



Stage 1 Business Analysis

Department of Technology, SIMM 19A, Revision 7/1/2015

1.1 General Information

Agency or State Entity Name:

Social Services, Department of

Organization Code:

5180

Proposal Name:

Intensifying LPA Field Time with Data (Part 1: Protecting history: Data Migration for Legacy Systems)

Proposal Description:

The project will leverage a new licensing system to meet the business needs of the other licensing programs, providing an integrated system that ensures full licensing functionality.

Proposed Start Date:

September 2017

Delegated Cost Threshold (Optional):

Over Under

Department of Technology Project Number:

5180-213

1.2 Submittal Information

Contact Information:

Contact First Name:

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Submission Date:

10/2/2018

Submission Type:

- New Submission Updated Submission (Pre-Approval)
 Updated Submission (Post-Approval) Withdraw Submission

Sections Updated (For Updated Submissions Only)

- 1.1 General Information 1.6 Statutes or Legislation
 1.2 Submittal Information 1.7 Program Background and Context
 1.3 Preliminary Assessment 1.8 Strategic Business Alignment
 1.3.1 Reportability Assessment

- 1.3.2 Impact Assessment
- 1.4 Business Sponsor and Key Stakeholders
- 1.5 Business Driver(s)
- 1.9 Business Problem or Opportunity Summary
- 1.10 Business Problem or Opportunity and Objectives Table
- 1.11 Business and Stakeholder Capacity
- 1.12 Organizational Readiness

Summary of Changes:

Project Approval Executive Transmittal:

 File Attachment

1.3 Preliminary Assessment

1.3.1 Reportability Assessment

Yes No

1. Does the Agency/state entity anticipate requesting a budget action to support this proposal? Yes No
2. Does the Agency/state entity anticipate the estimated total development and acquisition cost to exceed the Department of Technology's established Agency/state entity delegated cost threshold **and** the proposal does not meet the criteria of a desktop and mobile computing commodity expenditure? Yes No
3. Does this proposal involve a new system development or acquisition specifically required by legislative mandate **or** is subject to special legislative reporting or review as specified in budget control language or other legislation? Yes No

Anticipated Reportability

Is this proposal anticipated to be reportable? Yes No

Planned Reporting Exemption

Does the Agency/state entity anticipate seeking an exemption from project reporting? (Answer only if Anticipated Reportability above is "Yes.") Yes No

1.3.2 Impact Assessment

Yes No

1. Has the funding source(s) been identified for this proposal? Yes No

If "Yes," select applicable funding source(s) and enter the fund availability date. If funding source is "Other Funds," specify below:

FUND SOURCE
Mark all that apply

General Fund

Special Fund

Federal Fund

Reimbursements

FUND AVAILABILITY DATE

FY 2019-20

FY 0000-00

MM-DD-YY

FY 0000-00

Bond Fund

FY 0000-00

Other Funds

FY 0000-00

2. Will the State possibly incur a financial sanction or penalty if this proposal is not implemented? If "Yes," provide details in Section 1.9 Business Problem or Opportunity Summary.

3. Is this proposal anticipated to have high public visibility? If "Yes," provide details in Section 1.9 Business Problem or Opportunity Summary.

4. On a scale of 1 to 3 (1 = None, 2 = Partially, 3 = Fully), indicate how well the current business processes are documented, communicated and available for review.

2

1.4 Business Sponsor and Key Stakeholders

Executive Sponsors

Title	First Name	Last Name	Business Program Area
Chief Deputy Director	Pat	Leary	Executive

Business Owners

Title	First Name	Last Name	Business Program Area
Deputy Director	Pamela	Dickfoss	Community Care Licensing

Key Stakeholders

Title	First Name	Last Name	Business Program Area/Group	External
Deputy Director	Rebecca	Stilling	Child Welfare Digital Services	<input type="checkbox"/>
Assistant Deputy Director	Ellie	Jones	Community Care Licensing	<input type="checkbox"/>
Branch Chief	Evon	Lenerd	Continuing Care Branch	<input type="checkbox"/>
Program Administrator	Shanice	Boyette	Child Care Program	<input type="checkbox"/>
Program Administrator	Ley	Arquisola	Adult and Senior Care Program	<input type="checkbox"/>
County Liaison	Wendy	Christian	County Welfare Directors Association	<input type="checkbox"/>

1.5 Business Driver(s)

Mark all that apply

Financial Benefit:

- Increased Revenues
- Cost Savings
- Cost Avoidance
- Cost Recovery

Mandate(s):

- State

Federal

Improvement:

- Better Services to Citizens
- Efficiencies to Program Operations
- Improved Health and/or Human Safety
- Technology Refresh

Security:

- Improved Information Security
- Improved Business Continuity
- Improved Technology Recovery

1.6 Statutes or Legislation

Statutes or Legislation:

- New Statutes
- Potential Legislation
- Changes to Existing Legislation
- Not Applicable

Bill Number:

Legal Reference:

Additional Information:

1.7 Program Background and Context

CDSS protects the health, safety and quality of life of children, seniors and adults who reside or spend time in community care, through the administration of an effective regulatory enforcement system. CDSS oversees almost 74,000 facilities and ensures that all facilities meet minimum licensing standards specified in the Health and Safety Code and regulations.

As detailed in the 2015 Workload Study for Licensing Program Analysts completed by the Institute for Social Research, LPA's spend over half of their time on activities and tasks that cannot be attributed to a single facility file or a single inspection or complaint investigation. As a result, the study indicated that many more positions would be required to complete in a timely manner all of the legally required tasks for which the Department is responsible.

Recent changes in law requiring more frequent inspections, as well as Budget actions to restore the foundation and practice of the Community Care Licensing Division have provided the department needed additional resources. The information systems used by this Division were built nearly two decades ago to essentially digitize the paper processes which were in place at the time. Although they were quite modern at the time, from where we stand in our reliance on technological applications and tools and data driven decision making, they are woefully archaic.

The Certification, Approval and Licensing Services (CALs) project, a part of the CWS-CARES project, is being developed to ensure that the homes/facilities where children who have contact with California's child welfare system reside meet licensing standards. As a result, the CALs module will provide a modern, flexible system that ensures full licensing functionality for children's residential facilities and homes. This proposal will ensure a system that is fully functional for all other licensing programs.

CDSS will identify a suitable licensing system and modify it to meet its specific needs. This will decommission

the geriatric, loosely connected network of legacy systems and disparate databases which currently support licensing functions. Ultimately, it is CDSS' vision to oversee and manage a system that includes certification and licensing processing services for all licensed facilities and approved homes that will be maintained by the Department, while maintaining connectivity and functionality to CWS CARES.

1.8 Strategic Business Alignment

Strategic Business Goals	Alignment
Optimize health and safety of children and adults in community care settings	Integrate certification and licensing systems to ensure quality data and processing for all facility types
Protecting clients history to increase business efficiency	Develop data management strategy across various licensing programs through data sharing.
Strategic Plan Last Updated 10/10/2014	

1.9 Business Problem or Opportunity Summary

Primarily, the licensing analysts lack an efficient data system and tools to effectively oversee the health and safety of vulnerable clients in community care settings throughout California. Nearly three decades of historical data is residing in the current legacy systems and preserving and safe guarding this critical data is imperative. This initial step is an urgent part of the planning efforts.

The Licensing Information System (LIS), Field Automation System (FAS) and the Caregiver Background Check (CBC) System are legacy systems that were developed decades ago to "computerize" field practice. As was the case with many early data systems, the current system was engineered to simply replace existing paper-based processes with digital records.

The LIS is a mainframe system written in Natural with an ADABAS database that is unsustainable and imposes limited availability and functionalities to the licensing analysts. It has far exceeded its original capacity, and is not stable enough to support further adaptation. The FAS is developed on IBM Notes. While this system is more modern and developed for the Licensing Program Analyst (LPA), it is presently lacking several essential licensing business components and does not have the capacity to adapt to them. The challenges of data synchronization between systems forces redundancy in data entry. This architecture has become increasingly difficult to support with rare staff/consultants who still maintain skills in the disappearing Natural/ADABAS platform.

The lack of an effective integrated data system diminishes the quality of data, and this presents serious issues and directly causes an increased risk to the health and safety of vulnerable clients in care. Further impacts include:

- LPAs lack a sufficient data system to do their jobs efficiently. Currently, hours must be spent in the office for preparation for an inspection due to mobile data limitations of the existing systems.
- Staff still need to visit Wi-Fi hotspots such as nearby Starbucks or McDonalds to upload their reports.
- These systems were designed to replace paper in related field visits. The developers did not conceive of the need for data aggregation and reporting, or business analytics.
- Serious data integrity issues exist because IBM Notes is difficult to support. Without a reliable system, the health and safety of clients in community care is in jeopardy.
- Changes mandated by legislation are often significantly delayed because it is extraordinarily difficult to find people who can program using Natural code.
- Currently, the sharing of Administrative Actions between departments and counties is conducted by

each of these entities entering data manually into a stand alone database and conducting a manual search of this database. Departments need an automated running process to check new and existing Administrative Actions against databases of hundreds of thousands of staff working in facilities who may have been determined to present a danger to those in care.

- The systems lack capacity to identify connections between facilities owned by the same person/corporate entity who has serious problems at one facility to see if similar problems exist at the others.
- The systems do not have functionality to automate the civil penalty and licensing fee collection process to ensure visibility of the entire fee history to eliminate delays in fee/penalty collection.

A new, supportable data system will allow for inexpensive upgrades and maintenance, and install the latest security, privacy and protection standards.

Historical data is essential to licensing practice, and acquiring any new system requires that the data be migrated to a modern structure, language and model. Without this information, excluded persons may inadvertently be allowed to be present in a licensed facility. For example, a facility may have been closed and/or applicants/subjects may have been excluded from facilities. The CDSS must have access to this legacy data to ensure that excluded individuals are not allowed to cause further harm. All new applicants need to be processed against historical data. When a new system is chosen the cleansed data will be loaded into a new profile to ensure we know the entire history of everyone associated to a licensed care facility. By doing this, the CDSS will ensure that excluded individuals do not have a chance to cause further harm and preserve the health and safety of clients in care.

As a part of organizational readiness and planning efforts, data clean up and normalization is critical. It has been identified that legacy systems data has errors and the current system continues to allow errors to be made during data entry due to system limitations. The CDSS provides data extracts to different external systems and every time CDSS shares data, manual clean up is necessary. The CDSS sends the cleansed data to the appropriate party but additional errors are made as data is manually entered daily. Once the data has been cleaned the new system can be designed to not allow these types of errors when data is entered. The clean data can be consumed by any system selected by the Department.

CARES is in the process of implementing several new developments. Data migration of children’s residential facilities data from our legacy systems is part of CARES scope and will be done when most of their system has been developed. Given that our data clean-up will include some of the data CARES needs, our efforts should make their data migration easier. The new data platform we create should be consumable by CARES and therefore speed their data migration efforts considerably by providing clean data in a modern and innovative way.

The integration of all certification and licensing services provides great benefits to all stakeholders and ensures data quality and processing efficiency that are at the core of the vision for protecting the health, safety, and quality of life of clients in care and the enforcement of Title 22 regulations.

1.10 Business Problem or Opportunity and Objectives Table

ID Problems or Opportunities

- | | |
|---|---|
| 1 | CCLD’s data systems are antiquated, unsupported, unable to accomplish several simple workflow functions, and are lacking several essential licensing business components. |
|---|---|

Obj #	Objective
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- | | |
|-----|---|
| 1.1 | Increase efficiencies in program operations by streamlining processes and improving resource utilization through a modern, upgraded system. |
|-----|---|

Metric	Baseline	Target	Measurement Method
Amount of business processes performed in legacy systems	All current business processes	75% reduction in legacy system usage within one year of implementation, with remaining 25% decrease in legacy system usage in year two.	Yearly post-implementation audits and reports.

Obj # Objective

1.2 Reduce by 30% the review time of facility license applications through an automated submission process using a guided workflow that requires completed fields. This will allow more applications to be processed and eliminate the backlog of applications.

Metric	Baseline	Target	Measurement Method
Average time it takes to process an application	12.5 Hours	8.75 Hours	Performance Dashboard Summary

Obj # Objective

1.3 Determine if facilities serving the adult and senior care population are owned by the same person or entity and have similar areas of noncompliance or financial irregularities to track business integrity.

Metric	Baseline	Target	Measurement Method
Ability to identify, track and receive alerts to issues from multiple facilities owned by same person or entity	No functionality	Functionality	Business rules

Obj # Objective

1.4 Unlicensed facility feature does not exist in CALS. This issue is specific to Child Care and Adult and Senior Care Facilities. Develop a method to identify and track unlicensed facilities through licensure or closure.

Metric	Baseline	Target	Measurement Method
Unlicensed facility identification and tracking functionality in CALS	No functionality	functionality	Business Rules

Obj # Objective

1.5 Reduce the backlog and increase efficiencies in complaint processing, including unlicensed facility complaints, through enhanced automation that distributes the complaint based on the severity of the complaint and provides all documentation through the data system instead of paper files.

Metric	Baseline	Target	Measurement Method
Average time it takes to process a complaint	8.0 Hours	4.0 Hours	Performance Dashboard Summary

Obj # Objective

1.6 Current data systems require multiple entries to process billing and payments for fees and penalties. A single integrated system will ensure the accuracy of the data and provide a platform allowing

for online fee pay and electronic funds transfers that can be used by all areas of the department to ensure the efficient collection of payments for fees and penalties levied against the facilities.

Metric	Baseline	Target	Measurement Method
Online fee capture functionality	no functionality	functionality	Business Rules

ID Problems or Opportunities

2 Current systems do not communicate directly with one another. Entered data is not populated until the next day due to the nightly upload. Access to real-time case information through one centralized database and self-service functionality will streamline LPA field activities associated with initial licensure, complaint investigation and inspections and allow for providers to upload facility information, employee rosters, etc., immediately.

Obj # Objective

2.1 Migrate towards a centralized database and self-service functionality that uses a guided workflow for users to enter data.

Metric	Baseline	Target	Measurement Method
Number of self-service portals for external providers	0	1	Development approval

Obj # Objective

2.2 Protecting clients historical data for compliance is essential to licensing practice. The data stored in disparate systems is hard to integrate when designing new functionality to meet business needs. It is necessary to identify duplicate data across multiple systems. After cleansing process, curated data sets need to be transformed into a single relational modern database.

Metric	Baseline	Target	Measurement Method
Number of systems licensing data stored	4	1	Develop model database for all licensing programs.

Obj # Objective

2.3 Improved data access through single sign-on process and provide role-based security.

Metric	Baseline	Target	Measurement Method
Dedicated access required for each system to sign-on.	4	1	Single sign-on process using modeled database

ID Problems or Opportunities

3 Increase accessibility of information regarding dangerous individuals in order to prevent their presence in a CCLD licensed facility or home. Currently, if an individual with a non-compliance history in another state or county applied for a license in CA, the LPA would have to check the stand alone database and contact the previous state or county office and wait to receive historical information.

Obj # Objective

3.1 Increase state-to-state information sharing relations to better scrutinize persons or organizations with histories of out of state non-compliance for determination of licensure.

Metric	Baseline	Target	Measurement Method
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# of states sharing information in repository	0	25	# of out of state system access agreements.
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Obj #	Objective
3.2	Expand the notification that tells a worker if a particular person has an Administrative Action in any jurisdiction

Metric	Baseline	Target	Measurement Method
Notification type	Flag on record in database; or no flag	Pop up notification or email	Target notification or email is created

1.11 Business and Stakeholder Capacity

1.11.1 Business Program Priorities Yes No

Does this proposal share resources (state staff, vendors, consultants or financial) with other business program priorities within the Agency/state entity?

Office of Systems Integration- Child Welfare Digital Services

1.11.2 External Stakeholder Involvement

California Department of Technology; System Development vendors; Children and Family Services Division (CFSD), Office of Systems Integration (OSI)

1.11.3 New or Changes to Business Processes Yes No

Does the Agency/state anticipate this proposal will result in the creation of new business processes?

Does the Agency/state entity anticipate changes to existing business process?

New system capabilities will determine level of allowable business upgrades (i.e. online applications)

1.12 Organizational Readiness

1.12.1 Governance Structure Yes No

Does the Agency/state entity have an established governance structure for combined business and IT decision making, including information security and privacy?

CDSS aligns Program, IT, and information security and privacy via an established IT Governance process. The process provides for the application of practices and standards to attain integration at the Department level in building IT systems. CDSS has established IT Governance workgroups with Executive, Administrative, Program and the Information Systems Division to ensure that IT resources and investments are targeted to deliver maximum business value.

1.12.2 Leadership Participation

Identify the levels of leadership that are aware of and engaged in addressing the business problem(s)/ opportunity(ies) identified in this proposal (check all that apply):

- Executive
- Senior Management Business/Program
- Mid-level Management Business/Program
- Senior Management IT

- Mid-level Management IT
- Enterprise Architect

The CDSS IT Governance structure includes two bodies: (1) the IT Governance Executive Steering Committee (made up of Executive Team staff) which determines IT priorities and policy informed by recommendations from the IT Governance Workgroup Committee; and (2) the IT Governance Workgroup (made up of Branch Chief or alternate, as designated by the Deputy Director, that has decision making authority for the Division, from each Program Division and the Information Systems Division) works with existing IT Committees and Workgroups, as needed, to consider all technical aspects and make recommendations to the Executive Steering Committee.

1.12.3 Resource Capability/Skills/Knowledge for Stage 2 Alternatives Analysis **Yes** **No**

Does the Agency/state entity anticipate requesting additional resources, through a budget request, to further study this proposal and/or perform procurement analysis?

Of the Agency/state entity resources identified to perform Stage 2 Alternatives Analysis for this proposal, enter the number of staff who have had experience with planning projects of a similar nature.

CDSS is hoping to bring on additional resources to help with the Stage 2 Alternatives Analysis

1.12.4 Training and Organizational Change Management **Yes** **No**

With respect to the magnitude of this proposal, does the Agency/state entity have resources, processes, and methodologies in place to provide training and organizational change management services?

Does this proposal affect business program staff located in multiple geographical locations? If "Yes," specify the city, state, number of locations and approximate staff in each location:

City	State	Number of Locations	Approximate Number of Staff
All CC and A&SC Regional Offices	CA	27	700

Users for this new system will include all Child Care, Adult and Senior Care, and Home Care Services Staff statewide. This includes support staff working at Headquarters and other locations throughout the Sacramento area.

1.12.5 Enterprise Architecture **Yes** **No**

Does the Agency/state entity have a documented target (or future state) enterprise architecture that provides the overall business and IT context for this proposal?

The CDSS Enterprise Architecture is in line with all applicable State Policies, Standards and Best Practices. OTECH serves as our data center and Internet Service Provider. The PMO works in collaboration with the technical team to evaluate existing CDSS products for leverage and ensure proposed solutions are in keeping with the established CDSS enterprise architecture. The CHHS Agency application list is researched for possible leveraging of existing applications prior to solution decision. Transition planning occurs at the beginning of each effort to analyze infrastructure needs, security, risk, business impact and service and support requirements.

1.12.6 Project Management

Project Management Risk Score:

1.4

1.12.7 Data Management

Yes **No**

1. Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities?

2. Does the Agency/state entity have data governance policies (e.g., data policies, data standards, etc.) formally defined, documented and implemented?

3. Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented and implemented?

CDSS has well established security data, policies and standards controls. Below is a link to the CDSS eBook of IT Security: http://www.dss.ca.gov/dsssource/res/references/securitypolicies/is_policies_ebook.pdf

Department of Technology Use Only

Original "New Submission" Date	7/7/2017
Form Received Date	12/4/2018
Form Accepted Date	12/4/2018
Form Status	<u>Completed</u>
Form Status Date	12/4/2018
Form Disposition	<u>Approved</u>
Form Disposition Date	12/4/2018