution according to the release plans.

**Response:**

The Project developed the CWS-CARES Product Milestone Quarterly Roadmap, Attachment 8, leveraging the CWS-CARES Project Timeline, Attachment 9, discussed in Section 5.1. The CWS-CARES Product Milestone Quarterly Roadmap forecasts the timeframes for the greenfield build, CARES Version 1 (V1), and CARES Version 2 (V2). The quarterly roadmap is displayed at the key product milestone level with the associated scheduled TIs, Sandbox readiness, and Production release based on the current timeline. With each TI, core constituents, who are subject matter experts on the Project team, provide feedback on both product features and converted data in the Staging environment. The key milestones can be mapped back to the CARES Product Roadmap to identify the Building Blocks and Shared Services that are grouped in the TIs. The Project will publish an update to this initial quarterly roadmap 45 days after the PaaS Systems Integrator vendor onboarding commences. The Project will prepare and publish in rolling 12-month product release plans in conjunction with the quarterly roadmap updates identified in the SPR 4 list of major milestones.

The Project learned, through numerous POCs, that continuous deployment to Production is not feasible with emergent processes, such as Screening and Investigations, that entail near-real-time synchronization (of safety-critical child and family information) with legacy systems. Accordingly, the Project will look for opportunities, as Product Delivery Teams progress through the Roadmap, to deploy useful greenfield (no legacy integration) and non-core/non-high-risk feature sets to Production. The Project intends to start by deploying such a greenfield tool within the first six months of onboarding the four primary vendors. The greenfield options are currently being evaluated and a selection will be made after consultation with vendors. CARES V1 currently has two scheduled product releases and CARES V2 has one scheduled product release.

3. Governance and Decision-Making: The CWS-CARES project must update the current Governance Plan and Decision Making Framework (DMF) documents adding content that further clarifies decision-making roles at each level, and the updated documents must be approved by the Child Welfare Digital Services

Board of Directors and Executive Leadership Team, with the updates implemented and in practice no later than April 1, 2020. The project must subsequently provide the CDT with observable demonstration of the updated practices and process adherence.

The Governance Plan and DMF document updates must include adding content that further clarifies decision-making roles at each level, ensuring the governance and decision-making structure and processes account for delegation to empowered subordinates when the principal resources are not available in a pre-defined timeframe. This approach will provide the project the agility required to support the planned pace of project activities and promptly resolve any conflicts or issues arising between the three primary vendors, as well as ensure subordinates are adequately prepared and mentored to assume greater responsibilities in support of prudent succession planning.

The CDT must be provided demonstration of the updated governance and decision-making practices. This demonstration must show:

- Adherence to the CWDS BOD-approved CWS-CARES Product Development Guiding Principles and the DMF across Tiers as defined within the Principles document.
- Decisions at all levels are being made in accordance with the criteria and event triggers presented within the Governance Plan and DMF documents.
- Counsel and recommendations received from vendors is being incorporated into the decision-making process, including results from vendor evaluation of vertical module delivery options.
- State personnel is bearing full responsibility and accountability for determining the Tier 1, 2, and 3 product solution decisions, including decisions that allow for broader vendor competition to provide special purpose solutions that are necessary to deliver the totality of the system.

**Response:** The Governance Management Plan and the related DMF (attachment 10 and 11 respectively) were updated in collaboration with CDT in the Fall of 2020. Formal approval of the Governance Management Plan was obtained in early January 2021. The existing DMF process to track project decisions was enhanced by including a structured decision document that will be used for all ELT and BOD decisions.

In addition, the Product Management Plan (attachment 6, section 10, Table 2) was updated to include the process for decisions related to product development and the additional tools used to track related decisions, such as Domain Model Change Log, Blueprint Decision Log, and Architecture Decision Log. These tools will be used to track routine decisions related to product development; however, changes

that have an overall impact to scope, cost (resources) and schedule will be documented in the DMF.

The Project has been utilizing the DMF since October 2019 and anticipates that organizational change management and process improvement will aid in the adherence of the two artifacts mentioned above.

4. Vendor Management and Contract Management: The CWS-CARES project must prepare a Vendor Management Plan or update the current Contract Management Plan to reflect vendor management process details and provide the applicable documentation to the CDT no later than June 11, 2020.

The new Vendor Management Plan and/or Contract Management Plan updates must address:

- Detailed documentation regarding the project's plan to prepare State Functional Managers and other project personnel with the skills required to carry out their assigned responsibilities for vendor and contract management.
- Development and implementation of detailed processes, procedures, and roles and responsibilities for handling specific multi-vendor integration issues, including:
  - Resolving any disputes that arise between the three primary vendors.
  - Work Order Authorization processing in a scenario where one of the primary vendors is not able to deliver on contracted obligations due to the failure of another primary vendor to perform.
  - Managing vendors that will provide special purpose solutions that need to integrate with the project's Application-based platform and CWS-CARES Data Infrastructure.
- Training of State Functional Managers (SFMs) in the completed vendor and contract management processes conducted prior to August 11, 2020, in order to properly prepare the SFMs to fulfill their assigned responsibilities.
- The project must subsequently provide the CDT with observable demonstration of the updated practices and process adherence.

**Response:** The Project completed the CWS-CARES Vendor Management Plan, which was reviewed by CDT and approved by the CWDS Project Director in July 2020. Subsequently, in November 2020, the Project conducted the first in a series of vendor management trainings to State functional managers who will be responsible for the day to day direction and oversight of all vendors. This training will ensure that vendors are managed properly in order to maintain high performance, meet the CWS-

CARES Project objectives, operate efficiently within a multi-vendor organization, maintain open and effective communication, and actively identify, manage, and mitigate risks and/or dependencies across vendors. Additional trainings that focus on KPIs and work order authorizations (WOAs), are scheduled for February and March 2021 respectively. Once vendors are onboarded in March, the Project team will begin leveraging performance scorecards related to KPIs and Service Level Agreements (SLAs) to identify trends, areas of improvement and enhance collaboration across the Project. The Vendor and Contract Management (VCM) unit will update the CWS-CARES Vendor Management Plan to incorporate lessons learned. The Project Plan Management and Reporting unit will monitor adherence to the plan and assist the VCM unit in identifying gaps, and updating practices and processes, thereafter.

5. Independent Advisory Services: The CWS-CARES project must immediately adopt a procurement approach that ensures the vendor resources who are contractually assigned responsibilities for advising the project on product strategy and enterprise architecture decisions have managerial and contractual independence from the vendor teams that are otherwise responsible for the DD&I of the totality of the CWS-CARES solution. This includes independence from the project's primary vendors:
  - a. Application-based Platform as a Service (PaaS) Systems Integrator
  - b. CARES Data Infrastructure Services
  - c. Product Value Services
  - d. Application-based PaaS software

**Response:** The CWS-CARES project released the Independent Advisor RFO in December 2020 to obtain the services to use data and insights to independently assess if the CWS-CARES Project is on track to deliver a service that meets or exceeds CWDS goals and user needs, and to provide guidance and recommendations to the Project team, the ELT and the BOD.

The project received one vendor response and the response did not meet the minimum qualifications set forth on the RFO. The project worked with CDT to revise and reissue the solicitation. The Project intends to complete contract award following completion of the other primary procurements in April 2021.

## 5.5 Project Staffing/Vacancy Rate

As the planning phase concludes, the Project is better positioned to begin SDLC activities once the vendors begin work. The project has had recent success with filling many of the key leadership roles, such as the Product Chief, Architectural and Engineering Chief and the Information Security Officer for the CWDS. The CWDS is currently recruiting for the Director of Technology and the CDSS Program Director.

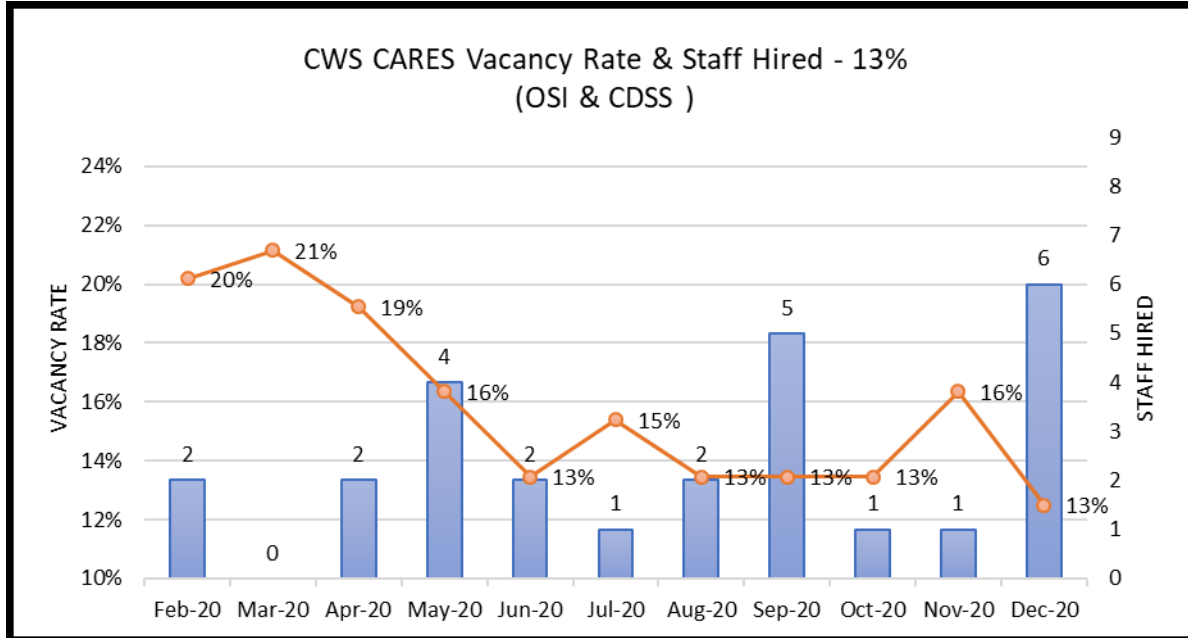
Other important staffing roles were reassessed during the planning phase. Taking into consideration the transition from a custom development approach to the utilization of Salesforce, as well as other such critical factors as the ability to adequately manage

vendors and prepare for organizational readiness in the counties, this assessment identified the need for additional leadership skills within the project. Key elements of resource and succession planning are:

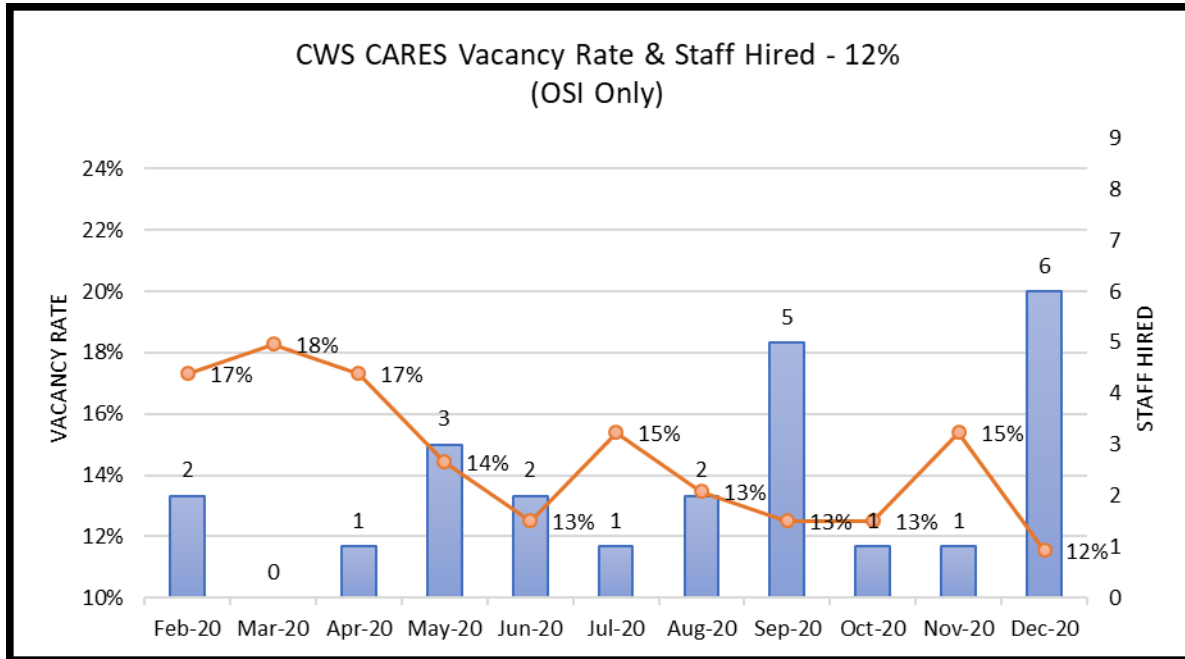
- Strategically filling a key technical leadership position first;
- Redirecting existing positions to fill business or technical needs within the project;
- Considering alternatives to fill positions when the positions are hard to recruit for or cannot be filled;
- Implementing mitigation strategies, such as procuring contract resources to cover skill gaps;
- Identifying and preparing State roles to assume responsibility for CWS-CARES, in terms of system enhancements and operational capability; and
- Identifying proxies for key project staff and leadership roles to ensure forward momentum, timely decision-making and ongoing knowledge transfer.

Recruitment remains a very high priority for CWDS, and Project continues to recruit for key management positions and candidates that have the desired skills and qualifications. As shown in figure 8 below, the vacancy rate has trended downward since the approval of the SPR 3 and currently sits at 13%.

**Figure 8– CWS-CARES Vacancy Rate & Staff Hired (OSI & CDSS)**



**Figure 9 – CWS-CARES Vacancy Rate & Staff Hired (OSI Only)**



**5.6 Procurements and Approach**

A priority going forward is to execute rigorous contract and vendor management processes. In early 2019, an updated Contract Management Plan, Attachment 12 was developed that identifies the resources, roles, and responsibilities for ensuring contract deliverables are defined, monitored, and that expected services are satisfactorily delivered to meet scheduled milestones and project goals. The Project recently completed a Vendor Management Plan, Attachment 13 that provides information and guidance to State Functional Managers of vendor resources. The Vendor Management Plan complements the contract management activities and focuses on building strong State-vendor relationships with the objective of achieving the best outcomes for the State. The Project continues to assess options, develop detailed processes, and refine roles and responsibilities to mature the State’s vendor management skillsets and capabilities.

The vendor management approach the Project developed will promote open communication and support for both State and vendor project staff. This approach includes guidance about active management best practices as well as methods to mitigating Project and vendor risks. Most importantly, the Vendor Management Plan includes a framework for evaluating overall vendor performance. It also addresses how the Project will handle multi-vendor integration issues such as; disputes between vendors, dependencies between vendors, failure to perform, and integration of vendor provided solutions. The Project developed training for State Functional Managers and Contract Analysts to support successful implementation of the vendor management approach.

In addition, the Project implemented a WOA process to hold contractors accountable for the work defined within the WOA. The WOA process is an ideal mechanism for work



and deliverable management within an iterative system development methodology. The WOA process continues to be refined to ensure the process addresses a multi-vendor environment with interdependencies. The WOA will include defined deliverables and acceptance criteria for each vendor at specific phases of the SDLC. Failure to perform the work defined or obtain acceptance of the work defined in the WOA will result in deferred or lost compensation to the vendors. The WOAs have been incorporated into recent procurements and contracts and will be included with most of the upcoming procurements. The Vendor Management Plan defines how WOAs and contracts will be managed within the Project.

### **5.6.1 Primary CWS-CARES Procurement Reset**

As a result of the CWS-CARES Path Forward agreement, a reset of the primary CWS-CARES procurements took place to:

- Modify procurements to expand competition and encourage cost and schedule efficiencies
- Add an additional independent advisory role
- Shift the lead role in negotiations with Salesforce to the CDT with the goal of a statewide contract
- Transfer responsibility for data conversion work to the PaaS SI vendor

Four primary vendors will support the State in delivering the CWS-CARES. These vendors include PVS, PaaS SI, CDI Services and an Independent Advisor.

The PVS vendor will focus on the CWS-CARES Business Architecture. This vendor will provide research, service design, experience design, business (primarily rules) analysis and data science expertise to Product Delivery Teams and fulfill two key responsibilities:

- Represent and advocate for the State's program goals for the CWS-CARES
- Align the Product Roadmap with program goals (product value) and the CWS-CARES Product Development Guiding Principles

The PaaS SI will focus on the CWS-CARES Solution Architecture and delivery. This vendor will provide product strategy, architecture, engineering and (Salesforce-focused) design expertise to Product Delivery Teams and fulfill three key responsibilities:

- Be the primary systems integrator and deliver a complete CCWIS, including both the Salesforce and CDI components that work together architecturally, technically and functionally
- Deliver converted, cleansed data of sufficient quality to support the administration of child welfare through the lens of new CWS-CARES product features
- Set up, maintain and operate the CWS-CARES delivery pipeline (all environments), including both the Salesforce and CDI components

The CDI vendor will provide data architecture and engineering expertise to Product Delivery Teams and fulfill two primary responsibilities:

- Set up, maintain and operate the CDI as the data platform for the CWS-CARES

- Use CDI-based tools to build selected CDI data services, including metric calculation logic, reports and data exchange APIs

The Independent Advisor will use data and insights to independently assess if the CWS-CARES Project is on track to deliver a service that meets or exceeds the CWDS goals and user needs, and to provide related guidance and recommendations to the Project Team, the ELT and the BOD.

### 5.6.2 SPR 3 Procurement Milestone Status (change from SPR 3 to 4)

The SPR Section 2.1.7 Major Milestones identified key planned procurements. Table 3 - SPR 3 Major Procurement Milestones, below, provides status of the previously approved procurement milestones.

**Table 3 – SPR 3 Major Procurement Milestones Status**

SPR 3	Vendor	Contract	Contract	Estimated	Actual	Change/Reason
Identity and Access Management Business Analyst	The iFish Group, Inc.	\$105,600	1/13/20 - 9/30/20 (3 months core term + 5 month extension)	1/7/2020	1/13/2020	Estimated contract term in SPR 3 was through 4/6/2020. The actual contract term was amended at no additional cost through 9/30/20 to allow for completion of the scope of work.
Service Now Maintenance Services	Veterans Enhanced, Inc.	\$207,600	8/3/20 - 8/2/21 (core term only)	3/12/2020	7/17/2020	Actual completion date delayed due to additional time required to define the State's requirements and conduct the solicitation process.
CARES-Live Production Support Services	Oak Technical Services, Inc.	\$5,529,408	3/30/20 - 3/29/21 (12 month core term + 2 1-year options)	5/14/2020	3/30/2020	Actual completion date was accelerated due to the solicitation and approval process being quicker than anticipated. Additionally, the

SPR 3 Procurement Milestone	Vendor Name	Contract Value	Contract Terms	Estimated Completion Date	Actual Completion Date	Change/Reason for Variance from SPR 3
						actual value of this contract is approximately \$692K less than the estimated SPR 3 cost.
CARES Data Infrastructure (CDI) Services	In Progress	In Progress	In Progress	10/2/2020	In Progress	The CDI solicitation was rereleased on 12/4/2020 based on the CWS-CARES Path Forward agreement. The new contract execution date for this procurement milestone is April 2021.
Platform as a Service (PaaS)[1] Systems Integrator (formerly Integration Services)	In Progress	In Progress	In Progress	8/11/2020	In Progress	The PaaS SI solicitation was rereleased on 11/20/2020 based on the CWS-CARES Path Forward agreement. The new contract execution date for this procurement milestone is April 2021.
Limited Term Salesforce Licenses Subscription	QualApps, Inc.	\$1,032,658	1/31/20 – 7/30/20	1/31/2020	1/31/2020	No variance from SPR 3
Full Term Salesforce Licenses Subscription	In Progress	In Progress	In Progress	7/31/2020	In Progress	This procurement milestone will be completed by CDT based on the CWS-CARES Path Forward agreement. The new contract

SPR 3 Procurement Milestone	Vendor Name	Contract Value	Contract Terms	Estimated Completion Date	Actual Completion Date	Change/Reason for Variance from SPR 3
						execution date for this procurement milestone is April 2021.
Product Value Services (PVS)	KPMG	\$26,931,840	3/1/21-2/28/27	7/20/2020	2/28/2021	The PVS solicitation was rereleased on 11/25/2020 based on the CWS-CARES Path Forward agreement.
CARES-Live Site Reliability	HHS Technology Group LLC	\$9,384,000	1/4/21 - 10/3/22 (21 month core term + 4 1-year options)	10/28/2020	Complete	Estimated completion date in SPR 3 was 10/28/2020. The actual completion date was 12/9/2020.
Splunk Software and Services	Solutions Simplified	\$133,650	6/25/20 - 6/24/21 (Core term only)	2/5/2020	6/25/2020	Delayed due to additional time required to define the State's requirements and conduct the solicitation process.
Placer County Consultant	Placer County	\$748,786	01/02/20 - 06/30/21 + 3 6-month extensions	1/1/2020	1/2/2020	No variance from SPR 3
San Bernardino County Consultant	San Bernardino County	\$356,807	04/01/20 - 03/31/22	4/1/2020	4/1/2020	No variance from SPR 3
San Francisco County Consultant	San Francisco County	\$409,143	04/01/20 - 03/31/22	4/1/2020	4/1/2020	No variance from SPR 3
Los Angeles County Consultant	Los Angeles County	\$676,684	07/01/20 - 06/30/23	7/1/2020	7/1/2020	No variance from SPR 3

SPR 3 Procurement Milestone	Vendor Name	Contract Value	Contract Terms	Estimated Completion Date	Actual Completion Date	Change/Reason for Variance from SPR 3
Los Angeles County Consultant	Los Angeles County	In Progress	In Progress	7/1/2020	TBD	Estimated completion date in SPR 3 was 7/1/20. Since that time, the identified county consultant retired, and the county is in the process of identifying a qualified replacement.
San Francisco County Consultant	San Francisco County	\$620,181	07/01/20 - 06/30/23	7/1/2020	7/1/2020	No variance from SPR 3
San Mateo County Consultant	San Mateo County	\$981,069	08/01/20 - 06/30/22 + 2 1-year extensions	8/1/2020	8/1/2020	Actual value of this contract is approximately \$66K more than the estimated SPR 3 cost due to revised compensation and benefit costs.
Riverside County Consultant	Riverside County	In Progress	In Progress	1/1/2021	In Progress	No variance from SPR 3
County Welfare Directors Association	CWDA	In Progress	In Progress	4/13/2021	In Progress	No variance from SPR 3

### 5.6.3 Procurement Status

The tables below provide status on contracts that have been closed out and contracts that are completed. Table 4 – Closed Out Contracts provides status for contracts that have been closed out. Table 5 – Completed Procurements provides status for previously identified procurements.

**Table 4– Closed Out Contracts**

Procurement	Vendor Name	Contract	Actual Contract	End Date	Contract
Application Architect	909 Technologies, Inc.	\$250,000	\$249,900	2/28/2020	8/12/19 – 6/30/20
Limited Term Salesforce Licenses Subscription	QualApps, Inc.	\$1,032,658	\$1,032,658	7/30/2020	1/31/20 – 7/30/20
Identity and Access Management Business Analyst	The iFish Group, Inc.	\$105,600	\$96,000	9/30/2020	1/13/20 – 9/30/20
Release Management Services	Connetix Consulting, Inc.	\$702,000	\$540,675	7/31/2020	12/17/18 - 12/16/20

**Table 5 – Completed Procurements**

Procurement Name	Vendor Name	Contract	Contract Term
County of San Bernardino	County of San Bernardino	\$356,807	4/1/20 – 3/31/22
County of San Francisco	County of San Francisco	\$409,143	4/1/20 – 3/31/22
County of San Francisco	County of San Francisco	\$620,181	7/1/20 – 6/30/23
San Mateo County	San Mateo County	\$471,305	8/1/20 – 6/30/22
CARES-Live Production Support Services	Oak Technical Services	\$5,886,144	3/30/20 – 3/29/23
Los Angeles County	Los Angeles County	\$1,249,600	7/1/20 - 6/30/24
CARES-Live Site Reliability Services	HHS Technology Group, LLC	\$9,384,000	1/4/21 - 10/3/26
ServiceNow Licenses and Services	Veterans Enhanced Inc.	\$207,600	7/1/20 - 6/30/21
Splunk Technology	Solutions Simplified	\$133,650	6/25/20 - 6/24/20

Procurement Name	Vendor Name	Contract Value	Contract Term
Lotus/Domino Services	Celer Systems, Inc.	\$364,705	6/25/20 - 6/24/22
Product Value Services (PVS)	KPMG	\$26,931,840	3/1/21-2/28/27

#### 5.6.4 Acquisition Summary

Table 6 – Acquisition Summary lists all the planned procurements during DD&I. This table identifies all procurements, the scope of services, the procurement method, the estimated cost, the contract term, and whether the State has received exemption from prior approval from ACYF in accordance with 45 CFR §95.611(b)(iii)<sup>7</sup>.

**Table 6 – Acquisition Summary**

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
CARES Data Infrastructure (CDI) Services	Competitive Bid Solicitation	\$71,206,628 CCWIS	Apr. 2021 – Mar. 2027  (36-month core term + three 12-month options)	Will submit contract to ACYF for review and approval prior to execution.
	<b>Scope of Services</b>			
	<p>The vendor will set up, maintain, and operate the CDI as the data platform for the CWS-CARES. The CDI is an integral component of the CWS-CARES and key to California’s CCWIS compliance. Data services provided by the CDI include:</p> <ul style="list-style-type: none"> <li>• Business rules repository and engine</li> <li>• Content management, including: <ul style="list-style-type: none"> <li>○ Documents and document templates</li> <li>○ Media (e.g., images, audio, video, images)</li> <li>○ Unstructured/semi-structured text (e.g., narrative, notes, SMS text, email)</li> <li>○ Ability to search and browse all content</li> </ul> </li> <li>• Registries (master data management), including duplicate detection, resolution, and prevention</li> </ul>			

<sup>7</sup> In addition, the Project has developed a vendor matrix ('CWS-CARES Vendor and State Staff Coordinated Activities', Attachment 24) that offers a detailed overview of both vendor services, including scope of work, and State staff responsibility, categorized by functional area.

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
	<ul style="list-style-type: none"> <li>• Shared Active Directory, to synchronize with county directories in support of Identity Management</li> <li>• Integration middleware supporting the data pipeline between Salesforce and the CDI and between the CWS-CARES and external partners/applications</li> <li>• API management</li> <li>• A data/file exchange portal, including a metadata catalog</li> <li>• Longitudinal data management, including logs</li> <li>• Specialized data management supporting analytic (e.g., spatial, graph, text) processing</li> <li>• Continuous data quality monitoring</li> <li>• Product (user behavior) analytics</li> <li>• Metrics, data extracts, and reports, including required Federal and State data extracts, metrics and reports</li> <li>• Statistical processing to support longitudinal analytics, matching algorithms (e.g., level of care, placement and service matching) and, ultimately, predictive risk modeling</li> <li>• Ad-hoc query, data visualization and reporting, including metadata that assists users in building and sharing queries</li> <li>• Data conversion workspace, including data profiling, transformation, cleansing, staging, loading and validation services</li> <li>• AWS infrastructure provisioning and management</li> <li>• DevOps tools and utilities</li> </ul> <p>The CDI vendor will work closely with the PaaS SI and CWS/CMS vendor in operating the CDI to meet the needs of Product Delivery Team(s) using CDI-based tools to configure/develop the CWS-CARES components. The CDI vendor will also provide data architecture and engineering expertise as members of Product Delivery Team(s), as well as training on both CDI operations and the use of CDI-based analytic tools.</p>			
Salesforce Subscription Services	Software Licensing Program	\$71,917,611 CCWIS	Mar. 2021 – Apr. 2025 (12-month core term + three 12-month options)	May require ACYF review and approval prior to execution.
<b>Scope of Services</b>				
The vendor will provide Salesforce subscription services which will be a critical aspect of the underlying CCWIS solution for the CWS-CARES.				



Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
PaaS Systems Integrator Services	Competitive Bid Solicitation	\$63,781,313 CCWIS	Apr. 2021 – Mar. 2027  (36-month core term + three 12-month options)	Will submit contract to ACYF for review and approval prior to execution.
	<b>Scope of Services</b>			
	<p>The vendor will provide overall systems integration services to ensure the successful integration of Salesforce and the CDI which collectively delivers the CWS-CARES. Specific services include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Configuring Salesforce (which is inclusive of Service Cloud, Community Cloud, and Health Cloud) to the greatest extent possible, then utilizing rapid application development, and finally implementing custom or third-party products which integrate with Salesforce to meet the CCWIS requirements and California’s business practices;</li> <li>• Maintaining domain and technical architecture documentation;</li> <li>• Designing, developing, and operating the platform development pipeline and synchronizing with the CDI development pipeline;</li> <li>• Managing and performing all data conversion activities which includes data transformation, data cleansing, and data loading into Salesforce and coordinating these activities with the CDI vendor;</li> <li>• Ensuring that all components of the CWS-CARES (Salesforce and the CDI) work together architecturally, functionally, and technically to achieve the State’s needs;</li> <li>• Developing the CWS-CARES Object Model to achieve the data analytic and management goals; and</li> <li>• Developing the Master Data Management Plan to ensure fidelity of the CWS-CARES data for purposes of providing users with accurate and reliable information and for purpose of ensuring data integrity requires for state and federal reporting.</li> </ul>			
Project Management Services**	Request for Offer (Leveraged Procurement Agreement)	\$8,640,000 CCWIS	Jul. 2021 – Jun. 2027  (36-month core term + three 12-month options)	Requesting ACYF exemption from prior approval.
	<b>Scope of Services</b>			
	<p>The vendor will provide a broad range of expert-level services related to coordinating services across key project areas including the CDI, Salesforce Integration, Data Conversion, and Implementation. These</p>			

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
	<p>resources will have experience in an agile environment using Jira software for all product development work and Microsoft Project to help maintain the overall project schedule. The resources will manage all tasks as an integrated group to ensure smooth coordination and proper identification of dependencies across these domain areas. In addition to managing these services, these resources will participate in the risk and issue management, schedule management, change management, etc. These resources will act as the single point of contact for all communication, escalated risks/issues, decisions, etc. to the State for disposition.</p> <p><u>Justification:</u> The CWS-CARES project requires an increase in Project Management Support Services (PMSS) due to the complexity of services that are required. PMSS will require significant knowledge and experience in managing the schedule, risks, issues and dependencies across all the project deliverables. This includes specific skillset expertise beyond what State staff are able to manage in such toolsets as Microsoft Project and Jira. The PMSS will be established in a manner to quickly allow for scaling up or down based on project progress along with building upon knowledge and skillsets within the Project Management Office. The ability to have sufficient resources with the appropriate skill sets will support the State's aggressive schedule and goal to implement functionality to the counties as planned.</p>			
Independent Advisor	Request for Offer (Leveraged Procurement Agreement)	\$3,456,000 CCWIS	Apr. 2021 – Mar. 2027 (36-month core term + three 12-month options)	Will submit contract to ACYF for review and approval prior to execution.
<b>Scope of Services</b>				
The vendor will use data and insights to independently assess if the CWS-CARES Project is on track to deliver a service that meets or exceeds CWDS goals and user needs, and to provide related guidance and recommendations to the Project team, the ELT, and the BOD.				
Implementation Services**	Competitive Bid Solicitation	\$44,931,066 (Includes travel) CCWIS	Apr. 2021 – Apr. 2026 (36-month core term + two 12-month options)	Draft solicitation sent to ACYF for review and approval.

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
				Requesting exemption from prior approval to execute contract.
<b>Scope of Services</b>				
<p>The vendor will work closely with the CWS-CARES State Implementation Team and Salesforce Systems Integrator Vendor/Contractor to deliver Organizational Readiness Assessments, organizational implementation, OCM, and training services to child welfare agencies, probation departments, and County and State licensing staff to assist them in making the transition from the current legacy systems to the CWS-CARES. The vendor will collaborate with the State to develop a customized approach which most efficiently and effectively prepares and reinforces adoption of the CWS-CARES. California is a large and geographically diverse state which requires extensive implementation services to foster adoption of a statewide solution, such as the CWS-CARES. The general services this vendor will provide is as follows:</p> <ul style="list-style-type: none"> <li>• Organizational Implementation Services: Develop and execute the implementation and rollout approach in accordance with project schedule, provide implementation schedule management, provide remote and on-site support of implementation-specific activities at the organizational level, assess organizational readiness, and provide on-site and remote support at Go-Live.</li> <li>• OCM Services: Research and document county as-is and to-be business processes. Perform a gap analysis to identify organizational changes needed to move to the ideal future state of operations. This includes developing base OCM materials such as As-Is, To-Be, change readiness plans, and communication plans.</li> <li>• System Training Services (development and delivery): Includes planning, developing, coordinating, and executing a train-the-trainer (TTT) program, developing training materials, and delivering TTT classes. Contribute to the development of the CWS-CARES training environment.</li> <li>• Post Implementation Support Services</li> </ul>				
Service Desk Services**	Competitive Bid Solicitation	\$18,972,000 CCWIS	Sept. 2022 – Aug. 2028 (36-month core term + three 12-	Not requesting ACYF exemption from prior approval

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
			month options)	
<b>Scope of Services</b>				
The vendor will support the day-to-day operation and management of the CWDS Service Desk. This includes 24x7 triage support serving as the initial point of contact for all CWDS incidents, problems, and events and providing severity level 1 and severity level 2 support.				
Financial Management Consultant Services**	Competitive Bid Solicitation	\$3,432,000 CCWIS	Dec. 2022 – Apr. 2026  (15-month core term + two 12-month options)	Not requesting ACYF exemption from prior approval
<b>Scope of Services</b>				
The vendor will provide expertise with developing and validating the Financial Management module. This is one of the more complex service areas within the CWS-CARES and, therefore, requires specialized expertise to successfully complete. The vendor will provide a Certified Public Accountant, data expertise and business analysis expertise to assist the State and fulfill skill gaps.				
Testing Services**	Request for Offer (Leveraged Procurement Agreement)	\$11,174,400 CCWIS	Apr. 2021 – Apr. 2026  (36-month core term + two 12-month options)	Requesting exemption from prior approval.
<b>Scope of Services</b>				
The vendor will develop test scenarios based on the Product Blueprint, develop and maintain test data, and assist the PaaS SI, CDI, and State QA team to identify or write automation test scripts. This vendor will also perform manual testing, document these manual test results, and communicate the results to the State for resolution of any issues. Lastly, this vendor will assist the State in developing the Master System Test plan which will describe the State's testing strategy and define industry leading testing tools and a test management structure based on the State's iterative build approach.				
CARES-Live Production Support Services**	Competitive Bid Solicitation	\$2,080,960 Non-CCWIS	Mar. 2023 – Apr. 2024  (14-month core term)	Not requesting ACYF exemption from prior approval

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
<b>Scope of Services</b>				
The vendor will provide the CARES-Live maintenance and operation services within a cloud hosting infrastructure, including continuous integration and continuous delivery (CI/CD) services. The vendor will help plan and support the migration of the CARES-Live capabilities and data to a new Salesforce platform.				
ServiceNow**	Request for Offer (Leveraged Procurement Agreement)	\$2,400,000 Non-CCWIS (Non-CCWIS funding for 2021/22 and will gradually shift to CCWIS funding as CARES development progresses)	Sept. 2021 – Sept. 2026  (Billed Annually)	Term: 9/30/21 – 9/29/22  Exempted in As-Needed APD (CA_2020_08_01_DSS);
<b>Scope of Services</b>				
The vendor will provide 100 ITSM Support licenses, 20 CSM Support licenses, orchestration services, and 760 hours of enhanced technical support on an annual basis for the ServiceNow tool.				
Splunk Technology**	Request for Offer (Leveraged Procurement Agreement)	\$1,326,750 Non-CCWIS	Apr. 2021 – Jun. 2026 (Billed Annually)	Term: 6/25/20 – 6/24/21 Exempted in As-Needed APD (CA_2020_08_01_DSS);
<b>Scope of Services</b>				
The vendor will provide enterprise Splunk software which is an operational intelligence analytics platform that will automate the collection and dashboarding of sensitive operational data from AWS and other select data sources.				
IV&V Services**	Competitive Bid Solicitation	\$4,212,000 (50/50 CCWIS/Non-CCWIS)	Dec. 2021 – Apr. 2026 (15-month core term + three 12-month options)	Not requesting ACYF exemption from prior approval

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
<b>Scope of Services</b>				
<p>The vendor will provide Independent Verification and Validation (IV&amp;V) services for the CWDS. The IV&amp;V is the set of verification and validation activities performed by an agency not under the control of the organization developing the software. The IV&amp;V services must be provided and managed by an organization technically and managerially independent of the software development project. This independence takes two mandatory forms:</p> <ul style="list-style-type: none"> <li>• Technical independence requires the IV&amp;V service provider not be organizationally involved in the software development or implementation effort or have participated in the Project’s initial planning and/or subsequent design.</li> <li>• Managerial independence requires the IV&amp;V service provider to ensure the IV&amp;V effort is vested in an organization departmentally and hierarchically separate from the software development and program management organizations.</li> </ul>				
CWDA Executive Liaison/SME (M&O1, CC05)	Sole Source (See Justification Below)	\$5,461,716 (75/4/26 CCWIS/Non- CCWIS/CWS- CMS)	Apr. 2021 – Jun. 2028  (51-month core term + three 12-month options)	Requesting exemption from prior approval.
<b>Scope of Services</b>				
<p>The CWDA Executive Liaison acts as a county representative and conduit between the California counties the CWDS, and sponsor. The CWDA Executive Liaison has the knowledge and expertise to speak and make informed decisions on behalf of all the 58 county directors and ensures county interests are represented for issues related to the CWDS. The CWDA Executive Liaison will validate that county-based business functional requirements are considered in development, planning, and decision-making. The CWDA Executive Liaison also coordinates communication between the CWDA, the counties, and the CWDS regarding application planning, development, implementation, maintenance, operation, and utilization.</p> <p>The CWDA SME supports the CWDA Executive Liaison in ensuring that the CWS-CARES planning activities continue to meet business needs. The CWDA SME works directly with the CWDA Executive Liaison to lead, coordinate, and provide project direction to CWDA County Liaisons. The CWDA SME provides insight into the counties’ workflow, business needs, and system needs that are essential in implementing a successful new system. They assist in the recruitment</p>				

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
	and coordination of representation for digital service teams, planning, development, adoption and implementation, operations, and utilization.			
CWDA County Liaisons (Blanket) (4 resources) (CC02, CC24/CC29/M&O2) Re-procurement	Sole Source (See Justification Below)	\$6,545,006 (75/5/25 CCWIS/Non- CCWIS/CWS/M CS)	Jan. 2022 – Jun. 2027	Requesting exemption from prior approval.
<b>Scope of Services</b>				
The CWDA County Liaisons are active or recently retired county staff contractors recruited from management, user, administrative, and technical staff (Child Welfare, Probation, County Licensing, and public health nurses) who participate in project activities to ensure that the CARES-Live and CWS-CARES solutions are effective, economical, and efficient within the county and state child welfare and adoptions setting. The CWDA County Liaisons represent the counties' interests and business processes and ensure consistency in the daily decisions related to strategic direction, technical infrastructure changes, and application requirements during development. The CWDA County Liaisons provides direct support in the analysis and development of functionality and technical components. The CWDA County Liaisons provides insight into the counties' workflow, business needs, and system needs that are essential in implementing a successful new system. They represent a large part of the Project's stakeholder community and are integral to system acceptance and use.				
Los Angeles County Consultant (CC15)	County Consultant Agreement	\$1,022,400 (Includes travel)  (90/10 CCWIS/Non- CCWIS)	Jul. 2021 – Dec. 2025	Exempted in As-Needed APD (CA_2020_08_01_DSS)
<b>Scope of Services</b>				
The Los Angeles County Consultant will provide county subject matter expertise in the areas of hotline, safety organized practice, child welfare investigations, quality assurance, and design ops.				
Los Angeles County Consultant (CC18)	County Consultant Agreement	\$1,249,600 (Includes travel)  (CCWIS)	Jan. 2021 – Dec. 2025	Exempted in As-Needed APD (CA_2020_08_01_DSS)

Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
	<b>Scope of Services</b>			
	The Los Angeles County Consultant will provide county subject matter expertise in the areas of hotline, safety organized practice, child welfare investigations, court processing, and design ops.			
Riverside County Consultant (CC20)	County Consultant Agreement	\$1,136,000 (Includes travel)  (95/5 CCWIS/Non – CCWIS)	Jan. 2021 – Dec. 2025	Exempted in As-Needed APD (CA_2020_08 _01_DSS)
	<b>Scope of Services</b>			
	The Riverside County Consultant will provide county subject matter expertise in the areas of hotline, safety organized practice, child welfare investigations, case management, court processing, quality assurance, and design ops.			
Placer County Consultant (CC25)	County Consultant Agreement	\$1,022,400 (Includes travel)  (CCWIS)	Jul. 2021 – Dec. 2025	Exempted in As-Needed APD (CA_2020_08 _01_DSS)
	<b>Scope of Services</b>			
	The Placer County Consultant will provide county subject matter expertise in the areas of identity management, data analysis and reporting, document management, external systems, interfaces, and design ops.			
County Consultant Services (20 resources <sup>8</sup> )	County Consultant Agreement	\$19,800,000 (Includes travel)  (CCWIS/Non- CCWIS allocation will vary depending on contract)	4 resources: Jul. 2020 – Dec. 2025  8 resources: Jul. 2021 – Dec. 2025  8 resources: Jul. 2022 –	Exempted in As-Needed APD (CA_2020_08 _01_DSS)

<sup>8</sup> The specific quantity and term information is estimated at this time. The State, in partnership with CWDA, will recruit qualified county consultant resources based on the availability of resources and service areas being developed with the intent of having sufficient county representation embedded within the product delivery team(s).



Procurement Name	Procurement Method	Estimated Cost* (Includes Options)	Contract Term	ACYF Exempt. From Prior App.
			Dec. 2025	
<b>Scope of Services</b>				
These additional county consultants will fill resources and/or skill gaps as they are identified or needed. As the Project continues refining its Product Blueprint, the required county expertise will be identified and brought onto the project. In general, these county consultants will provide subject matter expertise during the DD&I phase to ensure the CWS-CARES solution meets the child welfare services stakeholder and California business practice model. They will participate in design and development sessions, joint application design sessions, gap and requirement analysis, user acceptance testing, etc. during the DD&I phase.				

\*Cost beyond project end date of April 30, 2026, will not be included in total project cost.

\*\*The CDT review and approval of the contracts estimated costs, contract terms and scope of services is still pending.

### 5.7 Expenditures to Date

Table 7 provides a display of total Project expenditures including OSI and CDSS actuals from December 2020 FI\$CAL Reports, as well as processed invoices through February 25, 2021.

**Table 7 – CWS-CARES Project Expenditures to Date as of December 2020**

SPR 3 Approved Amount	Actual Expenditures	Remaining Budget
\$253,331,164	\$207,133,151	\$46,198,013

### 6.0 Proposed Project Change

In accordance with the State Administrative Manual (SAM) Section 4819.36, this SPR is being submitted to the CDT as a result of changes in the CWS-CARES Project schedule and costs as compared to SPR 3 approved in February 2020.

Following the task force recommendations that were presented to the BOD in August 2020, the CWDS continued discussions with key partners and stakeholders to strategically realign the CWS-CARES project and its associated procurements. In

October 2020, the CWS-CARES Path Forward agreement was developed in conjunction with the governance entities and included the following high-level agreements:

- Reset and acceleration of the primary procurements
  - Modify procurements to expand competition and encourage cost and schedule efficiency
  - Add an additional independent advisory role
  - Shift the lead role in discussions with Salesforce to CDT with the goal of a statewide contract
  - Transfer responsibility for data conversion work to the PaaS SI vendor
- Demonstrate development capability through the release of a “greenfield” (the purpose of greenfield is to demonstrate development capability through the release of an ancillary module); delivered to a pre-determined subset of counties module within six months of onboarding the four primary vendors
- Evaluate opportunities for Production release of valuable functionality on an ongoing basis
- Demonstrate progress and success in meeting commitments prior to approval of funding in future budget years
- Develop key performance indicators to ensure that products delivered align with program goals
- Strengthen the Governance Model to increase decision making rigor, clearly define roles and decision authority, and document governance activities and outcomes

## **Procurements**

As part of the Project’s commitment towards fulfilling the aforementioned agreement, the scope of the PaaS SI vendor was modified to accurately reflect a stronger system integrator role. This vendor will have increased responsibility and accountability for the fidelity and functionality of the overall CWS-CARES solution. The goal is to ensure that the CDI and Salesforce will work together architecturally, functionally, and technically to achieve product strategic outcomes, CCWIS requirements, and meet county business practice. To this end, CWDS made the following key changes to the previous procurement to reflect this larger SI role which includes:

- Added technical tasks related to product integration activities, including:
  - Coordinating development of the overarching CWS-CARES architectural construct;
  - Performing development activities in coordination with the CDI to ensure integration;
  - Coordinating prototyping activities to validate feasibility of technical approaches; and
  - Coordinating system readiness prior to implementation.
- Added tasks related to reporting on Product Delivery Team progress to ensure transparency and coordination with the other CWS-CARES vendors
- Added tasks related to Master Data Management (MDM) to ensure MDM integration between Salesforce and the CDI
- Added language clarifying primary responsibility of all data conversion which

includes data transformation (between the legacy and CWS-CARES models), data cleansing, and data loading into Salesforce and converting documents and other content from legacy systems into the CDI-based content management system

- Added tasks related to coordinating services and activities across product development vendors

These changes were made in consultation and agreement with the CDT, DOF, and the CHHSA with the intent of decreasing project risk and increasing vendor accountability. It should be noted, however, that although the PaaS SI is more accountable for solution delivery, CWDS will retain decision making authority with the input of the PaaS SI and other CWS-CARES vendors, as required.

Additionally, the Project is in the process of procuring an Independent Advisor role that will use data and insights to independently assess if the CWS-CARES Project is on track to deliver a service that meets or exceeds the CWDS goals and user needs, and to provide related guidance and recommendations to the Project Team, the CWDS ELT, and the BOD.

### **Implementation and Data Synchronization**

Another proposed project change resulting from the CWS-CARES Path Forward agreement is the reassessment of implementation needs, including the need to move up the procurement for the Implementation Services contract from July 2021 to April 2021 to accommodate greenfield implementation. This vendor will work closely with the CWS-CARES Implementation team and the PaaS SI vendor to deliver organizational readiness assessments, OCM, training and implementation services. This vendor will also collaborate with the Project team to develop a customized approach that will effectively reinforce adoption of the CARES solution.

### **Product Development and Incremental Delivery**

While the Project reissued the CWS-CARES procurements to align with the CWS-CARES Path Forward agreement, an analysis of greenfield options was shared with the BOD on December 31, 2020. Once vendors are onboarded starting in March 2021, the vendors will provide input and insight toward the greenfield module recommendation for ELT to decide, and present to the BOD for consideration. As part of the analysis, modular functionality with associated TIs, high-level acceptance and deployment criteria, and pilot counties will be identified as soon as possible or within one month following the contract start date of the CWS-CARES vendors, whichever is sooner. The selected greenfield module will be a factor in determining the pilot counties that will best represent the ability to validate the value that is being delivered prior to statewide release. The implementation process used to deliver greenfield to the pilot counties will be leveraged to deliver statewide. In addition, the Project will continue to evaluate opportunities for Production release of valuable functionality on an ongoing basis.

The most significant change from SPR 3 is that the Project will deploy to Production incrementally beginning with a greenfield module (no legacy integration), followed by CWS-CARES functionally that will replace CWS/CMS in CARES V1, and extended

functionality in CARES V2. Due to the impact that this poses on implementation, section 6.5 of this SPR outlines how the Project plans to address this change.

### **Governance and Decision Making**

The final key element of the CWS-CARES Path Forward agreement pertains to strengthening the CWDS governance model to increase decision-making rigor. The CWDS Governance Plan and associated DMF were updated and approved by the ELT and BOD in agreement with CDT. It is the Project's anticipation that the new governance structure will be adhered to through OCM and process improvement at the team level so that decisions are appropriately escalated to the ELT and the BOD. Reference the attached CWDS Governance Plan (Attachment 10) and DMF (Attachment 11).

### **Budget and Funding**

As a result of the proposed changes described above, the Project is adjusting the project end date to include the stabilization and CCWIS compliance from Dec 2023 to April 2026. The project is also adjusting the total project budget cost from \$253,331,164 in SPR 3 (through FY 2020-21) to \$375,559,878 in this SPR 4 (through FY 2021-22).

### **Key Performance Indicators (KPIs)**

During the Context-Setting phase of the Service Delivery Lifecycle, Service Managers on the Product Delivery Team will establish the fundamental goals of their Process Areas, map out the main activities and decision points of child welfare work and explore how these will be supported in CWS-CARES. The Value Hypothesis will also be developed during this phase. This exercise identifies the main agency (policy/program) goals and challenges, which will be used to identify KPIs. In addition, it incorporates the Integrated Core Practice Model (ICPM) to identify the features that will support these goals or overcome challenges. The KPIs will measure the success of these features and the system's overall contribution to agency goals once the system is in production.

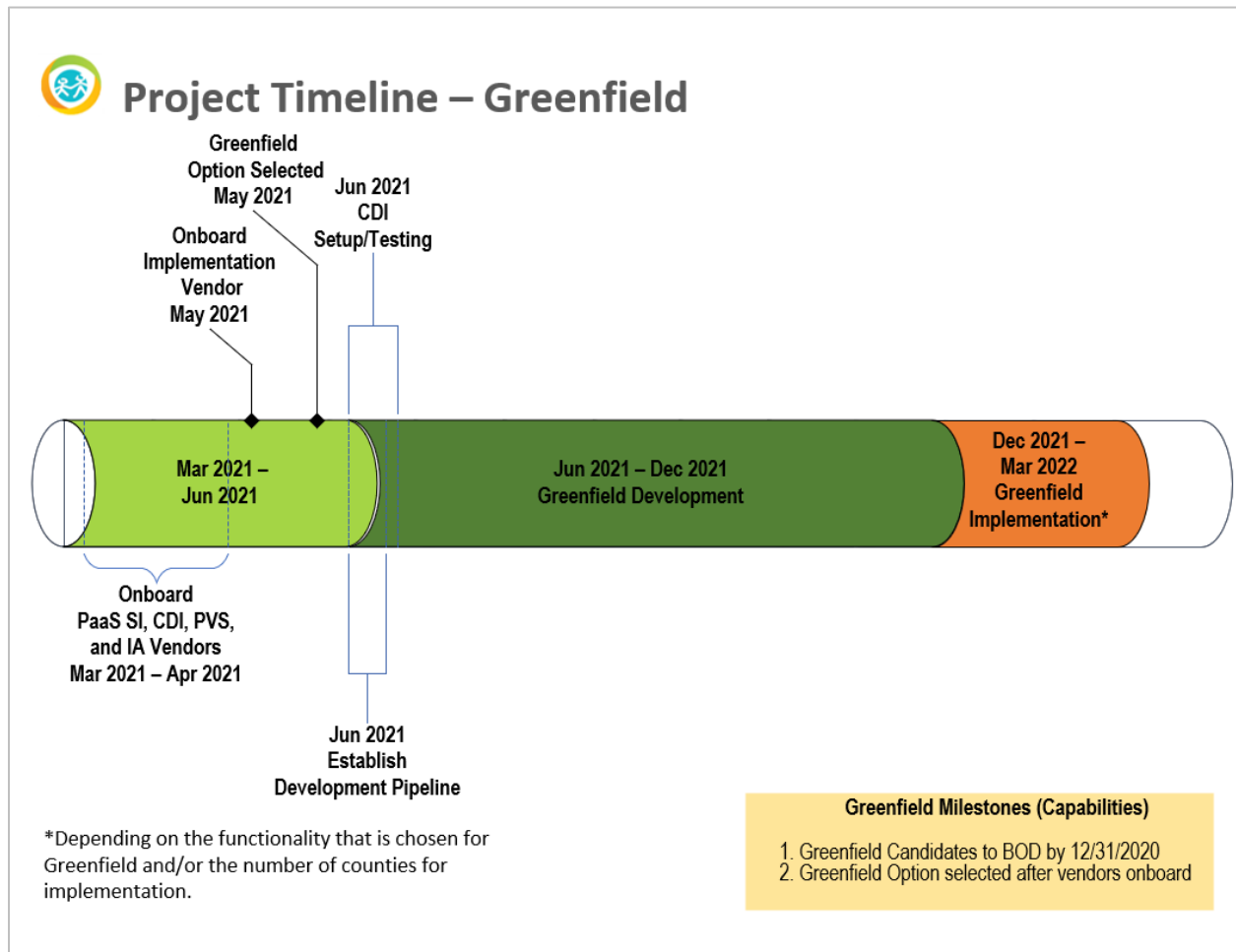
Value Hypothesis workshops will be conducted by Service Managers and involve subject matter experts representing State and County programs and data consumers. The Service Managers and the product development team strive to identify opportunities to automate and improve the current processes wherever possible. The Project intends to employ the Value Hypothesis and to capture and identify of KPIs in order to review the measurable improvements gained by the stakeholders after system implementation. The Value Hypothesis will inform Roadmap prioritization as well as key measures of success with implications for the Domain Model and Data Model. The greenfield module will be the first opportunity to exercise the Value Hypothesis and determination of KPIs. Based on the established criteria for greenfield assessment, the program and end-user value will be used to determine the functionality of this first Salesforce module that will be developed in 2021. Section 6.2 below outlines how KPIs will be used to demonstrate progress and success in meeting commitments prior to approval for further development.

## 6.1 Duration and Timing

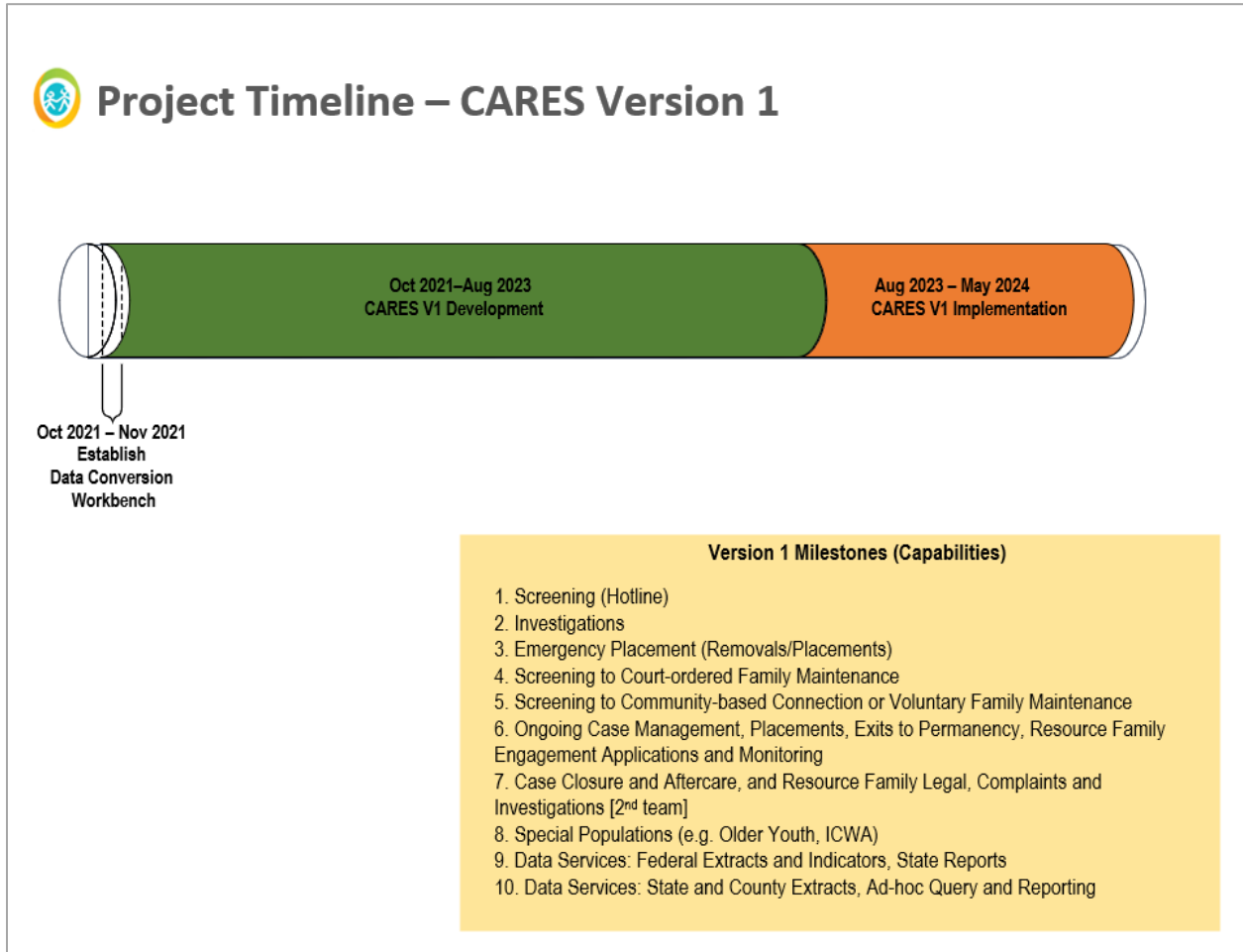
In SPR 3, the Project’s estimated completion date was December 31, 2024. Since submission SPR 3, the Project has developed the CWS-CARES Product Roadmap that includes 200+ Product Building Blocks covering Screening, Investigations, Community-based Connection, Case Management (including Adoption and Aftercare), Courts, Eligibility, Resource Family Applications, Licensing, Resource Management and Financial Management. The CWS-CARES Product Roadmap combines and sequences those Building Blocks, along with supporting Shared Services, into 50 TIs, grouped into milestones with distinct value themes. This roadmap has provided the information needed to develop a project timeline. As discussed in Section 5.1 the Project intends to start deploying a greenfield module within the first six months of onboarding the four primary vendors. The greenfield work effort has been added to the project timeline.

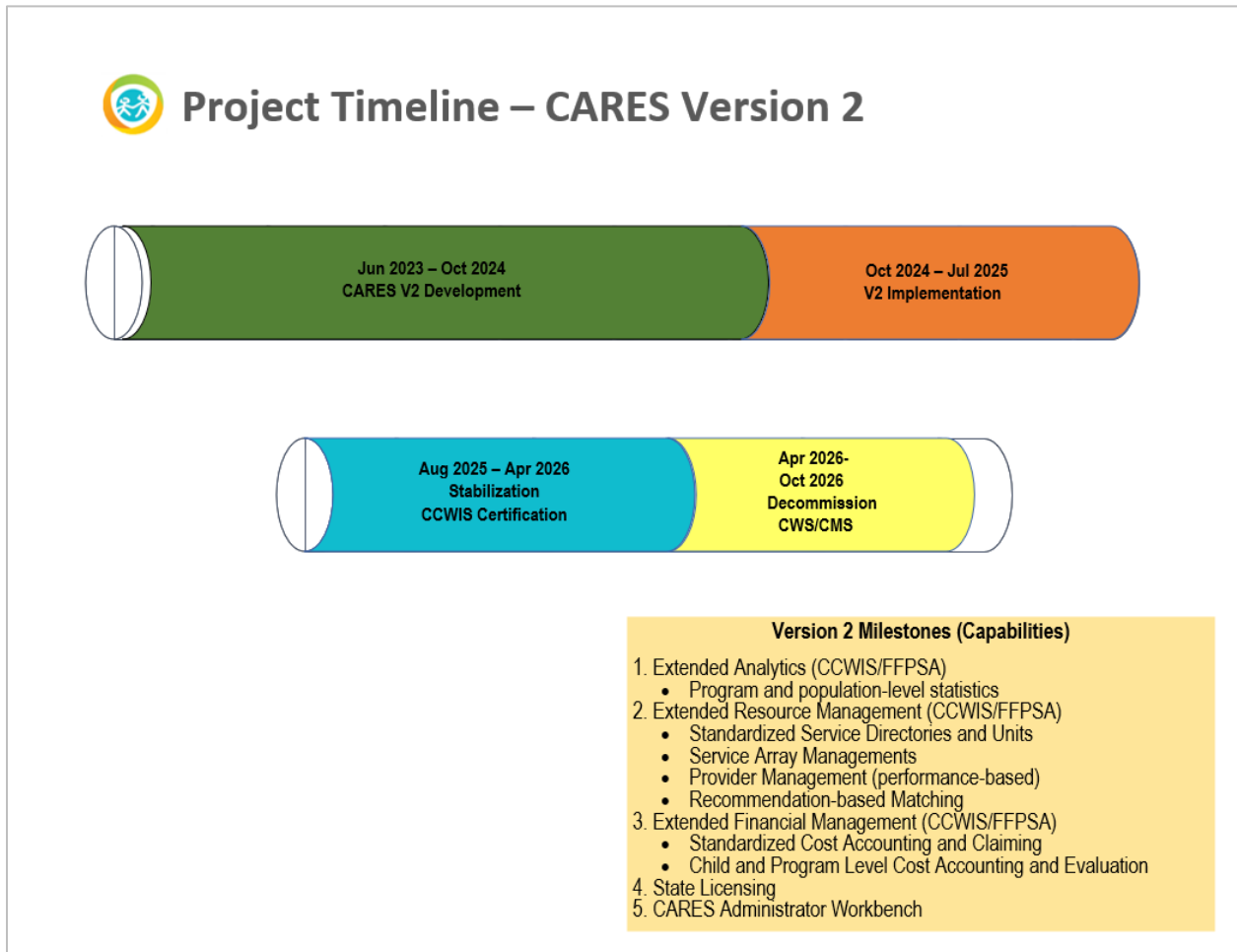
Outside of the greenfield option, the CWS-CARES Product Roadmap was split into two versions. The CARES V1 marker will deliver “backbone” administrative processes (Screening through Aftercare) to Production. The CARES V2 extends CARES V1 with data-intensive features supporting the CCWIS and FFPSA compliance. Below are high level project timelines including Figure 10 - Project Timeline – Greenfield, Figure 11 – Project Timeline - CARES V1, and Figure 12 – Project Timeline - CARES V2.

**Figure 10 - Project Timeline – Greenfield**



**Figure 11 - Project Timeline – CARES Version 1**



**Figure 12 - Project Timeline – CARES Version 2**

## 6.2 Overall Project Cost

As stated in the CWS-CARES Path Forward agreement, future budget years, including FY 2021-22 will require ongoing proof of delivery and a review of the cost base. To ensure that the CWS-CARES products delivered align with program goals, the Project will develop KPIs. DOF is anticipated to include provisional language in future CWS-CARES funding approvals that requires demonstration of value delivered as indicated by KPIs. On an annual basis, the Project will be required to demonstrate progress and success in meeting commitments prior to approval further funding. The county participation model, consultants, and associated costs will be revisited with vetting and input from CWDA, DOF and CDT for the FY 2021-22 budget. The State support model will be revisited with vetting and input from DOF and CDT for the FY 2021-22 budget in accordance with the standard BCP process. The current estimated total project budget through stabilization and CCWIS Review of the CWS-CARES is \$911.4M, of which \$207.1M is expended as of December 2020 FI\$CAL Reports.

The Project is assessing current vacancies (reference CWDS Functional Organization Chart, Attachment 14) to redirect for critical resource needs for FY 2021-22. Technical

State resources are required specifically to manage the CDI vendor and to focus on data cleanup activities in preparation for data conversion. More positions will be requested as the Project progresses and the vendors are onboarded. In addition, the Project will be planning for resources to receive knowledge transfer and on-the-job (OJT) training from the vendors as part of their contracts. The training will begin after CARES V1 is implemented, after core functionality of the legacy system is replaced. State staff will shadow the vendors and received OJT during CARES V2 development. This will require the State to get the appropriate technical roles in place to learn from the vendors.

The Rough Order of Magnitude (ROM) for the CWS-CARES budget is displayed below. Budget bill language (Budget Act of 2020 Section 5180-491, Provision 1) allows for the Project to re-appropriate funds upon approval from Department of Finance. To the extent that additional resources are identified to better align with Project needs, an updated SPR will need to be provided.

<b>ROM (SPR 4 Update)</b>	<b>FY 20-21</b>	<b>FY 21-22</b>
County Participation	\$ 3,199,999	\$ 25,859,319
State Personal Services	\$ 10,429,257	\$ 10,723,244
Professional Services	\$ 8,037,953	\$ 9,871,588
Other State Goods and Services	\$ 11,224,824	\$ 13,135,552
County Consultants	\$ 3,783,129	\$ 7,849,970
PaaS System Integrator	\$ 2,553,600	\$ 15,866,985
Implementation Services	\$ 643,310	\$ 6,844,610
Product Value Services	\$ 902,044	\$ 4,619,520
CDI Services	\$ 3,226,400	\$ 10,758,035
Salesforce Licenses	\$ 5,777,483	\$ 16,805,237
Data Center Services	\$ 4,640,000	\$ 6,187,084
<b>Total</b>	<b>\$ 54,418,000</b>	<b>\$ 128,521,144</b>

### **6.3 Preventing Future Recurrence**

As part of the Condition for Approval #1. A (0530-211 CDSS CWS-NS SPR 3 Letter), this SPR is being prepared and submitted to reflect current timeline and budget estimates. Following the approval of this SPR, the Project will be submitting annual IPRs in accordance with new CDT guidelines for reportable agile projects. In addition, the Project continues to collaborate with the CDT Independent Project Oversight (IPO) to establish new quarterly reporting per SPR 3 Condition for Approval #1. B, with the first quarterly report planned for formal submission to CDT in July 2021.



## 6.4 Impact of Proposed Change on Project

The proposed project changes resulted in impacts related to procurements, schedule, budget and the implementation approach that the Project will employ.

The CWS-CARES Path Forward agreement initiated a reset of the primary CWS-CARES procurements, mainly to:

- Modify procurements to expand competition and encourage cost and schedule efficiencies
- Add an additional independent advisory role
- Shift the lead role in discussions with Salesforce to the CDT with the goal of a statewide contract
- Transfer responsibility for data conversion work to the PaaS SI vendor

Four primary vendors will support the State in delivering the CWS-CARES. These vendors include PVS, PaaS SI, CDI Services and an Independent Advisor.

The PVS vendor will focus on the CWS-CARES Business Architecture. This vendor will provide research, service design, experience design, business (primarily rules) analysis and data science expertise to Product Delivery Teams and fulfill two key responsibilities:

- Represent and advocate for the State's program goals for the CWS-CARES
- Align the Product Roadmap with program goals (product value) and the CWS-CARES Product Development Guiding Principles

The PaaS SI will focus on the CWS-CARES Solution Architecture and delivery. This vendor will provide product strategy, architecture, engineering and (Salesforce-focused) design expertise to Product Delivery Teams and fulfill three key responsibilities:

- Be the primary systems integrator and deliver a complete CCWIS, including both the Salesforce and CDI components that work together architecturally, technically and functionally
- Deliver converted, cleansed data of sufficient quality to support the administration of child welfare through the lens of new CWS-CARES product features
- Set up, maintain and operate the CWS-CARES delivery pipeline (all environments), including both the Salesforce and CDI components

The CDI vendor will provide data architecture and engineering expertise to Product Delivery Teams and fulfill two primary responsibilities:

- Set up, maintain and operate the CDI as the data platform for the CWS-CARES
- Use CDI-based tools to build selected CDI data services, including metric calculation logic, reports and data exchange APIs

The Independent Advisor will use data and insights to independently assess if the CWS-CARES Project is on track to deliver a service that meets or exceeds the CWDS goals and user needs, and to provide related guidance and recommendations to the Project Team, the ELT and the BOD.

The proposed project changes impacted the schedule in that the Project will now deploy functionality to Production incrementally, beginning with a greenfield module, followed by CARES V1, and extended functionality in CARES V2. The greenfield concept caused a redirection of focus by the Product Development Chief and Service Managers to provide an analysis of greenfield module candidates by December 31, 2020, along with a final recommendation one month after the CARES vendors are onboarded. Due to the complexity and cost of automated data synchronization between CARES and CWS/CMS, the Project will test this new approach combining Salesforce PaaS-based applications and CDI via this greenfield module. The greenfield module does not depend on automated data synchronization with legacy systems.

The budget is impacted by the project changes because the Project must demonstrate progress and success in meeting commitments prior to approval of funding in future budget years.

The proposed project changes have a significant impact on the Project's implementation approach as well. The Project learned in the past that deploying to the counties incrementally is a major undertaking that requires thoughtful planning and organization readiness activities. Although the greenfield module will be deployed to a set of pilot counties initially, the State implementation staff will require assistance; therefore, the procurement for the Implementation Services contract will be acquired earlier than originally anticipated.

Throughout the development phase, the Project will identify opportunities to iteratively deploy non-core or non-high-risk functionality into Production outside the three schedule deployments to Production. If an opportunity is identified, the project schedule will be updated to account for the impacts of an additional deployment to Production. While the CWS-CARES Product Roadmap shows a non-core or non-high-risk functionality "track," as a placeholder for opportunities to deploy to Production along the way this work has not been added to the project schedule.

## **6.5 Implementation**

### **6.5.1 CWS-CARES**

During the planning phase, the Project re-evaluated how the CWS-CARES will be implemented statewide. This work began with the development of a visioning guide and formal project charter which identifies in totality what will be included and defined in the new CWS-CARES Master Plan for Implementation, which is in the early stage of development. The CWS-CARES Master Plan for Implementation will explain in detail how the CWS-CARES will be implemented statewide. The plan will also address how organization readiness will be assessed for each county.

Prior to the implementation of the CWS-CARES, the Project will focus on developing the following sections within the plan, for ensuring a successful implementation, with acceptance and buy-in from counties and child welfare workers.

- **Desired Outcomes:** Define how the CWDS will support organizational readiness activities along with training activities so that county personnel are confident and well prepared to begin using the CWS-CARES. Engage with all 58

counties to identify their goals and objectives, while establishing metrics for tracking usage patterns after deployment. Document this information in each individual county charter.

- **CWDS Support Model:** Identify how the CWDS will ensure that users have the support needed for a successful implementation, including OCM, CDSS Policy, Training, etc.
- **CWS-CARES Supported Entities:** Identify and understand all the user groups that will be using CWS-CARES and/or receiving data from the CWS-CARES (reporting).
- **Current State Assessment:** The CWDS will complete assessment(s) on different user sets to determine how the CWS-CARES is used with a focus on Probation and child welfare workers. This will also include an organization wide assessment to observe what the required needs and dependencies are shared between users (county to county, county to courts, courts to probation, etc.). Finally, we will perform strength and needs assessments with all user groups to identify what needs to be completed for there to be a high user adoption of the CWS-CARES.
- **Monitoring and Communicating Changes:** As the Project begins the development of the CWS-CARES there will be an ongoing focus to embed staff that are familiar with the CWS/CMS to track and catalog process and practice changes that the CWS-CARES will introduce to users. This also includes adding business analysts, CDSS Policy and Core Constituent roles into the development process. With the added resources, the project will identify what practices may change from the emerging value that is being added with the CWS-CARES and incorporate this information into training and implementation activities.
- **User Feedback leveraging the CWS-CARES “Sandbox” environment:** The Sandbox environment will provide users the ability to work with the newly developed functionality prior to release to Production so that they can provide feedback and assess impacts to their current business processes. The focus of this section will be on the scope of county engagement, defining the user feedback process and managing county activity - preparation and scheduling.
- **CWS-CARES Cutover Plan (Statewide Release):** Identify how the CWS-CARES will be released statewide. This will be addressed based on the results from the strengths and needs assessments from counties with focus on county drivers and dependences that counties may have. There will be ongoing work with the CWDA, CDSS, and Core Constituents on developing the approach CWS-CARES will use for the statewide release.

As the Project continues to work on the CWS-CARES Master Plan for Implementation, these sections will be further developed to include detailed and measurable criteria

### 6.5.2 CARES-Live

While the Project is developing CWS-CARES, the Implementation team will continue to support CARES-Live and the counties in many ways including:

General implementation:

- Provide regular communications including hosting a bi-weekly meeting

- Facilitate county questions and concerns regarding CARES-Live adoption
- Maintain the CARES Implementation Portal content

Training:

- Support the administration and management of the CARES-Live Training Environment
- Maintain and update training materials

Organizational Change Management (OCM):

- Promote and encourage CARES-Live adoption and usage

This work will be ongoing through the release of CWS-CARES.

Due to the county's perspective of the value that CARES-Live provides, the BOD made the decision on February 20, 2020 to continue support for CARES-Live in production. As a result, CWDS remains committed to supporting the integrity of the existing CARES-Live system, with an emphasis on increasing system efficiency for all users, with no plans for new functionality or features.

## **6.6 Accessibility**

No change from approved SPR 3.

## **7.0 Updated Project Management Plan**

The Project updated existing project management plans to align with the build of the CWS-CARES application in Salesforce, and the establishment of the CDI.

The project management plans that can be found as attachments are listed below:

1. Change Management Plan (Attachment 20)
2. Communication Management Plan (Attachment 18)
3. Contract Management Plan (Attachment 12)
4. Data Conversion Plan (Attachment 7)
5. Decision Making Framework (Attachment 11)
6. Governance Management Plan (Attachment 10)
7. Procurement Management Plan (Attachment 19)
8. Product Management Plan (Attachment 6)
9. Risk and Issue Management Plan (Attachment 15)
10. Schedule Management Plan (Attachment 17)
11. Vendor Management Plan (Attachment 13)

Going forward, all plans will be evaluated regularly for any changes that may be required. Additionally, the Project will provide the plans to the vendors shortly after contract execution in order to discuss expectations, confirm assumptions and make enhancements to the plans, as appropriate.

## **7.1 Continued Support for CARES-Live**

While the Project transitions to the Salesforce solution, the existing CARES-Live application, consisting of the CANS tool, Facility Search, and Snapshot product feature sets, will continue to receive support from CWDS and remain in Production for county use. This decision was made by the CWDS BOD on February 20, 2020 due to the

County's perspective of the value that CARES-Live provides. The Project remains committed to maintaining the integrity of the existing CARES-Live system, with an emphasis on enhancing technical maintenance and operations efficiency as well as system security. The Project will also continue with CARES-Live implementation and adoption efforts by facilitating learning opportunities and providing demonstrations. CARES-Live functionalities will ultimately be built in CWS-CARES using the new solution. When that is accomplished, CARES-Live will be decommissioned.

## 7.2 Approach to Security

The CWS-CARES approach to security is based on SAM 5305 and Statewide Information Management Manual (SIMM) 5305C policies and standards.

CWDS supports both operational security of the current CWS-CARES system, development activities for enhancements and future releases of CWS-CARES, and a planned migration to a PaaS as part of a Rapid Application Development strategy.

The following sections below describe the strategy for system security and disaster recovery.

### 7.2.1 System Security

The Project adheres to the requirements to meet both state and federal regulations related to security, confidentiality and auditing during the development, implementation, and operation phases of the Project. The CWS-CARES system will require compliance with the specifications of the following publications:

- Standards for Security Categorization of Federal Information and Information Systems (Federal Information and Processing Standards (FIPS) Publication 199);
- Security Requirements for Cryptographic Modules (FIPS Publication 140-2);
- Minimum Security Requirements for Federal Information and Information Systems (FIPS Publication 200); and
- Recommended Security Controls for Federal Information Systems (National Institute of Standards and Technology (NIST), Special Publication 800-53).

Since the information stored in the CWS-CARES is highly sensitive and confidential, security is a critical requirement. Only users with proper authorization, password, and, where appropriate, computing device identification clearance shall be allowed to view, change, or in any way update the CWS-CARES data. The CWS-CARES data and the repository will adhere to access on the principle of "need to know" basis.

The CWS-CARES will include both centralized and local administration of security features that include:

- **Access management and control.** Access management and control includes establishing user accounts based on job role(s), auditing user accounts, controlling and managing user access, establishing and resetting passwords, and auditing user activity. The CWS-CARES will include Role-Based Access Control (RBAC) and any application-oriented user access management practices and tools and will follow the NIST guidelines for RBAC.

- **Role/profile management.** Role/profile management includes the administrative setup of the various roles in the CWS-CARES and the privileges associated with each role. Each specified user is assigned a unique user identifier by the CWS-CARES.
- **Security monitoring and auditing.** This includes security tools for recording correlating system events and alerting for appropriate action.
- **Alerts and notifications.** The CWS-CARES Security Incident and Event Monitoring System provides automated alerts, related to suspicious or unusual activity, to the security administrator.
- **Encryption.** The CWS-CARES will comply with all encryption requirements commensurate with the data categorization. Encryption will meet requirements specified in FIPS Publication 140-2, "Security Requirements for Cryptographic Modules".

### **7.2.2 Disaster Recovery and Business Continuity**

It is critical that procedures and facilities be in place to ensure that, in the event of a disaster or major problems, a mechanism exists to be able to recover from any disruption in service regardless of the level of severity. Adequate backup and recovery mechanisms must be incorporated at all levels that meet the requirements of the CWS-CARES.

The State will require Disaster Recovery and Business Continuity plans as part of the Salesforce Licenses/subscription and CDI Services procurements. The Disaster Recovery Plan for the CWS-CARES and all related applications governs roles, responsibilities, processes, and procedures for how to plan, manage, and execute backups, restores, disaster recovery processes, alternative site failover, and day-to-day operations.

In addition, the Institute of Electrical and Electronics Engineers standards for backup, restore, and disaster recovery objectives and processes must be referenced and must be used throughout the life of the contract. The CWS-CARES system will require compliance as follows:

#### **Contractor Responsibilities:**

Develop a Disaster Recovery Plan for the CWS-CARES and all related applications that include the following main components:

- Supporting information including an introduction and concept of operations (system description, roles/responsibilities, and lines of succession).
- Notification/activation phase including notification procedures, damage assessment, and plan activation.
- Recovery phase, including sequence of recovery activities and recovery procedures.
- Reconstitution phase including restore original site, test systems, and terminate operations.

- Maintenance/testing including frequency of maintenance/testing and testing objectives with pass/fail criteria.
- Plan appendices including contact information (personnel and contractors), system requirements (hardware/software lists including models, versions, specifications, and quantities), contractor service level agreements, standard operating procedures, and vital records.

**The Disaster Recovery Plan should be written to support the following worst-case scenarios:**

- Loss of Contractor worksite (including the identification of an alternate worksite for personnel).
- Loss of Contractor staff (e.g., pandemic influenza).
- Loss of critical system (equipment/software failure) which should include failover to the statewide disaster recovery facility.

Participate in an annual State disaster recovery exercise pursuant to the Statewide Information Management Manual 5325.

**Contractor Deliverables:**

The Contractor must deliver the following items to the State through the life of the contract:

- Disaster Recovery Plan Assessment
- Disaster Recovery Development Deliverable
- Failover/Disaster Recovery Test Plan
- Disaster Recovery Plan Checklist
- Identification of the disaster recovery team and contact list
- Recovery operations process
- Procedures for the establishment of an alternate site, including voice, data communication, mail, and support requirements
- Plans for replacement of computer equipment
- Establishment of a system backup schedule
- Procedures for storage and retrieval of software, data, documentation and vital records off-site
- Logistics of moving staff, data, documentation, etc.

**Performance Measures:**

Performance will be measured based on verification that the disaster recovery plan is adequate to restore critical operations of the system in the case of an extended system outage.

**Monitoring:**

Through active participation in the disaster recovery testing and deliverable review, the State will monitor the Contractor's performance.

**State Responsibilities:**

- Designate a State lead to work with the Contractor on all matters related to this task area.
- Review and approve each deliverable as listed above.
- Review and approve the Disaster Recovery Plan and Test Plan and will make recommendations if needed.
- Verify the Disaster Recovery Plan is adequate to restore critical operations of the systems in the case of an extended system outage and will also validate and approve the recovery operations procedures.

The PaaS SI vendor is responsible for the overall DR Plan and ensuring that CDI DR supports and works in conjunction into the overall plan. The contractual obligation is generally defined in the OSI Special Provisions which states the following:

*The Contractor shall establish a documented plan to enable continuation of critical business processes and protection of the security of PI in the event of an emergency. An emergency is an interruption of business operations for more than 24 hours. The documented plan shall be provided to the OSI ISO.*

### **7.3 Project Management Methodology**

CWS-CARES uses the Agile methodology in conjunction with a project management methodology based on project requirements outlined in the Department of Technology's California Project Management Framework (CA-PMF), Project Management Body of Knowledge (PMBOK) and key aspects of California Agile Framework (CA-Agile) that have been adopted by the Project.

### **7.4 Project Plan**

#### **7.4.1 Project Scope**

There are no changes in the scope of the project. Potential legislative impacts to the scope are routinely and closely monitored by the project's CDSS Policy Team and will be included in the product development process.

#### **7.4.2 Project Assumptions and Constraints**

The following project assumptions and constraints are used to record the rationale used in planning and conducting project activities. Only changes/additions to assumptions and constraints noted in the FSR are included below.

The assumptions and constraints for this SPR include the following:

#### **Budget**

- The Administration and Legislature will approve OSI and CDSS annual budget requests for the resources proposed in this SPR.

#### **Schedule**

Meeting the revised schedule's major milestones for SPR 4 are contingent upon:

- Roadmap priorities are not impacted by unanticipated issues;



- External entities' ability to meet their project responsibilities in a quality and timely manner;
- Effective execution of informal and formal reviews and approvals of project documents by CDSS, OSI, State control agencies, and ACYF;
- Budget approval of State and contract resources, including timeliness of procurements; and
- Stakeholder priorities remain the same.

### **Resources and Stakeholders**

- CDSS, OSI and CWDA can recruit and hire project staff at a satisfactory level of knowledge and experience
- Stakeholder engagements are coordinated timely in conjunction with the Service Delivery Lifecycle

### **Procurement Schedule**

The PaaS Systems Integrator procurement schedule was developed with the following assumptions; however, the procurement schedule has been updated as the procurement progressed:

- This procurement is a top priority to OSI CWDS Leadership as this is one of the four primary vendors, and project resources will be dedicated as such.
- The solicitation was developed in collaboration with CDT STP and submitted to Administration on Children, Youth and Families (ACYF) Federal oversight on November 2020.
- The firm mandatory qualifications were developed to ensure that the most qualified vendors responded to the solicitation.
- There are four phases in this procurement process with ongoing discussions and negotiations through each phase.
- POC will take place in Phase 2 which will be used to demonstrate the capabilities of the firm and its proposed tools to meet the State's CWS-CARES needs.
- There will be no more than three vendors during the Best and Final Offer (BAFO), Phase 4.
- It is unlikely that second and third round BAFO is needed.
- Federal oversight approval is required prior to contract award.

The schedule to procure PaaS Licenses was developed with the following assumptions; however, the procurement schedule has been updated as the procurement progressed:

- The decision of the PaaS would be approved by the Board of Directors and by CDT via the Limited to Brand Justification.
- The Project will utilize the Software License Program (SLP) leveraged procurement vehicle. To ensure efficient use of the State's purchasing power, the California Department of Technology will negotiate rates and terms for this procurement on behalf of the State.

- The timing of the procurement will align with the PaaS SI procurement and vendor onboarding.
- Federal oversight approval is required prior to contract execution.

The Product Value Services (PVS) procurement schedule was developed with the following assumptions:

- This procurement is a top priority to OSI CWDS Leadership as this is one of the four primary vendors, and project resources will be dedicated as such
- The procurement vehicle is a Request for Offer (as opposed to the 6611 Solicitation) due to the nature of the resource augmentation.
- The solicitation was developed in collaboration with CDT STP and submitted to Administration on Children, Youth and Families (ACYF) Federal oversight in November 2020.
- Federal oversight approval is required prior to contract execution.

The CARES Data Infrastructure (CDI) schedule was developed with the following assumptions:

- This procurement is a top priority to OSI CWDS Leadership as this is one of the four primary vendors, and project resources will be dedicated as such.
- The solicitation was developed in collaboration with CDT STP and submitted to Administration on Children, Youth and Families (ACYF) Federal oversight November 2020.
- Based on guidelines from CWDS, the CDI vendor will propose a technical architecture for CDI utilizing state-recommended software toolsets. CWDS will evaluate these recommendations based on the extent to which they address our technical needs, the level of effort for maintenance of the recommended components and the cost.
- There are four phases in this procurement process with ongoing discussions and negotiations through each phase.
- POC will take place in Phase 2 which will be used to demonstrate the capabilities of the firm and its use of the state-recommended software toolsets to meet the State's CWS-CARES needs. There will be no more than three vendors during the Best and Final Offer (BAFO), Phase 4.
- It is unlikely that second and third round BAFO is needed.
- Federal oversight approval is required prior to contract execution.

The Independent Advisor procurement schedule was developed with the following assumptions:

- This procurement is a top priority to OSI CWDS Leadership as this is one of the four primary vendors, and project resources will be dedicated as such
- The procurement vehicle is a Request for Offer (as opposed to the 6611 Solicitation) due to the nature of the resource augmentation.
- The solicitation was developed in collaboration with CDT STP and submitted to Administration on Children, Youth and Families (ACYF) Federal oversight in November 2020.
- Federal oversight approval is required prior to contract execution.

### 7.4.3 Project Roles and Responsibilities

Agile principles require management from a functional matrix perspective; therefore, the project has implemented a functional matrix in lieu of a traditional organizational chart. All the CWDS resources have been assigned to support one of these functions as their primary responsibility but may provide support to other functions as a secondary responsibility. Table 8: Functional Project Organization depicted below provides a description of each functional group. Attached is the CWDS Resource Allocation and Matrix, Attachment 21 for further information.

**Table 8 – Functional Project Organization**

Project Unit	Description of Work
Plan Management and Project Reporting	<p>The Plan Management and Project Reporting is responsible for a range of project support activities:</p> <ul style="list-style-type: none"> <li>○ Develops or monitors development of Project Plans for inclusion in the master Project Management Plan;</li> <li>○ Develops and executes the methodology to monitor Project Plans for quality, effectiveness and compliance, including identifying any variances from the plan. Such variances are assessed with appropriate project staff for reasonable edits or updates to the plan, or reported to Project leadership if escalation is appropriate;</li> <li>○ Supports the Project Integration unit to prepare and submit federal APD for the CWS-CARES Project and takes a lead role in preparing the CWS/CMS APD Updates, as well as tracking conditions placed upon the project by federal oversight;</li> <li>○ Prepares state reporting for the following entities: CDT Oversight, the Legislature, California Health and Human Services Agency, and the CWDS BOD;</li> <li>○ Manages the CWS-CARES Project Risks and Issues, including development of mitigation strategies and proposing alternatives for resolution; works with the assigned owners until closure;</li> <li>○ Monitors the CDT Oversight and IV&amp;V findings/observations; work with project team members to prevent such findings from becoming a risk or issue;</li> <li>○ Monitors the Project Roadmap milestone progress;</li> <li>○ Manages the Decision-Making Framework (DMF) to ensure adherence of the overall process framework, logging of decisions (per the DMF guidelines), and preparing reports for ELT and BOD;</li> <li>○ Maintains the Project Document Repository, a master reference of where project artifacts may be found;</li> <li>○ Maintains project wide functional organizational chart;</li> <li>○ Administers project SharePoint pages and access;</li> <li>○ Tracks and reports project vacancy levels;</li> <li>○ Maintains the Lessons Learned Repository and Project Glossary.</li> </ul>

Project Integration	<p>Project Integration is responsible for the overall CWS-CARES project management with respect to the master project schedule, identifying and monitoring key project dependencies, administration of Jira, and managing sub-projects that are critical to overall project success.</p> <p>Key project activities include:</p> <ul style="list-style-type: none"> <li>○ Partners closely with the Plan Management and Project Reporting unit to prepare and submit federal APDs;</li> <li>○ Contributes to state project reporting documents;</li> <li>○ Manages project scope and approach in terms of strategic alignment/benefits realization;</li> <li>○ Identifies, mitigates and manages cross-functional team dependencies and projects risks, escalates to project leadership as appropriate;</li> <li>○ Develops, monitors and maintains the master project schedule;</li> <li>○ Configures and administers the Jira project management tool in all facets: user and system management, reporting, training, tool integration, standardization and support;</li> <li>○ Manages sub-projects that are critical dependencies to the overall CWS-CARES Project;</li> <li>○ Collaborates with Project Delivery and other areas within the project to ensure that the Jira configuration meets business needs (e.g., SDLC and Vendor/Contract Management);</li> <li>○ Represents project management on Delivery Central.</li> </ul>
Communications and Organizational Change Management (OCM)	<p>The Communications and OCM Unit is responsible for providing accurate and consistent messaging regarding the CWS-CARES Project to stakeholders, customers and critical partners. This unit also supports the OCM within the project team to ensure successful execution of key planned activities. The OCM efforts in support of internal project changes are separate and distinct from the external OCM efforts by the Implementation vendor that are intended to assist counties during implementation readiness activities of CWS-CARES.</p> <p>Key project activities include:</p> <ul style="list-style-type: none"> <li>○ Initiating Internal Project Communications through various channels to: <ul style="list-style-type: none"> <li>▪ Project Staff</li> <li>▪ Core Constituents</li> </ul> </li> <li>○ Assist with Stakeholder Project Communications, in collaboration with the Plan Management and Project Reporting unit, Customer Relations and Service Managers on the Product Delivery Team) to: <ul style="list-style-type: none"> <li>▪ Oversight Stakeholders (federal and state critical partners)</li> <li>▪ County Child Welfare</li> <li>▪ County Probation</li> </ul> </li> <li>○ Coordinate Project Communications and content to be displayed on the CWDS Website, in collaboration with Customer Relations;</li> <li>○ Provides administrative support to the Executive Leadership Team</li> <li>○ Provides support in all OCM efforts that are internal to the project team;</li> </ul>

	<ul style="list-style-type: none"> <li>○ Develops and maintains the CWS-CARES Project's <i>Change Roadmap</i>, which is a depiction of all internal project OCM efforts;</li> <li>○ Coordinates with the CDSS to schedule the Quarterly Legislative Briefings, and supports ELT to develop the presentation (e.g., slide deck).</li> </ul>
<p>Budget and Administrative Services</p> <ul style="list-style-type: none"> <li>• Budget</li> </ul>	<p>This unit is comprised of both Budgets and Administrative Services. The Budget section performs all activities related to budget planning, monitoring, expenditure approval, tracking, monthly expenditure reconciliations and fiscal projections. This unit is also responsible for maintaining supporting documentation that substantiates the figures for the development of state and federal reporting and budget documents, such as Special Project Reports, Budget Change Proposals, Spring Finance letters, Legislative Updates, and federal APDs. The Budget Manager collaborates with ELT, primarily the OSI Project Director, on strategic and allowable uses of state and federal project funds.</p>
<p>Budget and Administrative Services</p> <ul style="list-style-type: none"> <li>• Administrative Services</li> </ul>	<p>The Administrative Services section is responsible for project support in the following areas:</p> <ul style="list-style-type: none"> <li>○ Liaison to OSI Human Resources Division (HRD) - works directly with CWDS hiring managers to prepare recruitment packages, interviews and hiring activities to fill vacancies; facilitate on and offboarding of State and contractor staff;</li> <li>○ Monitors vacancies and Project position control; conducts analysis to ascertain recruitment and hiring challenges; monitors adherence of OSI attendance and timekeeping rules;</li> <li>○ Collaborates with OSI HRD in the development and maintenance of the Recruitment and Hiring Plan, as well as Retention and Succession Planning;</li> <li>○ Liaison to the OSI Business Services Office (BSO) – handles urgent facility requests and coordinates operational facility requests with the OSI BSO; conducts facility planning and manages all staff movement within the building;</li> <li>○ Responsible for booking travel and tracking travel expenditures, ordering and monitoring project supplies, records retention, mail delivery and distribution;</li> <li>○ Project Training Liaison – helps identify and schedule training to meet project business needs, tracks training expenditures, and prepares projections;</li> <li>○ Coordinates internal initiatives related to project staff (e.g., new employee orientation);</li> <li>○ Provides administrative support to the CWDS leadership.</li> </ul>
<p>Vendor and Contract Management</p>	<p>The Vendor and Contract Management team is responsible for the following:</p> <ul style="list-style-type: none"> <li>○ Develop and maintain the Procurement Management Plan;</li> <li>○ Develop and maintain the Contract Management Plan;</li> <li>○ Develop and maintain the Vendor Management Plan;</li> </ul>

	<ul style="list-style-type: none"> <li>○ Provide vendor and contract management training to Project staff, particularly State Functional Managers (reference Contract Management Plan and Vendor and Contract Management Plan);</li> <li>○ Perform two key roles in the CWDS Vendor and Contract Management model: 1) State Contract Manager and 2) Contract Analyst, who serves as support to the State Functional Manager and is responsible for coordinating Work Order Authorizations, analyzing and monitoring expenditures, onboarding/offboarding resources, and monitoring vendor performance and contract compliance;</li> <li>○ Facilitate and manage the preparation of procurement documents;</li> <li>○ Manage procurements through contract execution;</li> <li>○ Ensure all procurements and contracts adhere to applicable state and federal procurement rules, policies, and regulations.</li> </ul>
Product	<p>Core to the CWS-CARES Project is Product strategy and delivery, set in motion by the Product Delivery Team(s) and supported by Delivery Central. The manner in which these groups operate together for the day-to-day project activities is described in the Product Management Plan. Key project activities for these groups, as they relate to the stages of the SDLC, are as follows:</p> <ul style="list-style-type: none"> <li>○ Maintain top-level Product Blueprint and Domain Model – Capture the top-level scope for the CWS-CARES by diagramming to-be workflows (activities and decision points), split the flows into product building blocks, and define key domain concepts and relationships;</li> <li>○ Maintain Product Roadmap –Sequence and combine building blocks into TIs and group Tis into Milestones with clear value themes;</li> <li>○ Set Policy/Program/Practice guideposts for each prioritized building block; in concert with the CDSS partners, reach shared understanding of program goals and the ICPM behaviors that come into play; develop Value Hypothesis that links program goals and practice behaviors to child/family outcomes; identify product features with potential to support program goals and reinforce practice behaviors; analyze user pain points to identify opportunities; define data elements and metrics required for compliance and analytics;</li> <li>○ Perform service blueprinting and prototyping, refine and extend the domain model, specify business rules and metrics, specify conversion and cleansing logic to test in the Staging environment;</li> <li>○ Deliver TIs and Milestones to the Staging environment to invite user feedback on both product features and converted/cleansed data for iteration;</li> <li>○ Deploy stabilized TIs/milestones to the Sandbox environment to assess operational readiness.</li> </ul>

	<ul style="list-style-type: none"> <li>○ Deploy greenfield feature sets to Production environment based on ongoing assessment of value, risk and operational readiness.</li> </ul> <p>Throughout the SDLC, Delivery Central provides the following services to Product Delivery Team(s)</p> <ul style="list-style-type: none"> <li>○ Product dependency tracking within and across TIs/milestones.</li> <li>○ Configuration and management of primary delivery tools, such as Jira, Confluence, and Sparx EA.</li> <li>○ Architectural steering, especially with respect to the evolution of the CWS-CARES Domain Model, trade-offs across Salesforce and the CDI and the balance between configuration/declarative development and custom coding and conformance with the CCWIS design requirements.</li> <li>○ Technical input, in consultation with the Director of Product, on the Playbook and Tactical Guides.</li> <li>○ Resolution of issues blocking the Product Delivery Team(s), with escalation to the ELT as warranted. Maintenance of Product and Architecture Decision Logs.</li> </ul>
Quality Assurance Engineering/ Testing	The Quality Assurance (QA) Engineering Team provides technical and procedural quality assurance support throughout the CWS-CARES SDLC. This team also provides continuous support to the existing CARES-Live to ensure a heightened level of validation that thoroughly vets functionality. The QA Team continually researches test management tools, methods, and procedures to adopt in its existing suite of tools and collaborates with project team members on the approach, development, and implementation of each system and data environments.
Web Team	The Web Team is a unit within the Customer Relations section that works in close collaboration with the Customer Relations and Communication teams as well as other areas of the Project to determine content for the CWDS website. The Web Team is responsible for performing all aspects of design, analysis, development, testing, implementation, and maintenance of the CWDS website.
Technology Team	The Technology team is responsible for the technical development and delivery of CWS-CARES on Salesforce and the CDI. This includes application, system and infrastructure (including network) architecture. This team is also responsible for the M&O of the CWS-CARES development pipeline and providing operations support for both the Salesforce platform and the CDI.
IT Operations	IT Operations provides a variety of services to the CARES-Live project. This team supports existing CARES-Live Production and non-Production environments and related infrastructure and network to ensure reliable uptime. They also work with developers to resolve production issues and deploy new approved CARES-Live product code and security requirements to Production in a timely manner. The team also decommissions and removes no longer needed and

	non-essential infrastructure and environments when new platform is ready to prepare for smooth transition to the new platform and at the same time reduce current IT operation expenses and cost.
Customer Relations	<p>Provide Customer Support for the CWS/CMS, CWS-CARES, and CARES-Live users, including external project communications:</p> <ul style="list-style-type: none"> <li>○ Respond and/or facilitate, in coordination with the other CWDS staff, email or phone inquiries directed to Customer Relations;</li> <li>○ Resolve general questions about the CWS/CMS, CARES-Live, and CWS-CARES Project support tools available to stakeholders (e.g., CWDS website information, Implementation Portal);</li> <li>○ Facilitate county issue resolution or escalation, share out county feedback on the CWS/CMS, CARES-Live, and CWS-CARES Project;</li> <li>○ Maintain and foster relationships, in partnership with the Implementation Team, with the CWS/CMS, CARES-Live, and CWS-CARES stakeholders;</li> <li>○ Facilitate county requests for onsite visits;</li> <li>○ Manage and maintain a repository of useful data such as 'county profiles, visit summaries for the CWDS Project consumption;</li> <li>○ Support project staff stakeholder outreach need, in collaboration with the Implementation, Service Desk Infrastructure, and Communications teams (e.g., surveys, stakeholder input, follow up action items);</li> <li>○ Manage the Stakeholder Relation Plan;</li> <li>○ Foster stakeholder/user involvement with the CARES-Live and CWS-CARES Production efforts;</li> <li>○ Support the execution of the CWS-CARES Implementation strategies and plans with stakeholders.</li> </ul> <p>The Customer Relations Team collaborates with the Communications team to manage external communication relative to the CARES-Live production related messaging (Bulletins, Release Notes for Hot Fixes, CARES-Live maintenance activities). Customer Relations also participates in the monthly CWS/CMS Regional User Group meetings to provide updates on the CWS/CMS, CARES-Live, and CWS-CARES project activities.</p>
Implementation and Training	<p>The Implementation team is responsible for creating and executing the project's Master Plan for Implementation which includes implementation readiness tasks, training and OCM in the counties. Major activities include the following:</p> <ul style="list-style-type: none"> <li>○ Inventory county readiness dependencies &amp; track county readiness progress</li> <li>○ Create and execute on an implementation and rollout strategy</li> <li>○ Create training material</li> <li>○ Provide and facilitate train-the-trainer training sessions</li> <li>○ Identify and document as-is and to-do business processes and impacts</li> </ul>



	<ul style="list-style-type: none"> <li>○ Support organizations with OCM</li> <li>○ Maintain the CWDS Implementation Portal</li> <li>○ Respond and/or facilitate, in coordination with other project staff, email or phone inquiries directed to the Implementation team;</li> <li>○ Facilitate county issue resolution or escalation related to Implementation and training;</li> <li>○ Maintain and foster relationships with users and stakeholders, in partnership with the Customer Relations Team, the Communications team and Service Desk.</li> </ul> <p>In coordination with the Service Desk team, the Implementation team monitors metrics related to implementation and user adoption. The Implementation team also sends survey to user groups to gauge and understand implementation system adoption and OCM needs.</p> <p>In coordination with Project staff, the Implementation team is responsible for the development and deployment of a Training Environment, as well as the CWS-CARES Sandbox Environment. This team is also responsible for planning all activities for stakeholder engagement relative to the deployment and facilitation of the Sandbox and Training Environments. This includes outlining how stakeholders will engage with the Sandbox Environment and the process of facilitating stakeholder feedback. This effort will include the development of instructional processes and user training on how to use the Sandbox and Training environments.</p> <p>In order to evaluate current and create the future CWS-CARES implementation strategy approaches that may be impacted by the CWS-CARES development approach, the Implementation Team will be involved in the SDLC.</p>
<p>Service Desk</p>	<p>The Service Desk participates in business process development to assist in the development of an integrated approach for development, maintenance and support of the transition to the Salesforce platform, including business processes, workflows, and continuous service improvement.</p> <p>The Service Desk will explore and discover tools and skillsets to determine what technologies and training the Service Desk staff will need to meet the needs of the transition to Salesforce. In the interim, the Service Desk continues to serve as front line customer support to the existing CARES-Live users, monitor CARES-Live usage with the New Relic tool, and manage open tickets to closure by working closely with IT Operations and the Product Maintenance and Operation teams. The Service Desk is responsible for the establishment and ongoing maintenance of Service Now, a critical tool in ITIL established processes for incident, problem and change management.</p>

Information Security	<p>The Information Security team’s primary charter includes maintenance and/or establishment of secure posture for the various projects. Key tasks include:</p> <p>This includes developing the governance, policy, procedure, ServiceNow integration to support account/access management based on role and job function. The team will also work on the</p> <ul style="list-style-type: none"> <li>○ Integration of Security Information and Event Management tool and Splunk into the CWS-CARES environment</li> <li>○ Incident Response – governance, policy, procedures, plans</li> <li>○ Vulnerability Management – vulnerability scanning and remediation</li> <li>○ Penetration testing – perimeter (infrastructure) and application</li> <li>○ Information Security Program metrics and measurements</li> <li>○ Engineering/Architecture in Salesforce/CDI focused on security</li> <li>○ Configuring and testing End-point protection (cloud infrastructure)</li> <li>○ Policy development to meet state and federal policy and regulations</li> <li>○ Security audits</li> <li>○ Development of System Security Plan</li> </ul>
CDSS – Child Welfare System Branch	<p>The Child Welfare System Branch (CWSB) is a program partner within the CWDS organization, and the branch is responsible for the development and implementation of the CWS-CARES. The branch's primary function is to ensure compliance of the CCWIS requirements, and that CWS-CARES is developed with an outcomes-focused approach to significantly improve the timely delivery of services and supports for children, youth, and families. The CWSB has four main areas that provide support as follows:</p> <ol style="list-style-type: none"> <li>1) The Fiscal Services Unit is responsible for the financial activities that support the planning and development of the CWS-CARES. The Fiscal Services Unit’s primary focus is to be apprised of the requirements for and the potential impacts of new and proposed legislation for the development of the financial management module within the system. Other general responsibilities include budget, expenditure tracking, reporting, interagency agreement management, developing/updating fiscal policies, and review of fiscal documents (e.g., Feasibility Study Reports, Budget Change Concepts, Budget Change Proposals, Special Project Reports, Advance Planning Documents).</li> <li>2) The CWS Support Unit assists and supports the CWSB with all administrative functions and serves as liaison to the OSI and CDSS headquarters and other Project partners, as appropriate. Additionally, the team provides guidance to the branch in meeting federal accessibility standards, state training standards and requirements, assists with Public Records Act requests, and serves as the main point of contact for regular regional and state level meetings. The support team works to ensure consistent information channels are set in place and that requests for</li> </ol>

	<p>improving the CWS-CARES are shared with the CWDS Project partners and responded to as needed.</p> <ol style="list-style-type: none"><li data-bbox="509 226 1468 953">3) The Program Policy Unit serves as the state's SMEs in the federal CCWIS regulations. The unit communicates legislative changes and county letter directives to the project, coordinates resolution of the CWS-CARES policy issues at the state, county and department level, and provides state and federal regulations and recommendations for the proposed CWS-CARES features. The unit is also responsible for leading the effort during the Discovery Phase (Discovery) of the Service Delivery Lifecycle to set policy, program, and practice guideposts for building blocks. This body of work requires the analysis and documentation of existing statute, regulations and county letter guidance for each of the building blocks. The unit works collaboratively with the project and subject matter experts in the development of the Value Hypothesis during the Discovery. The team is responsible for updating building block research materials as statute, regulation, and county letter guidance emerges or is amended. The team also prepares legislative analyses and proposals affecting the CWS-CARES and facilitates resolution of statewide program policy questions initiated by internal and external stakeholder.</li><li data-bbox="509 961 1468 1612">4) The Business Requirements and Data Unit works with the product delivery team on determining key performance indicators and ensuring all data elements are included into the blueprinting of the CWS-CARES. These efforts include ensuring CCWIS data meets federal and state regulations for mandatory reports and federal tracking. The unit collaborates with the Program Policy Unit to develop strategies to improve data integrity and review legislative proposals relevant to CWS-CARES. In addition, the unit conducts biennial Data Quality Reviews with county child welfare departments. The data team is central to making the CWS-CARES a CCWIS compliant system that supports data quality improvement, practice improvement and program evaluation. Other responsibilities include develop and maintain a workbook that includes all mandatory data elements for federal reports, inform policy by analyzing the CCWIS data to track outcomes for child safety, permanency, and well-being, and coordinate and monitor progress of the Data Governance Plan that establishes data accountability to ensure data quality.</li><li data-bbox="509 1621 1468 1942">5) Service Managers for the CALS, Case Management, Resource Management, Financial Management, and Data Management Digital Services are responsible for developing a vision for the software that will be developed to meet end users' needs. The Service Managers work directly with the product delivery team to articulate and establish prioritized product needs as features and user stories in Jira. The development of said features and user stories will then be validated by the internal and external SMEs and stakeholders, where Service Managers will facilitate the</li></ol>
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	ability to capture feedback on delivered software and make on-going determinations of additional feature requests.
CDSS Legal Counsel	Critical to protect the program sponsor's interests and provides legal counsel, advice, opinions, and support to ensure that the phases of planning, procurement, contracting, and implementation comply with State and federal regulations and laws. Advises the Program Sponsor, Project Manager, Program Manager, and Acquisitions Manager regarding statutory, regulatory, and program requirements impacting the Project or CDSS Operations.
County Consultant Subject Matter Experts	<p>The CWS program is State sponsored, and county administered. For this reason, it is necessary to contract with counties for business practice subject matter expertise.</p> <p>The CWDA Executive Liaison acts as a county representative and conduit between California counties, the CWDS, and sponsor. This executive level position has the knowledge and expertise to speak and make informed decisions on behalf of all the 58 county directors and ensures county interests are represented for issues related to the CWDS. Further, the CWDA Executive Liaison will validate that county-based business functional requirements are considered in development, planning, and decision-making. Finally, the responsibility includes coordination of communication between the CWDA, the counties, and the CWDS regarding application planning, development, implementation, maintenance, operation, and utilization.</p> <p>County representation is reflected at CWDS in following categories:</p> <ol style="list-style-type: none"> <li>1) Child Welfare Practice -</li> <li>2) County Information Technology (IT)</li> <li>3) Eligibility</li> <li>4) CWS/CMS Maintenance &amp; Operations</li> </ol> <p><u>County Leadership</u></p> <p>The County Leadership structure is comprised of Lead CWDA County Consultants who are subject matter experts (SMEs). They support the CWDA Executive Liaison in ensuring that the CWS-CARES planning activities continue to meet business needs. These county leaders work directly with the CWDA Executive Liaison to lead, coordinate, and provide project direction to CWDA County Consultants. The Lead CWDA County Consultants provide insight into the counties' workflow, business needs, and system needs that are essential in implementing a successful new system. Finally, they assist in the recruitment and coordination of representation for digital service teams, planning, development, adoption and implementation, operations, and utilization.</p> <p><u>County Consultants</u></p>

County Consultants are SMEs who are active or recently retired county staff contractors recruited from management, user, administrative, and technical staff (Child Welfare, Probation, County Licensing, and Eligibility) who participate in project activities to ensure that the CARES-Live and CWS-CARES solutions are effective, economical, and efficient within the county and state child welfare and adoptions setting. In this role, they serve as representatives of the counties' interests and business processes and ensure consistency in the daily decisions related to strategic direction, technical infrastructure changes, and application requirements during development. County Consultants provide direct support in the analysis and development of functionality and technical components. These individuals provide insight into the counties' workflow, business needs, and system needs that are essential in implementing a successful new system. County Consultants represent a large part of the Project's stakeholder community and are integral to system acceptance and use.

In addition, County Consultants participate in the development and review of All County Letters (ACLs), All County Informational Notices (ACINs), County Fiscal Letters (CFLs), and provide county input of the system impact. They engage in Quality Assurance processes and procedures, providing business expertise for use in discovery and user research, identifying and documenting issues related to quality processes and procedures, documenting issues resolution, and coordinating activities and communication for issue resolution. They perform user testing in CARES environments and test delivered functionality. County Consultants participate in the decision-making criteria to improve child safety, permanency and well-being outcomes. The project leverages county consultants to assist State staff and Project vendors in performing the various activities related to the DD&I of each process area. They engage in communication to stakeholders and organizational change management activities. And finally, County Consultants are responsible for the development and delivery of a child welfare training series for the Project.

#### Service Managers

County Consultants serve as Service Managers for Intake (Hotline and Investigations), Court Services, Eligibility, and Administrative Services and are responsible for developing a vision for the software that will be developed to meet end users' needs. The Service Managers work directly with the product delivery team to articulate and establish prioritized product needs as features and user stories in Jira. The development of said features and user stories will then be validated by internal and external SMEs and stakeholders, where Service Managers will facilitate the ability to capture feedback on delivered software and make on-going determinations of additional feature requests.

<p>OSI - Administrative Services</p>	<p>The OSI Administrative Services consists of five distinct areas that provide critical project support:</p> <ol style="list-style-type: none"> <li>1) Acquisition and Contracting Services (ACSD) - This project has several procurements, amendments and Interagency agreements/Memorandum of Understanding with interface partners that all require ACSD assistance. Without sufficient procurement resources, the CWDS procurement schedule would be at risk, thus potentially compromising the entire project. The current ACSD resource levels ensure that an adequate level of support is provided, and schedule delays avoided. Additionally, the ACSD resources are responsible for processing the incoming CWDS procurement packages, coordinating the approval and review of procurement documents from the OSI Directorate and CDT Statewide Technology Procurement Division when appropriate, scheduling meetings and reserving locations on behalf of the ACSD CWDS resources. This additional support is critical to efficient operations within the ACSD supporting the CWDS procurement efforts. The BSO provides guidance to the CWDS on business operations and non-IT purchasing. The BSO oversees business operations support such as: badge access, facility requests, space planning, moving services, records retention, surplus, and interagency mail.</li> <li>2) Fiscal and Legislative Services Division of the OSI supports the CWDS Project in the areas of budget preparation and maintenance, accounting support including invoice payment and processing, and serves as the budget liaison for the project and OSI with regard to information and documentation requests from CHSA the DOF, the CDT, the Legislative Analyst's Office and the Legislature.</li> <li>3) Human Resource Services - Support for the CWDS from the OSI HHRD includes the areas of classification, payroll, benefits, time reporting, recruitment and health and wellness for state resources. Additionally, the HRD provides workforce and organizational development services. Although vendors are not directly employed by the OSI, the HRD is also responsible for direct filing of Conflict of Interest documents with the Fair Political Practices Commission for both employees and vendors.</li> <li>4) Information Technology Office (ITO) Support Services – The OSI has the responsibility to provide help desk and network support services to the entire CWDS organization. The ITO positions are necessary to provide these services and meet contractual obligations. Network support resources are responsible for installing new software/hardware; setting up user accounts, permissions and passwords; network maintenance; planning</li> </ol>
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	<p>future improvements; etc. Having dedicated network support is critical to the daily operations of the CWDS organization. The ITO help desk support resources provide technical and troubleshooting assistance related to computer hardware and software, mobile devices, Microsoft SharePoint and web services, as well as other tools and products that the CWDS uses and are critical to the daily operations of the CWDS organization.</p> <p>5) Legal Services - Critical to protect the State's interests to ensure procurements are conducted and developed in accordance with state and federal regulations. The Legal Division also provides quality counsel relative to business matters of the CWS-CARES project in the following areas:</p> <ol style="list-style-type: none"> <li>a. Security and Privacy</li> <li>b. Conflicts of Interest</li> <li>c. Human Resources</li> <li>d. Public Records Act</li> </ol>
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### **Additional County Resources**

Additional county resources (e.g., core county constituents) are needed to participate in the following activities:

#### **CWS-CARES SDLC for each process area:**

- Research and context setting
- Discovery, including pain point analysis and service blueprinting
- Prototyping
- Proving feedback during iterative build phase

#### **CWS-CARES Data Clean-up and Quality**

This is a key set of activities that is imperative to the success of the CWS-CARES Project. This work will focus cleanup areas on the CWS-CARES development needs and begins with core constituents. Ultimately cleanup activities will involve SMEs in all 58 counties. Such activities include:

- Evaluate county practices and processes - identify difference
- Assist with the evaluation of user software tools
- Review data quality cleansing instructions
- Review data quality testing documents (i.e., what to test, where to test and how to test)
- Participate in training for the staging environment

- Cleanse the targeted data for each Testable Increment
- Perform data validation in Salesforce and potentially the CCDI; compare data to the legacy systems

## **Identity Management**

This work is specific to the configuration of the Salesforce platform and the CDI as it relates to user authentication and authorization. Included with this is configuring the structure that aligns with county and State practice (organization structure, office unit, groups, data access and reporting) as they relate to authorizations. This is an initial configuration that is required in all 58 counties prior to and during the SDLC. Activities include:

- Configure and review Salesforce and the CDI Identity Management based on research
- Establish an Active Directory Exchange in each county
- Participate in the Active Directory integration between Salesforce and the CDI
- Participate in research and review of organizational impacts associated with IDM (i.e., sensitive case access, organizational setup)

## **Interfaces**

Interfaces are data exchanges that do not exist in the legacy CWS/CMS that can aid users by providing essential information from other systems that are also providing services to or tracking status and progress of the children and families who are receiving child welfare services and support. Data exchange requirements are essential to the CCWIS compliance. The CWDS will rely on county participation for the following activities:

- Research and validate requirements
- Create and validate functional specifications
- Create and validate technical specifications
- Create new data sharing agreements with the counties

## **County External System Planning**

Counties are utilizing over 400 ancillary systems to supplement the functionality of the CWS/CMS. The State understands that this may present technical challenges, resource limitations and expensive solutions. To manage these challenges and to achieve standardization and consistency in functionality, the CWDS will rely on county participation from certain counties for the following activities:

- Identify systems and requirements
- Respond to questions arising from the Product Development Team during the Discovery and Deep Dive phases of the SDLC



- Researching functionality
- Determine if:
  - Candidate for CWS-CARES replacement
  - Interface needed
  - No CWS-CARES impact, county only system
  - Impact on county organizational readiness
- Planning for data conversion, if necessary

## **Document Management**

The CWS-CARES will have a Document Management Component that supports centralized storage of program documents. This includes strategies, methods, and tools used to capture, manage, store, preserve, and deliver content and documents related to organizational practices. The CWDS will rely on county participation from the 58 counties for research on examples of document types and classifications.

## **Organizational Readiness and Implementation**

Implementation activities begin well in advance of the deployment of the CWS-CARES. These activities require county coordination in the areas of project management, help desk, planning for county process changes, OCM and training in each of the 58 counties. Additional county participation is required to assist with organizational readiness tailored towards their counties, beginning with:

- Provide input to the Organizational Readiness section of the Master Plan for Implementation
- Participate in the 'Current State' County Assessment
- Participate in the feedback loop for the staging environment
- Develop an internal OCM Plan

The CWDS Resource Allocation and Matrix, Attachment 21 details the key activities in which the project will focus on through the implementation of the CWS-CARES. Included in this matrix are the CWDS staff, CDSS staff, County Consultants, and high-level procurements with areas and impacts spanning the implementation period.

### **7.4.4 Project Schedule**

Since the submission of the SPR 3, the Project has continued to refine the Master Project Schedule (MPS) (Attachment 22). The development of the MPS includes major project components that will be elaborated upon when the vendors onboard in early 2021. The major project components consist of the following:

1. CWS/CMS and CARES-Live Releases (release dates for awareness only to reduce impacts to child welfare workers; work efforts are managed under separate schedules)
2. Project Management and Administration
  - a. Project Procurements
  - b. Project Reporting and Approval Documents
  - c. Project Communications and Organizational Change Management
  - d. Budget Services – State and Federal
  - e. Administrative Services (e.g., vendor onboarding)
3. Product Development Team
  - a. Product Development Planning
    - i. Domain Modeling and Blue Printing
    - ii. Product Research, Design and Development (by TI)
    - iii. Enterprise Architecture
  - b. Data Conversion
  - c. CARES Infrastructure
  - d. CDI
4. Quality Assurance/Testing
5. IT Operations
6. Stakeholder Relations
  - a. Customer Relations
  - b. Service Desk
  - c. Web Team
7. Implementation and Training
  - a. CARES Implementation Activities
    - i. Develop "current state" assessment for county readiness
    - ii. Develop repository to hold assessment information
    - iii. Develop Sandbox Feedback Loop
    - iv. Greenfield Implementation
  - b. CARES Master Plan for Implementation
8. Information Security
  - a. Annual security training
  - b. IT Security Sub-projects (on-going work and projects within the security team)
9. Foster Care Eligibility Determination (FCED)
10. CWS-CARES Product Development
  - a. Greenfield Development
  - b. CARES V.1 Development
  - c. CARES V.2 Development
11. De-Commission Efforts

The product development activities are documented in the CARES Product Blueprint, which defines the top-level scope of CARES and translates CWS objectives into major activities and decision points, organized into process areas, such as screening, investigations, and placement. Each process area is comprised of multiple Product Building Blocks. The CARES Product Roadmap sequences and combines Building Blocks into a series of TIs which entail configuration/development on both Salesforce and the CDI. The Product Director is responsible for maintaining the Product Roadmap that communicates logical sequencing and dependencies across TIs, not estimated release dates. The duration of TIs is timeboxed in 3-week sprints through the TI 11 and then 2-week sprints for the remainder of the project.

The CARES Product Roadmap is used to develop a structure in Jira, where Building Blocks are further decomposed into Epics and Stories. The Jira product backlog represents the totality of work to be completed and delivered for successful implementation of CARES. The product backlog is a direct output of the activities related to the creation and refinement of the Product Blueprint and Roadmap. As Building Blocks are prioritized and requirements are more clearly defined, the product backlog will be refined (either increasing or decreasing) to support the development and delivery of work that provides the most business value and is in alignment with the most current iteration of the Product Roadmap.

Based on the Product Development structure built in Jira, the Project Scheduler will develop a corresponding structure in MS Project; however, the decomposition level will stop at the Building Blocks and will not include Stories or other lower level Backlog components. Jira entries related to product development are managed by Product Development Chief.

The Project Scheduler will access Jira to obtain the current progress level on all TIs, Building Blocks and Epics that have been approved for development and have work in progress. The progress is then updated in the MPS as percentage complete against the baseline schedule. The Project is currently updating the processes and procedures related to Jira and will include those in a Jira Framework document that will be available to all team members for reference.

## **7.5 Project Monitoring and Oversight**

Project continued to maintain ongoing communication with the assigned Checks and Balances teams, that includes CDT IPO and Independent Verification and Validation (IV&V).

Overall project oversight is provided by CDT IPO, which focuses on project management processes and deliverables (e.g., plans, schedules, risks & issues). IV&V is used to supplement IPO and focuses on the technical assessment of the system's development and deliverables to determine if the user requirements, product quality, and specifications are met.

The PMA, IPO, IV&V work collaboratively to review identified risks and issues documented in the monthly oversight report. The Risk and Issue log that is maintained by the PPMR (in Jira) also contains open oversight findings to ensure close follow-up is occurring on an ongoing basis. In addition, a monthly cadence is being maintained

where IPO/IV&V shares any new findings with PMA who in turn assigns the appropriate project team member as owners to the findings.

### **7.5.1 Reporting**

Trailer Bill Language was passed as part of AB 1603 (2015-2016) and in Section 26 16501.9 lists the reporting responsibilities for the project as follows:

*(3) The department and OSI shall continue to provide monthly updates to the Legislature and to stakeholders, including CWDA, regarding efforts to develop and implement the CWS-NS. The updates shall include, but not be limited to, (A) the vacancy rate, the duration of each vacant position and its classification, and the status of efforts to fill the position, (B) challenges with recruiting and retaining qualified staff and a description of efforts to resolve the issues, (C) challenges with procurement, including any delays, and a description of efforts to resolve the issues, (D) any issues or risks, including, but not limited to, pending state and federal approvals and impacts on county child welfare programs that may jeopardize the project's completion or result in delays relative to the approved project schedule, budget, and scope, and (E) progress on the project, by digital service (module) along with a description of each digital service, and projected completion dates for any significant upcoming project milestones. Following the effective date of this section, a list of newly executed contracts, their purpose, and amounts shall be added to the monthly update.*

The Project continues to publish monthly Legislative Updates in compliance with this bill as well as other required reports as determined by governing bodies (e.g., monthly Project Status Reports for CDT). Once the vendors are onboarded and product development begins, the Project will begin providing Quarterly Project Status Report as outlined in Section 4.3 above.

## **7.6 Project Quality**

### **7.6.1 Project Oversight**

The following organizational entities continue to provide oversight on both the project and program organizations during the execution of this Project.

**Table 9 – Project Oversight Entities**

Role	Organizational	Responsibilities
IPO	California Department of Technology	In conformance with Statewide Information Management Manual (SIMM) 17 (the California Project Management Methodology and SIMM 45 (the Information Technology Project Oversight Framework), the Independent Project Oversight Consultant (IPOC) is responsible for formal oversight of the CWS-CARES project management processes and documentation. The IPOC is responsible for monthly submission to the California Department of Technology of the mandated Independent Project Oversight Report (IPOR) that is a structured document for reporting on the reportable project oversight categories.
IV&V	Contractor	The IV&V Analysts are responsible for verifying and validating that project and contractor (particularly the prime vendors) processes and deliverables adhere to the industry IT standards, and that all delivered products meet defined technical requirements and/or specifications. IV&V reviews are conducted in all phases of the project from initiation through implementation. Federal oversight, ACYF, relies heavily on the observations by the IV&V contractor.

### 7.6.2 Project Quality Management

Previously, the Project Quality Management Plan focused on testing of the software quality during product development. The content of this plan has been incorporated into Product Management Plan (Attachment 6) as the Product Quality Assurance Guide. The purpose of this guide is to “show the level of quality to be quantified, the roles and responsibilities of the state and vendors, and the deliverable artifacts required to make quality decisions during the SDLC”. This guide will continue to be refined and will be updated in early 2021 once the vendors are onboarded.

Additionally, as the project plans get refreshed in 2021 to reflect utilization of Salesforce, each plan will include a new section that outlines ongoing quality monitoring of the processes described within.

### 7.7 Change Management

The CWS-CARES Project employs three types of change management:

1. CWS-CARES Organizational Change Management (OCM) is focused externally on County, State, Probation and Tribe staff to help prepare CARES users to transition to the new system. Key aspects of this OCM is frequent communication, various types of training and thoughtful preparation for the users to understand the new features and functionality in the new system. As the project moves through the implementation phase, the OCM will be used to build detailed implementation plans for each county and user group of the new CWS-CARES system.
2. Technical change management, based on Agile/ITIL methodologies, is used by the Project internally to ensure that standard methods and processes are used for all

changes to the IT infrastructure, including hardware and software. The existing Change Management Plan (see attachment 20) has been updated in this reporting period and re-focused on the CARES-Live application. It describes the processes followed to implement production changes, utilizing structured Change Management Board and Service Now tool to track reviews and approvals. This plan will be in effect until such a time when CARES-Live applications are converted into CWS-CARES and sunset.

3. CWDS, as an organization, also applies an OCM framework to help guide and support individuals, project teams, and CWDS initiatives through organizational change. The Project utilizes the OCM to adjust the roles and responsibilities of the various team members in line with the Service Delivery Life Cycle described in Product Management Plan (Attachment 6). The section below further details how OCM is used across CWDS.

### **Organizational Change Management (OCM)**

The Project's Communication team collaborates with CWDS Stakeholder Relations in providing consistent messaging to both internal and external customers. As the Project matures, there is great emphasis on the change management approach to better focus project team members on internal processes and deliverables. The Project leverages Organization Change Management (OCM) consultants to assist with critical change initiatives. Some critical initiatives they are assisting the project with is managing the changes in staff roles and responsibilities to align with the new Service Delivery Lifecycle (SDLC) and Vendor and Contract Management reform. Early awareness and continuous communication with project team members during transitional change helps CWDS management address and reduce potential resistance factors and risks.

Another element of change management is the Project's Decision-Making Framework, which is an integral process to facilitating, memorializing and communicating decisions that impact project scope, schedule, cost and cross functional teams.

The Project also created a high-level Project Roadmap, Attachment 23, that consists of milestones in the following areas; CARES-Live and CWS/CMS Releases, Product (Design and Development), Environment and Infrastructure, Organizational Readiness, Procurements, Project and Budget Approvals, and Communication. A structured process for both internal and external OCM, along with the key communication tools, such as the CWDS Roadmap, will prepare various stakeholders to anticipate project engagement opportunities.

### **7.8 Authorization Required**

The Project obtains authorization and funding from two entities: DOF and ACYF. The proposed changes are outlined in this document, as well as, the required federal Advanced Planning Document (APD). On September 22, 2020, CWDS submitted an As-Needed APD to request an extension of time for project planning activities through December 31, 2020. On October 13, 2020, the ACYF conditionally approved the As-Needed APD, with the condition that the Project submits a revised Implementation APD (IAPD) by no later than December 31, 2020 for continued federal financial participation (FFP) funding. On December 31, 2020, the Project submitted the revised IAPD to

ACYF. The IAPD requests federal funding through June 30, 2022. ACYF approval of the IAPD is anticipated for March 2021.

## **8.0 Risk and Issue Management**

The Risk and Issue Management plan has been updated to align with current Project status and documents the processes that are used to manage project risks and issues. It identifies the persons responsible for managing various areas of the risks and issues, how risks and issues are tracked throughout the project's life cycle and how contingency plans are implemented. Reference the Risk and Issue Management Plan, Attachment 15.

### **8.1 Risks and Issues System of Record**

Jira is the system of record and tool that is used to manage the Risks and Issues process including collection, assessment and status reporting. It is a central repository for all risks and issues identified and includes information such as probability, impact, severity, owner, mitigation or resolution plan, trigger dates and target resolution date.

The risks and issues, as well as observations, are reported on a monthly basis in the Project Status Report, due for formal submission to the CDT by the fifth business day of each month.

The Project holds a formal risks and issues review meeting every week in order to ensure proper follow-up and closure is completed in a timely manner and shared with key project leadership and subject-matter experts. In addition, the Project Management and Administration Division meets with IPO and IV&V on a monthly basis to discuss oversight findings and formal project responses.

## **9.0 Updated Economic Analysis Worksheets (EAWs)**

See Appendix A for the EAWs approved in SPR 3 and Appendix B for the EAWs and supporting budget detail submitted with this SPR.