Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B.2 (Ver. 3.0.7, 02/28/2022)

2.1 General Information

1. **Agency or State Entity Name:** 5180 - Social Services, Department of

   If Agency/State entity is not in the list, enter here with the <u>organization code</u>.
   Click or tap here to enter text.

2. **Proposal Name:** Housing and Homelessness Data Reporting Solution (HHDRS)

3. **Department of Technology Project Number (0000-000):** 5180-221

4. **S2AA Version Number:** Version 1

5. **CDT Billing Case Number: CS0048782**

   Don't have a Case Number? <u>Click here to get one.</u>

2.2 Submittal Information

1. **Contact Information**

   Contact Name: Daniel Heflin

   Contact Email: <u>Daniel.Heflin@dss.ca.gov</u>

   Contact Phone: 310-748-0840

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 an update or resubmission: (List all the sections that 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 **Procurement Assessment Form** to your email submission. Please see attached "2.2_CDSS-HHDRS-B.5-STP-Procurement-Assessment" to this submission.

5. **Conditions from Stage 1 Approval (Enter any conditions from the Stage 1 Business Analysis approval letter issued by CDT or your AIO):**

   As part of the S2AA submission:

- Update the S1BA Problem/Opportunities to include Data Accuracies and Program Measurement Efficiencies.

- Update the S1BA to clarify the Secure File Transfer process information to better justify why this is an impediment to the business process.

- Update the Data Governance to include the handling of public reporting, how to share with other programs and departments, and concerns about privacy and data sharing.

2.3 Baseline Processes and Systems

1. **Current Business Environment (Describe the current business environment of which the effort will be understood and assessed in 500 words)**

The California Department of Social Services (CDSS) currently oversees multiple homeless assistance programs, and each have their own data reporting processes. Some of these processes capture aggregate state-level data, while others capture individual-level data. The number of data elements reported by counties varies according to the program, but 50 to 100 data elements per case is not unusual. The programs overseen by the bureau support over 100,000 households per year. County and tribe reporting depend, in whole or in part, on customized Excel spreadsheets, which are administratively complex, cumbersome, and unreliable. The reporting spreadsheets that contain individual-level data are submitted through the Secure File Transfer (SFT) set up and many times have validation errors and inaccuracies, which delay program technical assistance and outcome monitoring. These reports make program oversight and validation of key performance indicators cumbersome and inaccurate.

For example, in order to identify and correct an error within an Excel report (which is extremely common in manual data reporting formats like Excel), the CDSS must run individual error reports on each submitted file. This error report must then be submitted through SFT in conjunction with the original report to request a fix or additional information. The Counties and Tribes (the grantees) must manually correct the error (and any historically provided Excel files with the error) and resubmit via SFT. The CDSS must ensure this newly correct file is utilized and there are no conflicts with version controls with these manual files that are being downloaded and shared. Additionally, this process can take up to several months of back-and-forth corrections, lending to consistently outdated and inaccurate data reporting. In an automated system, a potential error can be identified immediately, corrected immediately, and logged as a change in one system. There are no concerns with version control, corrections

can happen timely, and automatic tracking of revisions will ensure more accurate data moving forward.

Some homeless program data may be available in other administrative data sets including Homeless Management Information System (HMIS), Child Welfare Service/Case Management System (CWS/CMS), Statewide Automated Welfare System (SAWS) and Medi-Cal Eligibility Data System (MEDS) but that are not currently being sent to the Housing and Homelessness Division (HHD) or matched with HHD data. HHD would like to utilize a more efficient data reporting and management system to support data matches when available. Current business needs require 100% human intervention, and there's a need for an automation solution.

Current As-Is Business Process Issues:

- The current time spent to process data is approximately .7 FTE for all programs. This is an inefficient use of time for programs as this time can be used for other Housing and Homelessness work efforts.

- The current process for performance management requires reconciliation of cumbersome, manually provided information about program goals, which is time consuming and is derived from irregular and disconnected program data. The current time spent to determine program performance is approximately .5 FTE for each program.

- The current system does not store data in a manner that is easily retrievable for the purposes of data matching across other systems or data sources. A streamlined system of collecting data can be used for future data matching and connections across other administrative data within and beyond DSS. With a new solution, staff will target matching data 3 times per year, and as a measurement method, the CDSS program staff will track results for 12 months and report findings.

- Currently, the grant application process and management require several disjointed, cumbersome steps, with each step requiring several manual processes in order to exchange requests, evaluate applications, and implementation processes of the grant. These processes are siloed and take significant time, limiting the ability to implement in a timely manner, as well as provide the CDSS oversight. A streamlined system will assist with reducing the CDSS staff time spent manually engaging each step of the grant process. Staff time currently spent is approximately .5 FTE.

Tip: Current Environment costs will be asked for in the Financial Analysis Worksheet to be completed in Section 2.12.

Attach Please see the following attachments to this submission:

2.3_CDSS-HHDRS-As-Is-BFH17-Process-Flow

2.3_CDSS-HHDRS-As-Is-CA237HA-Process-Flow

2.3_CDSS-HHDRS-As-Is-HDAP-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSAP19-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSP14-Process-Flow

Not available reason: Click or tap here to enter text.

2. **Technical Context (Describe the technical environment of which the effort will be understood and assessed in 500 words)**

The current technical environment consists of an entirely manual process. Counties and Tribes are required to submit data that is specific to multiple homeless assistance programs at predetermined timeframes (monthly and quarterly). Counties and Tribes enter program specific data into formatted Excel workbooks and submit them to CDSS via SFT server.

The Research, Automation, and Data Division (RADD) retrieve the Excel workbooks from the SFT server and conduct an initial data validation to search for missed submissions, data formatting errors, and/or duplicates. Once the initial data validation is completed, RADD compiles the data provided by Counties and Tribes into a single Excel workbook and sends to HHD.

HHD then reviews the compiled workbooks and notifies the Counties and Tribes of any data errors. The Counties and Tribes manually correct the errors within their Excel workbook and resubmit to the CDSS via the SFT server.

Attach relevant documentation to email submission (i.e., logical system environment diagrams, system interactions, business rules, application flows, stakeholder information, data flow charts). If these types of documents are not available, please indicate "Not Available," and explain the reason below:

Please see the following attachments to this submission:

2.3_CDSS-HHDRS-Technical-Context

2.3.1_CDSS-HHDRS-Stakeholder_Register

Not available reason:

3. **Data Management (Enter the information to indicate the data owner and custodian of the current system, if applicable.)**

Data Owner Name: Marta Galan

Data Owner Title: Branch Chief

Data Owner Business Program area: Housing and Homelessness Division

Data Custodian Name: Chad Crowe

Data Custodian Title: CIO Chief Information Officer

Data Custodian Technical area: Information System Division

Security – Data Classification and Categorization Yes

Security – Privacy Threshold & Impact Assessment. Yes

4. Existing Data Governance and Data

a) Do you have existing data that must be migrated to your new solution?

> **Answer** (Unknown, Yes, No): Yes

> If data migration is required, please rate the quality of the data.

> > Select data quality rating: Some issues identified with the existing data.

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

> **Answer** (Unknown, Yes, No): No

> If Yes, include the data governance organization chart as an attachment to your email submission.

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

> **Answer** (Unknown, Yes, No): Yes

> If Yes, include the data governance policies as an attachment to your email submission.

> Please see the following attachments to this submission:

> 2.3_CDSS-HHDRS-Application-Integrity-Standard

> 2.3_CDSS-HHDRS-Server-Configuration-Policy

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

> **Answer** (Unknown, Yes, No): Yes

> If Yes, attach the existing documented security policies, standards, and controls used to your email submission.

> Please see the following attachments to this submission:

> 2.3_CDSS-HHDRS-Data-Governance-Backup-Policy

> 2.3_CDSS-HHDRS-Encryption-Policy

> 2.3_CDSS-HHDRS-Information-Asset-Protection-Policy

e) Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented?

> **Answer** (Unknown, Yes, No): Yes

> If Yes, attach the existing documented policies, accessibility governance plan, and standards used to the email submission.

Please see the following attachments to this submission:

2.3_CDSS-HHDRS-DocumentAccessibilityStandards2022

2.3_CDSS-HHDRS-DigitalAccessibilityPolicy

5. **Security Categorization Impact Table**

   Consult the [SIMM 5305-A Information Security Program Management Standard – Security Categorization Impact Table](#).

   Attach a table (in PDF) that categorizes and classifies the agency/state entity's information assets related to this effort (e.g., paper and electronic records, automated files, databases requiring appropriate protection from unauthorized use, access, disclosure, modification, loss, or deletion). Each information asset for which the agency/state entity has ownership responsibility shall be inventoried and identified.

   Please see attached "2.3_CDSS-HHDRS-Security-Impact-Table" to this submission.

6. **Security Categorization Impact Table Summary**

   Consult the [SIMM 5305-A Information Security Program Management Standard – Security Categorization Impact Table](#) to provide potential impact levels of the following areas:

   Confidentiality: Medium

   Integrity: Medium

   Availability: Medium

7. **Technical Complexity Score: 1.0**

   Please see attached "SIMM_45_Appendix_C_HHDRS Business and Technical Complexity Assessment" to this submission.

2.4 Requirements and Outcomes

The project management team has documented the Functional, Non-Functional, Mid-Level and Detailed requirements, as provided in the As-Is and To-Be process flow diagrams.

The project management team envisions a solution that will incorporate automated data upload and validation, provide a robust reporting dashboard, and allow the HHD staff with the ability to determine program performance more readily. To accomplish this, the project team proposes a two Phased approach:

Phase I: The goals of this phase are: 1) Automate the process of retrieving Excel workbooks from Counties and Tribes, 2) Automate the data upload and validation process, 3) Provide HHD with the necessary reporting tools to analyze and report program specific data, 4) Reduce the HHD staff time expended on correcting reports, and 5) Improve performance management and data-driven decision making.

Phase II: The goals of this phase are: 1) Counties and Tribes will enter data directly into the solution and eliminate the process of submitting formatted Excel workbooks, 2) Counties and Tribes access the same reporting tools as HHD, 3) HHD will have oversight capabilities of Counties and Tribes, and 4) Utilize the solution to conduct Grant Management activities.

Attach Please see the following attachments to this submission:

      2.4_CDSS-HHDRS Requirements Traceability Matrix

      2.4-CDSS-HHDRS-To-Be-Workflow

2.5 Assumptions and Constraints

Relevant assumptions and constraints help define boundaries and opportunities to shape the scope and complexity of the project.

Assumption:

- Program and IT staff are dedicated to the HHDRS project.

- Project will continue to be a high priority for the Department and Agency.

- Technology is available to create a solution which meets the Program needs.

- Program has the funding available to procure and implement the solution.

- Due to high priority of Governor and legislatures, the HHDRS technical implementation will be rolled out in phases.

Description/Potential Impact: HHD and ISD management are to ensure that the appropriate staff are assigned to, and given the proper time, to conduct the necessary work to ensure that the HHDRS project is successful. Limited staff resources and/or limited dedicated time to the HHDRS project will negatively impact the overall project schedule. Department executives ensure that the HHDRS project will be categorized as "High Priority" to ensure that the appropriate staff is dedicated to the project. A lower priority negatively impacts the overall completion of the project, as staff resources will be allocated to other "High Priority" projects. We believe there is technology available to meet Program's needs and they have the funding necessary to procure the solution. Due to the high priority coming from the Governor's office, the HHDRS technical implementation will be rolled out in a phased approach.

Constraint:

- Project funds have a required encumbrance date by June 2024.

- The PAL oversight may increase the project planning completion time due to PAL documentation approvals by control agencies.

Description/Potential Impact: The project has experienced delays thus far, due to limited resources in the past. The project cannot encounter any further delays, without the risk of exceeding the project deadline due to the critical priority by the Governor's office. Furthermore, the funds allocated to the project contain a required encumbrance date. Inability to complete the project on time will result in the loss of project funds.

TIP: Copy and paste to add Assumptions/Constraints with Descriptions/Impacts as needed.

2.6 Dependencies

Dependency Element:

- Analysis and Upload of Historical Data into New System

- Organizational Change Management

Dependency Description: HHD needs access to historical data for analysis and reporting of program impacts. It is of great importance to undertake the change implementation process with thorough planning and high-efficiency, in order to preserve the vital department relations and mitigate any potential disruptions in business. Identification of training needs, release of communication requirements, and Stakeholder's analysis will be conducted as part of Organizational Change Management. End user training and bringing awareness of the new system is critical for successful rollout of the solution.

TIP: Copy and paste to add Dependency Elements and Descriptions as needed.

2.7 Market Research

1. **Project Management Methodology:** Hybrid

2. **Procurement approach recommended:** Challenge-based Procurement

3. **Market Research Approach**

Provide a concise narrative description of the approach used to perform market research.

The project used the following Market Research Methodologies:

- Internet research
- Collaboration with other Programs and Divisions
- Published literature
- Vendor Demonstrations
- Info-Tech: an independent research group to assist in Market Research

The research phase commenced in January 2023, during which we assessed seven potential IT solutions suitable for the business case. Our approach to conducting market research involved gathering information from various sources, such as existing solutions within our organization, similar workflows implemented by other state departments and agencies, contacting research firms, demonstration of various in-house solutions as well as identifying vendors to conduct solution demonstrations to validate how requirements provided by the HHD could be met.

Throughout our market research, we explored multiple possibilities that varied significantly in terms of price and project duration, depending on the type of solution. These options encompassed SaaS solutions, leveraging internal CDSS systems, and custom-built solutions.

Upon carefully considering the business needs and taking into account the key activities associated with each option, as well as architectural and financial constraints, several consistent findings emerged from our market research:

- A solution capable of both data collection and reporting is imperative.

- Given the ongoing nature of enterprise architecture and HHD's evolving business processes, a flexible system with scalability in mind is essential.

The CDSS aims to procure a configurable prebuilt SaaS solution that can be swiftly implemented and easily adapted to meet HHD's current and future business needs in an iterative/ phased approach.

These findings provide us with valuable insights as we move forward in the selection and implementation process.

Market Research Artifacts

Attach Please see attached "2.7_CDSS-HHDRS_Comparative_Analysis" to this submission.

2.8 Viable Alternative Solutions

1. **Viable Alternative Solution #1**

Name: Procure Software as a Service (SaaS)

Description:

The recommended solution is to purchase a configurable, SaaS platform with low code applications. This type of solution will provide the HHD with most of the mid-level requirements immediately. The market research identified most SaaS solutions are equipped to accept Housing and Homelessness data in simple and standardized Excel format.

During the market research, few of the SaaS solutions have the Housing and Homelessness business processes already created and exchange data with HMIS.

An iterative and multiple phased approach has been decided upon to meet HHD's urgent reporting needs and demonstrate incremental success for the project. The multiple phased approach is detailed below:

Phase 1

Implement the solution to support the existing process utilized by Counties and Tribes to submit and upload required data and provide HHD the capability to manage and report against the data. At the end of this phase, end-users should have the ability to:

- Access historical data and newly provided data from grantees.

- Generate reports for program impact analysis and upon request by the Administration.

Phase 2

Improve the data collection process for grantees and enhance HHD's business processes to incorporate the remaining desired features of the solution. At the end of this phase:

- Grantees will be able to submit data directly into the solution.

- Role-based permissions are implemented for CDSS and grantees.

- HHD will be able to manage grant applications through the solution.

- HHD will be able to access other CDSS program data through the solution via data integration technology.

Why is this a viable solution? Please explain:

The marketplace offers multiple solution alternatives that fit the needs of the HHDRS with SaaS solutions meeting most of the mid-level requirements. A SaaS solution can be integrated well with the CDSS existing SFT setup to receive and consolidate Housing and Homelessness data into a single repository. This provides the ability for HHD staff to create the reports necessary for effective program performance management, allows management and executive teams to quickly assess Key Performance Indicators to make decisions impacting overall programs, and improve overall compliance with legislative mandates.

In addition, a streamlined and automated work process minimizes staff time spent on correcting manual data entry mistakes and improves overall data quality for all HHD homelessness programs.

This is a preferred approach because with SaaS based solution, the CDSS can manage the project with existing resources avoiding cost increase to State budget but still deliver urgently needed business benefits to program team without significant project risks.

SaaS solution also provides the flexibility to be scalable to meet the urgent data reporting needs now and then be configured to meet the overall program needs.

Approach

Increase staff – new or existing capabilities: No

Modify the existing business process or create a new business process: Yes

Reduce the services or level of services provided: No

Utilize new or increased contracted services: Yes

Enhance the existing IT system: No

Modify Statute/Policy/Regulations: No

> Please Specify: Click or tap here to enter text.

Create a new IT system: Yes

Other: No Specify: Click or tap here to enter text.

Architecture Information

Business Function(s)/Process(es): Please see the following attachments to this submission:

2.4-CDSS-HHDRS-To-Be-Workflow

2.3_CDSS-HHDRS-As-Is-BFH17-Process-Flow

2.3_CDSS-HHDRS-As-Is-CA237HA-Process-Flow

2.3_CDSS-HHDRS-As-Is-HDAP-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSAP19-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSP14-Process-Flow

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture

Please see attachment, "2.8_CDSS-HHDRS-Concept-Architecture_Alt-1", to this submission.

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

> Name/Primary Technology: SaaS solution

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces: In Phase I, upload data provided by Counties and Tribes into a vendor hosted cloud environment. The project will refine requirements for Phase 2 upon completion of Phase 1 but anticipate the need for access to HMIS data.

Explain New System Interfaces: To be determined during Phase 2

Data Center Location of the To-be Solution: Commercial data center

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

Security

    Access

        Public: No

        Internal State Staff: Yes

        External State Staff: No

        Other: No Specify: Click or tap here to enter text.

    Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

        Personal: Yes

        Health: Yes

        Tax: No

        Financial: No

        Legal: Yes

        Confidential: Yes

        Other: No Specify: Click or tap here to enter text.

    Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

        Technical Security: Yes

        Physical Security: Yes

        Backup and Recovery: Yes

        Identity Authorization and Authentication: Yes

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

Total Viable Alternative #1 Solution Cost (copy from FAW – Executive Cost Summary tab, cells E7 through E11):

Planning Costs: $585,475

One-Time (Project) Costs: $871,175

Total Future Ops. IT Staff OE&E Costs: $483,225

Total Proposed Cost: $1,939,875

Annual Future Ops. Costs (M&O): $66,613

2. **Viable Alternative Solution #2**

Name: Custom Build

Description: The CDSS could develop a new system to meet project goals, but this option is likely to be more costly and take much longer to implement and rollout. The CDSS can also leverage building off existing technologies as encouraged by the State where appropriate, however this would likely be more costly, take longer to implement, and difficult to maintain with limited technical state resources.

Why is this a viable solution?

The CDSS home grown technology solution provides a web portal for data entry to a SharePoint list. This would help in consolidating data to one central location. However, the front-end interface has performance issues and extending it to meet HHD requirements would make it even more complicated and difficult to maintain. Furthermore, the web portal solution would require technical staff to support ongoing business needs to create/modify reports. This would require additional technical resources and without these resources it would make it challenging to support evolving business needs. Although this approach will meet the need of Phase 1, it would not meet the long term needs for HHD and is not a scalable solution.

Approach

Increase staff – new or existing capabilities: No

Modify the existing business process or create a new business process: Yes

Reduce the services or level of services provided: No

Utilize new or increased contracted services: No

Enhance the existing IT system: Yes

Modify Statute/Policy/Regulations: No

Please Specify: Click or tap here to enter text.

Create a new IT system: No

Other: Choose Yes or No. Specify: Click or tap here to enter text.

Architecture Information

Business Function(s)/Process(es): Please see the following attachments to this submission.

2.4-CDSS-HHDRS-To-Be-Workflow

2.3_CDSS-HHDRS-As-Is-BFH17-Process-Flow

2.3_CDSS-HHDRS-As-Is-CA237HA-Process-Flow

2.3_CDSS-HHDRS-As-Is-HDAP-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSAP19-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSP14-Process-Flow

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture

Please see the conceptual design diagram, "2.8_CDSS-HHDRS-Concept-Architecture_Alt-2", to this submission.

COTS/SaaS/Cloud Technology or Custom: Custom

> Name/Primary Technology: Dynamic Portal / Angular frontend and SharePoint list for database

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces: The front-end system interface was built using Angular and is accessible from SharePoint.

Explain New System Interfaces: Click or tap here to enter text.

Data Center Location of the To-be Solution: Agency/state entity operated by agency/state entity

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

Security

> **Access**:
>
> > Public: No
> >
> > Internal State Staff: Yes
> >
> > External State Staff: No
> >
> > Other: Choose Yes or No. Specify: Click or tap here to enter text.
>
> **Type of Information** (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)
>
> > Personal: Yes
> >
> > Health: Yes
> >
> > Tax: No
> >
> > Financial: No
> >
> > Legal: Yes
> >
> > Confidential: Yes
> >
> > Other: Choose Yes or No. Specify: Click or tap here to enter text.

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: Yes

Physical Security: Yes

Backup and Recovery: Choose Yes or No.

Identity Authorization and Authentication: Choose Yes or No.

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

Total Viable Alternative #2 Solution Cost (copy from FAW – Summary tab, cell AL33):

Total Proposed Cost: $3,231,111

3. Viable Alternative Solution #3

Name: Modified Off-The-Shelf (MOTS)

Description: The solution reviewed in this category was a low-code application platform for case management that could customize forms and workflows. Data is wrapped in XML or SQL and then can be imported into a third-party reporting tool.

Why is this a viable solution? Please explain:

The CDSS Information Systems Division (ISD) currently support Modified Off-the-Shelf Appeals technical solutions. Therefore, HHD can leverage lessons learned from internal program and technical partners for potential training documentation and best practices in the applications use. However, these solutions do not have out of the box reporting functionality that can be easily configured like SaaS solutions. To develop reporting capabilities, CDSS will require additional senior level technical resources for customization that are difficult to recruit and train due to proprietary nature of the technical solutions. This approach is likely to increase the project schedule and costs.

Approach

Increase staff – new or existing capabilities: No

Modify the existing business process or create a new business process: Yes

Reduce the services or level of services provided: No

Utilize new or increased contracted services: No

Enhance the existing IT system: No

Modify Statute/Policy/Regulations: No

Please Specify: Click or tap here to enter text.

Create a new IT system: Yes

Other: Choose Yes or No. Specify: Click or tap here to enter text.

Architecture Information

Business Function(s)/Process(es): Please see the following attachments to this submission:

2.4-CDSS-HHDRS-To-Be-Workflow

2.3_CDSS-HHDRS-As-Is-BFH17-Process-Flow

2.3_CDSS-HHDRS-As-Is-CA237HA-Process-Flow

2.3_CDSS-HHDRS-As-Is-HDAP-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSAP19-Process-Flow

2.3_CDSS-HHDRS-As-Is-HSP14-Process-Flow

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture

Please see the conceptual design diagram, "2.8_CDSS-HHDRS-Concept-Architecture_Alt-3", to this submission.

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

Name/Primary Technology: MOTS

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces: Click or tap here to enter text.

Explain New System Interfaces: CDSS access from application deployed in a Tomcat container that can be hosted in the vendor's cloud.

Data Center Location of the To-be Solution: Commercial data center

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

Security

Access:

Public: No

Internal State Staff: Yes

External State Staff: No

Other: Choose Yes or No. Specify: Click or tap here to enter text.

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: Yes

Health: Yes

Tax: No

Financial: No

Legal: Yes

Confidential: Yes

Other: Choose Yes or No. Specify: Click or tap here to enter text.

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: Yes

Physical Security: Yes

Backup and Recovery: Yes

Identity Authorization and Authentication: Yes

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

Total Viable Alternative #3 Solution Cost (copy from FAW – Summary tab, cell AL50):

Total Proposed Cost: $2,551,293

2.9 Project Organization

1. **Project Organization Chart:**

   Attach Please see attachment "2.9_CDSS-HHDRS-Project-Org-Chart" for your reference.

2. **Is the department running this project as a matrixed or projectized organization?**

   Matrixed

   1. **Administrative**

   The Department has internal Project Oversight and Strategic Technology (POST) Branch that is part of the ISD. The POST Branch will provide necessary project support and best project management practices using existing staff. In addition to this, each of the Divisions involved in this project have areas that specialize in procurement, contracts and budget activities.

2. Business Program

We have staff in HHD to work in coordination with each program office for this project. This coordination will include some Organizational Change Management tasks as well as to ensure that vendors have access to subject matter experts on an as-needed basis. We anticipate that we may ask for testing and quality assurance from persons in the field and we aim to keep the duration of these instances as short as possible while ensuring the system developments are fully tested in the testing environment.

3. Information Technology

Based on our market research, we have determined that a SaaS solution with little support from IT Solutions Development Branch resources is the best path forward. Development and implementation will be primarily performed by the selected vendor and supported by ISD staff. For example, the Information Security & Privacy Office (ISPO) will provide Security Analysis and Auditing and we will work with the Operations & Management Branch (Ops) and Innovative Technology Solutions Branch (ITSB) as needed by vendor for solution configurations.

4. Testing

The CDSS Business Analyst will help coordinate and perform the testing throughout the configuration process with the Program staff, as well as end to end testing for the entire solution with support from the vendor.

5. Data Conversion/Migration

Historical data will be uploaded into the solution. Upon approval of this alternative, the CDSS will work with the vendor to ensure data is made available in the new system.

6. Training

HHD has a Data Integration Support Unit tasked with implementing data collection improvement efforts. This unit will lead the testing, training, and technical assistance for new users on the implemented solution. This includes developing training materials and presentations to support accurate and consistent data entry and collection. This unit will also be involved in the transition efforts from the current process to the proposed solution to offset any substantial business disruptions.

7. Organizational Change Management

The Project Portfolio Management Bureau (PPMB) and HHD will collaborate on:

- Mitigating business disruption

- Reducing the time it takes to adopt change

- Planning activities and,

- Preparing and involving stakeholders to achieve and sustain those changes

The chosen SaaS vendor will support HHD until implementation is achieved.

8. Resource Capacity/Skills/Knowledge for Stage 3 Solution Development

The CDSS will leverage current staff and resources with required knowledge and skills to complete the Stage 3.

2.10   Project Planning

1. Project Management Risk Assessment

Updated Project Management Risk Score: 1.2

Attach Please see attached "SIMM_45_Appendix_A_HHDRS Project Management Risk Assessment" to this submission.

2. Project Charter

Is your project charter approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose**: 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

Project Charter (Approved): Yes

> Status: Project Charter approved by CDSS leadership.

Attach Please see attached "CDSS-HHDRS-Project-Charter" to this submission.

3. Project Plans

Are the following project management plans or project artifacts approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose**: 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

Scope Management Plan (Approved): No

> Status: Reviewed by CDSS Management and will be reviewed and approved as part of S2AA review and approval process by Agency and CDT.
>
> Please see attached "HHDRS Scope Management Plan" to this submission.

Communication Management Plan (Approved): No

> Status: Reviewed by CDSS Management and will be reviewed and approved as part of S2AA review and approval process by Agency and CDT.
>
> Please see attached "HHDRS-Communication-Plan" to this submission.

Schedule Management Plan (Approved) : No

Status: Reviewed by CDSS Management and will be reviewed and approved as part of S2AA review and approval process by Agency and CDT.

Please see attached "HHDRS Schedule Management Plan" to this submission.

Procurement Management Plan (Approved): No

Status: Reviewed by CDSS Management and will be reviewed and approved as part of S2AA review and approval process by Agency and CDT.

Please see attached "HHDRS Procurement Management Plan" to this submission.

Requirements Management Plan (Approved): No

Status: Reviewed by CDSS Management and will be reviewed and approved as part of S2AA review and approval process by Agency and CDT.

Please see attached "HHDRS Requirements Management Plan" to this submission.

Stakeholder Management Plan (Draft): No

Status: This will be created as part of Project Management Plan given the medium complexity of the project.

Please see attached "CDSS-HHDRS_Stakeholder_Management_Plan" to this submission.

Governance Plan (Draft): No

Status: This will be created as part of Project Management Plan given the medium complexity of the project.

Please see attached "CDSS-HHDRS-Governance-Management-Plan" to this submission.

Contract Management Plan (Draft): No

Status: This will be created as part of Project Management Plan given the medium complexity of the project.

Please see attached "CDSS-HHDRS-Contract-Management-Plan" to this submission.

Resource Management Plan (Draft): No

Status: This will be created as part of Project Management Plan given the medium complexity of the project.

Please see attached "CDSS-HHDRS-HR_and_Staff_Plan" to this submission.

Change Control Management Plan (Draft): No

Status: This will be created as part of Project Management Plan given the medium complexity of the project.

Please see attached "CDSS-HHDRS-Change_Control_Management_Plan" to this submission.

Risk Management Plan (Draft + Risk Log): No

> Status: A Risk & Issue log has been developed and currently in draft state.
>
> Please see attached "CDSS-HHDRS-Risk-Issue-Management-Plan" to this submission.

Issue and Action Item Management Plan (Draft + Issue Log): No

> Status: A Risk & Issue log has been developed and currently in draft state.
>
> Please see attached "CDSS-HHDRS-Risk-Issue-Management-Plan" to this submission.

Cost Management Plan (Approved if planning BCP approved): No

> Status: This will be created as part of Project Management Plan given the medium complexity of the project.
>
> Please see attached "CDSS-HHDRS-Cost_Management_Plan" to this submission.

4. **Project Roadmap (High-Level)**

   Attach Please see the high-level Project Roadmap, "2.10.4_CDSS-HHDRS Roadmap", showing remainder of planning phase and transition into execution phase to the email submission.

   a) Planning Start Date: 6/9/2023
   b) Estimated Planning End Date: 6/30/2024
   c) Estimated Project Start Date: 7/1/2024
   d) Estimated Project End Date: 12/31/2024

2.11   Data Cleansing, Conversion, and Migration

If in Section 2.3 (above) the answer to the question "Do you have existing data that must be migrated to your new solution?" was marked "Yes," please complete this section.

1. **Current Environment Analysis: In Progress**

   HHDRS project team is currently working with ISD technical team, HHD, and RADD partners to understand the location and size of historical data.

2. **Data Migration Plan: Not Started**

HHD has program data that will need to be uploaded into the solution.

3. **Data Profiling: Not Started**

Data profiling will be performed by the chosen vendor.

4. **Data Cleansing and Correction:** Not Started

Data cleansing and correction will be performed by the chosen vendor.

5. **Data Quality Assessment:** In Progress

HHD has determined that the data quality is in poor condition and is not useful for their business needs. As stated in the Project Charter, the reporting spreadsheets often contain data with validation errors and inaccuracies.

6. **Data Quality Business Rules:** In Progress

Data Quality Business Rules are established in the All-County Letters distributed to the Grantees for report form data collection. Validation rules and instructions are provided for each cell of the report form.

7. **Data Dictionaries:** In Progress

Spreadsheets have been created detailing many of the data elements necessary to capture. More work needs to be done in refining the data elements and the needs e.g. data elements are defined by size (in characters) and type (alphanumeric, numeric only, true/false, etc.).

8. **Data Conversion/Migration Requirements:** Not Started

Work is in-progress to consolidate all reporting form requirements to a matrix so that project team can track all required data elements that need to be migrated into the new system.

2.12   Financial Analysis Worksheets

Attach Please see attached "2.12_HHDRS-Financial-Analysis-Worksheet" to this submission.

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 2 and all attachments in an email to ProjectOversight@state.ca.gov.

Department of Technology Use Only

Original "New Submission" Date: 8/25/2023

Form Received Date: 8/25/2023

Form Accepted Date: 8/25/2023

Form Status: In Analysis

Form Status Date: 8/25/2023

Form Disposition: Approved

Form Disposition Date: 01/09/2024