



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.3 (Ver. 3.0.8, 02/01/2022)

1.1 General Information

1. Agency or State entity Name: 6110 - Education, Department of

If Agency/State entity is not in the list, enter here with the organization code.

Click or tap here to enter text.

2. Proposal Name and Acronym: California State Preschool Data Collection System (CAPSDAC) Project

3. Proposal Description:

The Early Education Act requires the Superintendent of Public Instruction to administer all California state preschool programs, including, but not limited to, part-day and full-day age-appropriate and developmentally appropriate programs for 3- and 4-year-old children. *Education Code (EC)* Sections 48000(c)-(l) authorize a school district or charter school to maintain a transitional kindergarten program, defined as the first year of a 2-year kindergarten program that uses a modified kindergarten curriculum that is age and developmentally appropriate. The law also requires a school district or charter school, as a condition of receipt of apportionment for pupils in a transitional kindergarten program, to admit children who meet certain age requirements, as provided.

Assembly Bill (AB) 22 requires the California Department of Education (CDE), by July 1, 2024, to collect pupil data for each pupil enrolled in a California state preschool program operated by a local educational agency (LEA), including all applicable data elements that are collected for pupils in transitional kindergarten, as provided. The bill also requires the department, by July 1, 2024, to collect the same data for educators in a California state preschool program operated by a local educational agency that is collected for educators in the K-12 classroom setting, as provided.

Currently, the CDE does not have the ability to effectively manage, monitor and report preschool information that would meet the objectives of this legislation. This is due primarily to the lack of unique identifiers for the principal data elements of the California State Preschool Program (CSPP), such as preschool children, teachers, families, classrooms, sites, and providers. The objective of the CAPSDAC project is to identify a solution that will enable the CDE to collect, organize, track, monitor, analyze, and aggregate the CSPP data and conduct business operations electronically and effectively to implement current and future statutory mandates. The application of unique identifiers will allow the CDE to link preschool data to the California Longitudinal Pupil Achievement Data System (CALPADS), California's K-12 data system. This will enable CDE to provide early education data to

the California Cradle-to-Career (C2C) Data System. The CAPSDAC will serve as a useful tool for contract agencies to identify needs and guide program improvement. The CAPSDAC will provide relevant and accurate data to inform education community partners and the public.

4. Proposed Project Execution Start Date: 7/1/2024

5. S1BA Version Number: Version 1

1.2 Submittal Information

1. Contact Information

Contact Name: John Borasi

Contact Email: jborasi@cde.ca.gov

Contact Phone: (916) 350-0545

2. Submission Type: New Submission

If Withdraw, select Reason: Choose an item.

If Other, specify reason here: Click or tap here to enter text.

Sections Changed, if this is a Submission Update: (List all sections changed.)

Click or tap here to enter text.

Summary of Changes: (Summarize updates made.)

Click or tap here to enter text.

3. Attach Project Approval Executive Transmittal to your email submission.

4. Attach Stage 1 Project Reportability Assessment to your email submission.

1.3 Business Sponsorship

1. Executive Champion (Sponsor)

Title: Deputy Superintendent

Name: Sarah Neville-Morgan

Business Program Area: Early Education Division (EED)

2. Business Owner

Title: Director

Name: Stephen Propheter

Business Program Area: Early Education Division

3. Product Owner

Title: Information Technology Manager I

Name: John Borasi

Business Program Area: CDE Technology Services Division

TIP: Copy and paste or click the + button in the lower right corner on any section to add additional Executive Champions, Business Owners, or Product Owners with their related Business Program Areas as needed.

1.4 Stakeholder Assessment

The Stakeholder Assessment is designed to give the project team an overview of communication channels that the state entity needs to manage throughout the project. More stakeholders may result in increased complexity to a project.

1. Indicate which of the following are interested in this proposal and/or the outcome of the project. (Select 'Yes' or 'No' for each.)

State Entity Only: Yes

Other Departments/State Entities: Yes

Public: No

Federal Entities: No

Governor's Office: Yes

Legislature: Yes

Media: No

Local Entities: Yes

Special Interest Groups: No

Other: No]

2. Describe how each group marked 'Yes' will be involved in the planning process.

CDE Early Education Division

The EED program staff will develop the business functionality of the CAPSDAC, including the workflow, functional requirements, program/LEA desk procedures, gap analysis, etc. It is expected that the EED staff will participate in the User Acceptance Test (UAT) process, including participating in the development of system use test scripts, test execution, and identifying and coordinating with LEA pilot test teams.

CDE Education Data Management Division (EDMD)

The EDMD will support the governance and management of the CAPSDAC to CALPADS interoperability requirements, including data transfer, file structure and required data elements and definitions as part of the CDEs overall data governance.

CDE Accountability, Measurement and Reporting Division (AMARD)

AMARD provides all internal and external reporting and analysis support for the CDE and would be supporting the public and mandated legislated reporting, thus would be users of the data being collected and will need to dedicate a resource to become their expert on the collection and its rules. They will be involved as an interested consumer needing to be informed regarding the development and implementation progress to plan for and develop resources to support reporting expected from the system.

LEA based CSPP Providers

CSPP providers for this project are confined to LEAs. The CDE will host a series of input meetings with LEA based CSPPs to seek input regarding the development of CAPSDAC, specifically in the area of data elements, data submission formats, timelines for elements, collection requirements and alignment with K-12 collections, technical assistance needs, and overall functionality. The CDE will also recruit data personnel from these agencies for user acceptance testing (UAT).

California Government Operations Agency (GOA)

CSPP data is legislatively required to be made available to the C2C Data System. The CDE will reach out to the appropriate GOA staff to ensure alignment with C2C expectations and requirements.

1.5 Business Program

- 1. Business Program Name:** Applied Data Research and Evaluation (ADRE) Office
- 2. Program Background and Context:** (Provide a brief overview of the entity's business program(s) current operations.)

Currently, the ADRE monitors the CSPP through several data sources and applications, many of which are inadequate for the purposes of using data to inform policy and guide practices.

Data Collection

The CSPP child, family, and provider data is collected through the Child Development Management Information System (CDMIS), a web-based portal, with administrative functions through Contract and Tracking System (CATS), a desktop application. In addition to submitting monthly child enrollment data to the CDMIS, contracting agencies are required to review and update their information every year through the CDMIS and the Continued Funding Application (CFA). However, due to the lack of connection between CATS and the CDE Monitoring Tool (CMT), a web-based system that allows agencies to facilitate a response to state and federal requirements for program monitoring, the requirement of updating agency information is largely

unenforced, which compromises the integrity of the data.

Compliance Review

If a contract agency is an LEA, CDE staff will be able to utilize the CMT for compliance review. In addition to LEAs, CSPP contract agencies include other public entities and private entities. Compliance reviews of other public entities and private entities were largely done on paper (prior to the COVID-19 pandemic) or via CDE staff ad hoc data recording in the form of Excel spreadsheets or Word documents. CDE staff can currently use the CATS to retrieve agency information only because it is not connected to any monitoring instruments.

Data Reporting

The CDE provides annual child enrollment reports through extensive data analysis. Because there are no unique identifiers for children, families, sites, or agencies, the CDE uses fuzzy name matching logic and data cleaning strategies to produce enrollment reports for planning and budgeting purposes, often at the request of the Department of Finance (DOF), Department of General Services (DGS), or the Legislative Analyst's Office (LAO). The CDE also publishes enrollment data on its webpage at this link: <https://www.cde.ca.gov/sp/cd/re/cdddta.asp>.

Supporting Students Achievement

Due to the lack of connections among the current preschool data systems, the CDE cannot effectively use the data to monitor programs or keep track of children and their learning progress or the services they've received. This poses a huge challenge to the CDE and its goal of identifying needs and promoting continuous improvement in order to close the opportunity and achievement gaps for all students.

Meeting Legislative Requirements

With the existing disconnected data systems, the CDE cannot support the child, staff, classroom, site, and agency level data collection needed to meet current and future legislative mandates. These mandates include participating in and providing early learning data to the C2C Data System [EC Sections 10850–10874] and collecting dual language learner information (EC Section 8241.5).

How will this proposed project impact the product or services supported by the state entity?

Implementation of the CAPSDAC will enable the CDE to conduct more effective and efficient compliance and monitoring activities and improve budget and program planning. The CSPP contract agencies will be able to use the CAPSDAC to identify their critical needs for program improvement and early education community partners and the public will be able to be more informed through the publications of relevant data.

TIP: Copy and paste or click the + button in the lower right corner to add Business Programs, with background and context and impact descriptions as needed.

1.6 Project Justification

1. Strategic Business Alignment

Enterprise Architect

Title: Division Director, TSD

Name: Rodney Okamoto

Strategic Plan Last Updated? 9/11/2018

Strategic Business Goal: EED Strategic Plan Goal 1.3.4: Connect ELC (early learning and care) to long-term school and life outcomes, as measured by the California School Dashboard, the achievement gap, and other methods.

Alignment: CAPSDAC aligns with EED's Strategic Plan to be able to track students over time and link CSPP data to CALPADS so that children served in the CSPP can be followed long after they've entered elementary and secondary school, as well as college and other careers. Linking CAPSDAC to CALPADS and establishing accountability of CSPP programs, such as measuring and publishing learning outcomes such as the California School Dashboard, will drive program improvement.

Strategic Business EED Strategic Plan Goal 3.1.2: Use data to inform program improvement and refine processes, tools, reports, and training and technical assistance.

Alignment: A modernized preschool data system allows EED policy office staff to improve data accuracy; contractor monitoring activities conducted by quality implementation staff are improved; and ADRE program staff can use relevant data to work with internal and external research partners to investigate program processes, as well as identify influential factors that change program outcomes.

Mandate(s): State

Assembly Bill (AB) 22 of 2022: Preschool Data

AB22 requires the CDE, by July 1, 2024, to collect pupil data for each pupil enrolled in a California state preschool program operated by an LEA, including all applicable data elements that are collected for pupils in transitional kindergarten, as provided. The bill also requires the department, by July 1, 2024, to collect the same data for educators in a California state preschool program operated by a local educational agency that is collected for educators in the K-12 classroom setting, as provided.

AB 1363 of 2021, California C2C Data System Act of 2019

AB 1363 requires the CDE to collect child level, family level, site level, classroom level, and teacher level data regarding dual language status, family needs, and teacher characteristics;

C2C Data System requires the CDE to provide child level data that meets its requirements with unique child, family, site identifiers.

2. Business Driver(s)

Financial Benefit: Yes

Increased Revenue: No

Cost Savings: No

Cost Avoidance: Yes

Cost Recovery: No

Will the state incur a financial penalty or sanction if this proposal is not implemented? No

If the answer to the above question is "Yes," please explain:

Click or tap here to enter text.

Improvement

Better Services to the People of California: Yes

Efficiencies to Program Operations: Yes

Improved Equity, Diversity, and/or Inclusivity: Yes

Improved Health and/or Human Safety: Yes

Improved Information Security: Yes

Improved Business Continuity: No

Improved Technology Recovery: No

Technology Refresh: No

Technology End of Life: No

1.7 Business Outcomes Desired

Executive Summary of the Business Problem or Opportunity:

Problem: AB22 requires the CDE to collect student, teacher, and site data for LEA based CSPPs data aligned with the CALPADS data collections specifications and requirements. This is a significant change to the current data reporting requirements required of the CSPPs, and requires the development and implementation of a new data collection system by the CDE. While this is a new and significant effort to collect new data, it provides the opportunity for the CDE to have a comprehensive and longitudinal preschool to Grade 12 record for each child, provide more

complete data to the pending C2C Data System, provide richer data for the CDEs internal research and analysis staff, and also CDE's external research partners.

Objective ID: 1

Objective: Collect child demographic and family information in order to issue and manage a state-level unique identifier per child.

Metric: All LEA CSPP children will have a unique statewide ID

Baseline: Currently not collected, nor are IDs issued.

Target Result: The system will be able to collect via submitted data files from the CSPP LEAs the demographic and family data that aligns to the CALPADS Student Information File (SINF) specification, assign a preschool statewide student identifier (PSSID), and have a user interface that allows the CSPP LEAs to adjudicate potential duplicate students. The PSSID can then be used by other statewide CSPP related systems such as the Desired Results assessment system administered by the California Department of Social Services. On matriculation to public K-12, the PSSID will be linked to the CALPADS issued SSID.

Objective ID: 2

Objective: Collect site and classroom enrollment per child

Metric: All children will be linked to a site and class room

Baseline: Currently not collected

Target Result: The system will collect every site and classroom that a child is enrolled in, and the effective dates of their enrollment in order to have a comprehensive, longitudinal CSPP record for them.

Objective ID: 3

Objective: Collect CSPP teacher classroom assignment and demographic data

Metric: All LEA CSPP teachers will have classroom assignment and demographic data in the system.

Baseline: Currently not collected

Target Result: Collect the demographic and assignment data for teachers in CSPP. This will link students to their teachers through their classroom enrollments and provide profile information on their teachers. This will also allow for CDE to also track teachers across sites over time.

Objective ID: 4

Objective: Collect CSPP administrator and classroom support staff assignment and demographic data

Metric: All LEA CSPP administration and support staff data will be collected

Baseline: Currently not collected

Target Result: This will provide the data that will create a fuller description of the LEAs CSPP and the staff in teacher support or supervisory role similar to the data collected through CALPADS and CBEDS for K-12 students. This will also allow CDE to track support and supervisory staff across sites over time.

Objective ID: 5

Objective: Collect child English language proficiency, and home language data

Metric: Data relative to English language proficiency and home language data will be collected for all CSPP LEA students.

Baseline: Currently not collected

Target Result: Existing legislation, *EC* Section 8241.5, requires the CDE to collect the dual language learner status and home language. This would replace the interim process in development by the Department to become part of the comprehensive CSPP student record.

Objective ID: 6

Objective: Collect child education program participation and/or eligibility

Metric: CSPP LEA student data pertaining to educational program participation and/or eligibility will be collected.

Baseline: Currently not collected

Target Result: This collection will provide the list of programs that support the child's pre-schooling and development such as NSLP/NSLB, Migrant Education, dual language program, etc.

Objective ID: 7

Objective: Link site identification and licensing information, and participation in NSLP/NSLB to data for CSPP sites with existing CDE systems.

Metric: All LEA CSPP programs will be linked to the existing licensing data, and linked to the nutrition services data system, CNIPS.

Baseline: There are no linkages between systems today

Target Result: Leveraging the data already maintained in existing CDE systems allows for effective linking the student-based collection with the existing CSPP site information.

Objective ID: 8

Objective: Collect the attended and expected to attend enrollment hours of children enrolled in the LEAs CSPP

Metric: Each child will have an attendance record each year.

Baseline: Currently not collected.

Target Result: This allows for tracking the child's actual participation in a CSPP program, and expected participation, and across programs.

Objective ID: 9

Objective: Link to existing CDE Special Education data including services

Metric: All LEA based CSPP students with disabilities children in will be linked to their records in CALPADS.

Baseline: CSPP special education data is already collected by the CDE, but is not linked to their current records in CDMIS.

Target Result: The CDE collects the eligibility, participation and services provided through local special education programs. The collection will link to the existing data in CALPADS that includes all children with disabilities from age 0 to adult in order to provide a comprehensive record for the child, and not duplicate the collection of data.

Objective ID: 10

Objective: LEA CSPPs will certify, or assure CDE, that their data is whole, complete and accurate at least annually.

Metric: Each CSPP will certify their data.

Baseline: No system or process exists today

Target Result: Data will be certified as whole, complete, and accurate indicating its validity and reliability for mandated reporting and research.

1.8 Project Management

1. Project Management Risk Score: 0.4

(Attach a completed Statewide Information Management Manual (SIMM) Section 45 Appendix A Project Management Risk Assessment Template to the email submission.)

2. Project Approval Lifecycle Completion and Project Execution Capacity Assessment

Does the proposal development or project execution anticipate sharing resources (state staff, vendors, consultants, or financial) with other priorities within the Agency/state entity (projects, PALs, or programmatic/technology workload)?

Answer: No

Does the Agency/state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?

Answer (No, New, Existing, or Both): New Processes

1.9 Initial Complexity Assessment

1. Business Complexity Score: 1.8

(Attach a completed SIMM Section 45 Appendix C to the email submission.)

2. Noncompliance Issues: (Indicate if your current operations include noncompliance issues and provide a narrative explaining how the business process is noncompliant.)

Programmatic regulations: No

HIPAA/CIIS/FTI/PII/PCI: No

Security: No

ADA: No

Other: No

Not Applicable: No

Noncompliance Description:

Click or tap here to enter text.

3. Additional Assessment Criteria

If there is an existing Privacy Threshold Assessment/Privacy Information Assessment, include it as an attachment to your email submission.

How many locations and total users is the project anticipated to affect?

Number of locations: 3440

Estimated Number of Transactions/Business Events (per cycle): 733

Approximate number of internal end-users: 95

Approximate number of external end-users: 1800

1.10 Funding

Planning

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to **complete planning** through the project approval lifecycle framework? No

If Yes, when will a budget action be submitted to your Agency/DOF for planning dollars?

Click or tap to enter a date.

2. Please provide the Funding Source(s) and dates funds for planning will be made available:

Federal Grants and State General Fund

Project Implementation Funding

1. Has the funding source(s) been identified for **project implementation**? No

If known, please provide the Funding Source(s) and dates funds for implementation will be made available:

Click or tap here to enter text.

Will a budget action be submitted to your Agency/DOF? Yes

If "Yes" is selected, specify when this BCP will be submitted: Unknown at this time.

2. Please provide a rough order of magnitude (ROM) estimate as to the total cost of the project: Choose an item.

Unable to provide a ROM at this time. CDE will be better prepared to estimate costs during Stage 2 (S2AA).

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 1 and all attachments in an email to ProjectOversight@state.ca.gov.

Department of Technology Use Only

Original "New Submission" Date: 11/18/2022

Form Received Date: 11/18/2022

Form Accepted Date: 11/18/2022

Form Status: Completed

Form Status Date: 1/10/2023

Form Disposition: Approved

If Other, specify: [Click or tap here to enter text.](#)

Form Disposition Date: 1/10/2023

Department of Technology Project Number (0000-000): 6110-109