



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

California Department of Social Services

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

Special Project Report 5

February 2022

Version 3.0

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Table of Contents

| | |
|---|-----------|
| 1.0 Executive Project Approval Submittal..... | 6 |
| 2.0 Information Technology: Project Summary Package..... | 9 |
| 2.1. Executive Summary | 9 |
| 3.0 Project Background/ Summary | 22 |
| 4.0 Proposed Project Change..... | 23 |
| 4.1. Duration and Timing..... | 28 |
| 4.2. Overall Project Cost | 29 |
| 5.0 Project Status | 31 |
| 5.1. Benefits Achieved to Date | 40 |
| 5.2. Data Conversion | 41 |
| 5.3. Implementation and Training..... | 44 |
| 5.4. Accessibility..... | 46 |
| 5.5. Planned Versus Delivered..... | 46 |
| 5.6. SPR 4 Conditions | 50 |
| 5.7. Project Staffing/Vacancy Rate..... | 53 |
| 5.7.1. Tribal Resources | 56 |
| 5.8. CARES-Live..... | 57 |
| 5.9. Procurements | 58 |
| 5.10. Vendor Management..... | 73 |
| 5.11. Expenditures to Date | 73 |
| 6.0 Updated Project Management Plan..... | 74 |
| 6.1. Project Monitoring and Oversight..... | 74 |
| 6.2. Project Quality | 75 |
| 6.2.1. Project Oversight..... | 75 |
| 6.3. Change Management | 75 |

| | |
|--|-----------|
| 6.4. Authorization Required..... | 76 |
| 7.0 Risk and Issue Management..... | 76 |
| 7.1. Risk and Issue System of Record..... | 77 |
| 8.0 Updated Economic Analysis Worksheets (EAWs) | 77 |

LIST OF TABLES

| | |
|---|-------------------------------------|
| Table 1 – Glossary of Terms | Error! Bookmark not defined. |
| Table 2 - RFA Application Process Scope | 46 |
| Table 3 – SPR 4 Major Milestone Status | Error! Bookmark not defined. |
| Table 4 - Completed Procurements | Error! Bookmark not defined. |
| Table 5 – In Progress Procurements | Error! Bookmark not defined. |
| Table 6 – Closed Out Contracts..... | Error! Bookmark not defined. |
| Table 7 – Acquisition Summary | 74 |
| Table 8 – CWS-CARES Project Expenditures to Date as of December 2021..... | Error! Bookmark not defined. |
| Table 9 – Project Oversight Entities..... | Error! Bookmark not defined. |

LIST OF FIGURES

| | |
|---|-------------------------------------|
| Figure 1- CWS-CARES RFA Application Process Schedule ... | Error! Bookmark not defined. |
| Figure 2 - Data Conversion Lifecycle for Every Testable Increment | Error! Bookmark not defined. |
| Figure 3- Conversion Process Flow | Error! Bookmark not defined. |
| Figure 4– CWS-CARES Vacancy Rate & Staff Hired (OSI &CDSS).... | Error! Bookmark not defined. |
| Figure 5– CWS-CARES Vacancy Rate & Staff Hired (OSI Only).. | Error! Bookmark not defined. |

LIST OF ATTACHMENTS

| | |
|--|---------------|
| CWS-CARES Path Forward..... | Attachment 1 |
| RFA Application Greenfield Success Criteria..... | Attachment 2 |
| CWDS Data Conversion Plan..... | Attachment 3 |
| CWS-CARES Cutover Approach..... | Attachment 4 |
| CWS-CARES Incident Management Plan..... | Attachment 5 |
| WOA Management Process Document..... | Attachment 6 |
| CWDS Governance Plan..... | Attachment 7 |
| CWS-CARES Master Test Plan..... | Attachment 8 |
| CWS-CARES RFA Organizational Change Management Plan..... | Attachment 9 |
| CWS-CARES Readiness Organization Engagement Plan..... | Attachment 10 |
| CWS-CARES Master Implementation Plan..... | Attachment 11 |
| CWS-CARES Adoption Strategy..... | Attachment 12 |
| CWS-CARES V1 Epics..... | Attachment 13 |
| CWS-CARES Project Planning Roadmap..... | Attachment 14 |
| CWS-CARES Product Roadmap..... | Attachment 15 |
| RFA Training Plan..... | Attachment 16 |
| CWS-CARES Release Management Plan..... | Attachment 17 |
| Command Center Plan..... | Attachment 18 |
| CWDS Functional Organizational Chart..... | Attachment 19 |

LIST OF APPENDICES

SPR 5 Economic Analysis Worksheets (EAWs) SIMM-30C

Appendix A

1.0 Executive Project Approval Submittal

| | | | |
|---|--------------------------|------------------------------|------------------------|
| Information Technology Project Request Special Project Report 5 Executive Approval Transmittal | | | |
| Agency/State Entity Name | | | |
| California Health and Human Services Agency/California Department of Social Services | | | |
| Project Title (maximum of 75 characters) | | | Project Acronym |
| Child Welfare Services-California Automated Response and Engagement System | | | CWS-CARES |
| FSR Project ID | FSR Approval Date | State Entity Priority | Agency Priority |
| 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).

| APPROVAL SIGNATURES | | | | | |
|---------------------------------------|-------------------|--------------------|---|----------------|--------------------|
| CDSS Chief Information Officer | | Date Signed | OSI Chief Technology Officer | | Date Signed |
| | | | | | |
| Printed name: | Richard Gillespie | | Printed name: | David Patch | |
| CDSS Budget Officer | | Date Signed | OSI Budget Officer | | Date Signed |
| | | | | | |
| Printed name: | Andrieu Ching | | Printed name: | Mike French | |
| CDSS Program Director | | Date Signed | OSI State Entity Deputy Director | | Date Signed |
| | | | | | |
| Printed name: | Jessica Rougeux | | Printed name: | Cynthia Tocher | |
| CDSS Deputy Director | | Date Signed | OSI Chief Deputy Director | | Date Signed |
| | | | | | |
| Printed name: | Angie Schwartz | | Printed name: | Brian Wong | |
| CDSS Chief Operating Officer | | Date Signed | OSI Director | | Date Signed |
| | | | | | |
| Printed name: | Salena Chow | | Printed name: | Dan Kalamaras | |
| CDSS Chief Deputy Director | | Date Signed | Agency Chief Information Officer | | Date Signed |
| | | | | | |
| Printed name: | Jennifer Troia | | Printed name: | Adam Dondro | |
| CDSS Department Director | | Date Signed | Agency Secretary | | Date Signed |
| | | | | | |
| Printed name: | Kim Johnson | Date Signed | Printed name: | Mark Ghaly | |

Executive Approval Transmittal

IT Accessibility Certification

Yes or No

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

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

| | | |
|----|----------------|-------------------|
| 1. | Submittal Date | December 31, 2021 |
|----|----------------|-------------------|

| | | | | | |
|----|------------------|--|----------|-------------------------|---------|
| | | SPR | PSP Only | Other: | |
| 2. | Type of Document | X | | | |
| | Project Number | 0530-211 | | | |
| | | | | Estimated Project Dates | |
| 3. | Project Title | Child Welfare Services-California Automated Response and Engagement System Project | | Start | End |
| | Project Acronym | CWS-CARES | | 07/2013 | 04/2026 |

| | | |
|----|--------------------------------|---|
| 4. | Submitting Agency/state entity | California Department of Social Services |
| 5. | Reporting Agency/state entity | California Health and Human Services Agency |

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

| | |
|-----------|---|
| 6. | Project Objectives |
| | <p>The CWS-CARES Project is focused on meeting technical and business objectives that will:</p> <ul style="list-style-type: none"> • Improve service delivery and outcomes; • Allow more timely system enhancements to support changes in CWS practice; • Achieve Comprehensive Child Welfare Information System (CCWIS) requirements required to maintain Federal Financial Participation (FFP) funding and avoid federal non-compliance penalties; and • Reduce ongoing maintenance and operations costs. <p>Technical Objectives:</p> <ul style="list-style-type: none"> • 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; • 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. • Use Agile iterative software development techniques and evaluate opportunities for production release of functionality, in between planned releases, that would be valuable to users. • Establish a CARES Data Infrastructure (CDI) to maximize state independence and control of vital assets and provide more complete, timely, accurate and consistent data. |

| | | |
|-----------|---|--------------------------|
| 8. | Major Milestones* | Est Complete Date |
| | Releases: | |
| | Update Product Management Plan ¹ | Completed |
| | SPR 4 Formal Submission | Completed |
| | Vendor Management Metrics Training for Contract Analysts and State Functional Managers | Completed |
| | Salesforce Licenses Subscription Solicitation Release | Completed |
| | CDI Contract Award | Completed |
| | WOA Process Training for State Functional Managers | Completed |
| | Independent Advisor (IA) Contract Award | Completed |
| | Establish high level criteria for moving developed product into Staging, Readiness Environment, and Production environments | Completed |
| | Quarterly Updates to Roadmaps (FY 2020/21 Q3) | Completed |
| | Salesforce Licenses Subscription Contract Award | Completed |
| | WOA and KPI Training for Vendors | Completed |

¹ All project plans are living documents which are subject to revision based on updated assumptions, risks, and findings.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|-----------|------------------------|-----------|---|-----------|---------------------------------|-----------|---|-----------|---|-----------|--|-----------|-------------------------------|-----------|---|-----------|--|-----------|-----------------------|-----------|----------------------------|-----------|-----------------------------|-----------|--|-----------|
| <p>Business Objectives:</p> <ul style="list-style-type: none"> • CCWIS Compliance: To ensure retention of FFP at current or improved participation levels; • Resource Utilization: Through elimination of redundant data entry, increased availability of information and documentation, and timely business practice execution; • System Access: Improved CWS worker, Service Provider and Service Organization access to system information through portal and mobility technologies; • Information Exchange Interfaces: Improved access, accuracy and completeness of data resident in external State/County and business partner repositories; • Business Collaboration: Improved communication/collaboration and information management between CWS workers, community organizations, service providers and multi-disciplinary teams; and • Outcome-Driven Planning, Management and Assessment: Improved case management outcome/process planning, management, and assessment/reporting. | <table> <tr> <td>PaaS Systems Integrator Contract Execution</td><td>Completed</td></tr> <tr> <td>CDI Contract Execution</td><td>Completed</td></tr> <tr> <td>Update CWS-CARES Development Guiding Principles</td><td>Completed</td></tr> <tr> <td>Implement Splunk for CARES-Live</td><td>Completed</td></tr> <tr> <td>Independent Advisor (IA) Contract Execution</td><td>Completed</td></tr> <tr> <td>Salesforce Licenses Subscription Contract Execution</td><td>Completed</td></tr> <tr> <td>Execute Implementation Services contract</td><td>Completed</td></tr> <tr> <td>Decision on Greenfield Module</td><td>Completed</td></tr> <tr> <td>Establish KPIs to ensure Greenfield module/tool aligns with program goals, at the value-milestone and/or module level</td><td>Completed</td></tr> <tr> <td>Submit As-Needed APD to ACYF detailing requirements, schedule, and implementation details for Greenfield solution prior to the start of development work</td><td>Completed</td></tr> <tr> <td>CDI Setup and Testing</td><td>Completed</td></tr> <tr> <td>Development Pipeline Setup</td><td>Completed</td></tr> <tr> <td>Update Data Conversion Plan</td><td>Completed</td></tr> <tr> <td>Update Product Quality Assurance Guide</td><td>Completed</td></tr> </table> | PaaS Systems Integrator Contract Execution | Completed | CDI Contract Execution | Completed | Update CWS-CARES Development Guiding Principles | Completed | Implement Splunk for CARES-Live | Completed | Independent Advisor (IA) Contract Execution | Completed | Salesforce Licenses Subscription Contract Execution | Completed | Execute Implementation Services contract | Completed | Decision on Greenfield Module | Completed | Establish KPIs to ensure Greenfield module/tool aligns with program goals, at the value-milestone and/or module level | Completed | Submit As-Needed APD to ACYF detailing requirements, schedule, and implementation details for Greenfield solution prior to the start of development work | Completed | CDI Setup and Testing | Completed | Development Pipeline Setup | Completed | Update Data Conversion Plan | Completed | Update Product Quality Assurance Guide | Completed |
| PaaS Systems Integrator Contract Execution | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CDI Contract Execution | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Update CWS-CARES Development Guiding Principles | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Implement Splunk for CARES-Live | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Independent Advisor (IA) Contract Execution | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Salesforce Licenses Subscription Contract Execution | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Execute Implementation Services contract | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Decision on Greenfield Module | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Establish KPIs to ensure Greenfield module/tool aligns with program goals, at the value-milestone and/or module level | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Submit As-Needed APD to ACYF detailing requirements, schedule, and implementation details for Greenfield solution prior to the start of development work | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CDI Setup and Testing | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Development Pipeline Setup | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Update Data Conversion Plan | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Update Product Quality Assurance Guide | Completed | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

| | | |
|--|--|-----------|
| | Determine approach to transition from CWS/CMS to CWS-CARES | Completed |
| | Quarterly Updates to Roadmaps (FY 2020/21 Q4) | Completed |
| | As-Needed APD Approved by ACYF | Completed |
| | Update System Security Plan | Completed |
| | Draft Master Plan for Implementation | Completed |
| | Greenfield Development Progress Evaluation | Completed |
| | Conduct "Current State" County Assessment Pilot | Completed |
| | Complete "Current State" County Assessment Repository | Completed |
| | Submit IAPDU to ACYF | Completed |
| | Establish Data Conversion Workbench | Completed |
| | Publish "Current State" County Assessment Schedule | Completed |
| | Master Plan for Implementation Update (RFA Application process) | Completed |
| | Organizational Change Management (OCM) Plan Update (RFA Application process) | Completed |
| | RFA Training Plan | Completed |
| | Completed Development of Greenfield Module | Completed |

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

| | | | |
|--|--|--|-----------|
| | | Complete Greenfield Readiness/Production | Completed |
| | | Release Management Plan | Completed |
| | | Decide Greenfield Readiness Go/No Go | Completed |
| | | Submit Draft Special Project Report (SPR) 5 to CDT | Completed |
| | | Second Greenfield Development Progress Evaluation | Completed |
| | | Submit FY 2022-23 Spring BCP | Completed |
| | | Complete CARES V1 Building Block/Epic T-Shirt Sizing Estimation | Mar 2022 |
| | | Complete Greenfield Implementation | Mar 2022 |
| | | Complete Implementation of Jira Progress Metric Improvements | Apr 2022 |
| | | Execute new IV&V Services Contract | Apr 2022 |
| | | Establish Installed CARES V1 System Architecture (hardware/software) Baseline | Jun 2022 |
| | | Complete PaaS SI contract modifications | TBD |
| | | Establish Backlog for minimum of 2 sprints reviewed by PaaS SI (continuously maintain going forward) | Jun 2022 |
| | | Begin Build Activities for CARES V1 | Jun 2022 |
| | | Establish approach for working across CWS/CMS and CWS-CARES | Jun 2022 |

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

| | | | |
|--|--|---|------------------|
| | | Award Financial Management Services Contract | Jul 2022 |
| | | Submit IAPDU to ACYF | Jul 2022 |
| | | Submit SPR 6 to CDT | Jul 2022 |
| | | Submit FY 2023-24 Fall BCP | Sep 2022 |
| | | CARES V1 Cutover Plan | Dec 2022 |
| | | Draft CWS-CARES System Technical Recovery Plan | Dec 2022 |
| | | Draft CWDS Business Continuity Plan | Apr 2023 |
| | | CWS-CARES V1 Development Progress Evaluation | TBD ² |
| | | Master Plan for Implementation Update (CARES V1) | TBD |
| | | Organizational Change Management (OCM) Plan Update (CWS-CARES V1) | TBD |
| | | Product Management Plan Update | TBD |
| | | Training Plan Update (CWS-CARES V1) | TBD |
| | | Establish V1 Data Dictionary / Data Mapping Baseline | TBD |
| | | V1 Performance Test Plan | TBD |

² All 'TBD' milestones will be updated upon sufficient analysis and approval of any changes, per the Governance Plan

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.1 SECTION A: EXECUTIVE SUMMARY

| | | | |
|-----------|--|---|-----|
| | | V1 Acceptance | TBD |
| | | Complete CWS-CARES Product Milestone 1: Screening (Hotline) | TBD |
| | | Complete CWS-CARES Product Milestone 2: Investigations | TBD |
| | | Complete CWS-CARES Product Milestone 3: Emergency Placement | TBD |
| | | Complete CWS-CARES Product Milestone 4: Pathway to Court Ordered Family Maintenance | TBD |
| | | Complete CWS-CARES Product Milestone 5: Pathway to Community Based Connection or Voluntary Family Maintenance | TBD |
| | | Complete CWS-CARES Product Milestone 6: Ongoing Case Management, Placements, and Exits to Permanency; Resource Family Engagement, Applications and Monitoring | TBD |
| | | Complete CWS-CARES Product Milestone 7: Case Closure and Aftercare, RFA Complaints | TBD |
| | | Complete CWS-CARES Product Milestone 8: Special Populations | TBD |
| | | Decide TI 1 – TI 19 Readiness Go/No Go | TBD |
| 7. | Proposed Solution | | |
| | <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 |
| Agency Secretary | Mark | Ghaly | 916 | 654-3454 | Mark.Ghaly@chss.ca.gov |
| State Entity Director | Kim | Johnson | 916 | 657-2598 | Kim.Johnson@dss.ca.gov |
| Budget Officer | Andrieu | Ching | 916 | 653-2422 | Andrieu.Ching@dss.ca.gov |
| CIO | Richard | Gillespie | 916 | 651-2929 | Richard.Gillespie@dss.ca.gov |
| Project Sponsor | Angie | Schwartz | 916 | 651-5361 | Angie.Schwartz@dss.ca.gov |

| DIRECT CONTACTS | | | | | |
|--|------------|------------|-----------|----------|--|
| | First Name | Last Name | Area Code | Phone | E-mail |
| Doc. Prepared by | Hamed | Mahmoud | 916 | 891-3176 | Hamed.Mahmoud@osi.ca.gov |
| Primary Contact | Marta | Laszcz | 916 | 804-3291 | Marta.Laszcz@osi.ca.gov |
| Project Management and Administration Director | Kelly | Hassenplug | 916 | 407-9171 | Kelly.Hassenplug@osi.ca.gov |

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 | | Project | 0530-211 |
| 2. | What is the date of your current Agency Information Management Strategy (AIMS)? | Date | 12/2017 | | Doc. Type | SPR 5 |
| 3. | For the proposed project, provide the page reference in your current AIMS and/or strategic business plan. | Doc. | AIMS | | | |
| | | Page | 45 | | | |

| | | |
|---|------------|-----------|
| | 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

| | | |
|-----------|--|----------|
| Project | | 0530-211 |
| Doc. Type | | SPR 5 |

| | | | | |
|-------------------------------|-----|---|------------|--|
| Budget Augmentation Required? | | | | |
| | No | | | |
| | Yes | X | FY 2022/23 | |

| | | | | | | | | | | |
|--|--|--|--|--|--|--|------------|------------|-------------|-------------|
| | | | | | | | FY 2019/20 | FY 2020/21 | FY 2021/22 | FY 2022/23 |
| | | | | | | | 32,453,885 | 39,606,835 | 129,717,583 | 143,195,630 |

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 | FY 2022/23 | 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 | 39,606,835 | 129,717,583 | 143,195,630 | 505,140,782 |
| Continuing Costs | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| TOTAL PROJECT BUDGET | 5,711,858 | 10,194,001 | 9,497,000 | 29,049,441 | 48,551,348 | 57,163,201 | 32,453,885 | 39,606,835 | 129,717,583 | 143,195,630 | 505,140,782 |

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 | FY 2022/23 | TOTAL* |
|-------------------------|-------------|--------------|-------------|--------------|--------------|--------------|--------------|--------------|---------------|---------------|---------------|
| Cost Savings/Avoidances | (5,711,859) | (10,194,001) | (9,497,000) | (29,049,441) | (48,551,348) | (57,163,201) | (32,453,885) | (39,606,835) | (129,717,583) | (143,195,630) | (505,140,782) |
| Revenue Increase | 0 | 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

| | |
|---|-----|
| Vendor Cost for FSR Development (if applicable) | N/A |
| Vendor Name | N/A |

| | |
|-----------|----------|
| Project | 0530-211 |
| Doc. Type | SPR 5 |

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 | FY 2022/23 | TOTAL* |
|------------------------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|------------|-------------|
| Prime Vendor Budget** | - | - | - | 5,625,472 | 22,701,387 | 16,879,157 | 0 | 5,675,585 | 38,089,150 | 40,631,389 | 129,602,140 |
| Project Management Budget | 21,649 | 443,375 | 711,940 | 777,395 | 1,071,827 | 1,288,601 | 662,062 | 369,411 | 1,756,074 | 1,741,408 | 8,843,742 |
| Independent Oversight Budget | 153,600 | 112,560 | 141,214 | 225,120 | 225,120 | 312,212 | 556,328 | 602,860 | 564,480 | 800,000 | 3,693,493 |
| IV&V Budget | 208,253 | 306,185 | 302,072 | 350,357 | 104,105 | 494,785 | 691,346 | 880,378 | 1,281,334 | 1,296,000 | 5,914,815 |
| Other Budget | 1,477,046 | 3,711,863 | 1,134,768 | 6,296,661 | 8,417,566 | 16,541,945 | 9,517,733 | 9,230,407 | 39,878,428 | 42,579,425 | 138,785,842 |
| TOTAL VENDOR BUDGET | 1,860,548 | 4,573,983 | 2,289,994 | 13,275,005 | 32,520,005 | 35,516,700 | 11,427,469 | 16,758,641 | 81,569,466 | 87,048,222 | 286,840,032 |

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

| | |
|-------------------------------|-----|
| Primary Vendor | N/A |
| Contract Start Date | N/A |
| Contract End Date (projected) | N/A |
| Amount | N/A |

* The Prime Vendor Budget amounts for SFY 2021-22 and 2022-23 includes costs for the CARES Data Infrastructure, Implementation Services, PaaS Systems Integrator, and Product Value Services contracts.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.6 SECTION F: RISK ASSESSMENT INFORMATION

| | |
|------------------|----------|
| Project | 0530-211 |
| Doc. Type | SPR 5 |

| | Yes | No |
|--|-----|----|
| Has a Risk Management Plan been developed for this project? | X | |
| | | |

General Comment(s)

An updated version of the CWS-CARES Project Risks and Issues Management Plan was included in the project's SPR 4 submission that was approved by the CDT on April 1, 2021. All Plan changes will continue to use the documented change management process described in Section 5.4 Change Management.

CWS-CARES Risk Assessment/Management is using the California Project Management Framework (CA-PMF) guidelines and OSI Best Practices that include five processes: Identify Risk, Analyze Risk, Risk Response Plan Execution, Monitoring and Controlling Risks. These processes are defined in the Risk and Issue Management Plan. All open risks and issues are closely monitored and managed using the Jira workflow tool, are reviewed with the project team every two weeks and are included in the monthly Project Status Report (PSR).

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3.0 Project Background/ Summary

The Child Welfare Digital Services (CWDS) is a partnership of the California Department of Social Services (CDSS), Office of Systems Integration (OSI), and the County Welfare Directors Association (CWDA), in collaboration with 58 local child welfare agencies and tribal partners representing the Indian Child Welfare Act (ICWA). The CWDS works closely with other State stakeholders including the California Health and Human Services Agency (CalHHS), the California Department of Technology (CDT), and the Department of Finance (DOF). The purpose of the Child Welfare Services-California Automated Response and Engagement System (CWS-CARES) project is to replace the existing legacy child welfare systems, including the Child Welfare Services/Case Management System (CWS/CMS), the Licensing Information System (LIS), and the Field Automation System (FAS), with the CWS-CARES.

In accordance with Special Project Report (SPR) 4 Condition for Approval #1 (0530-211 CWS-CARES SPR 4 Approval Letter), the SPR 5 describes the CWS-CARES project status and updated plan for Design, Development, and Implementation (DD&I). The SPR 5 also provides updates to the SPR 4 that was conditionally approved by the CDT on April 1, 2021. Additional project background information is available for review in Section 3.0 of the previously submitted SPR 4.

The project continues to use a multiple vendor approach in the DD&I of the CWS-CARES. The CWDS will deliver the CWS-CARES operational applications on the Salesforce platform, using an iterative development methodology and user-centered design. In tandem, the CWDS will deliver the CWS-CARES data services on the CARES Data Infrastructure (CDI). Together, operational applications delivered on the Salesforce platform and data services delivered on the CDI make up California's Comprehensive Child Welfare Information System (CCWIS).

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), communicating bi-directionally with Salesforce, designed to maintain high-quality person-centered longitudinal data, produce required federal data extracts/indicators, produce reliable practice fidelity and outcome metrics. The CDI will also generate near-real-time operational alerts and recommendations, support data exchanges with the Child Welfare Contributing Agencies (CWCAs) and other partners, enable continuous quality improvement and program evaluation, and maximize the State's independence and control of vital data assets and business rules.

The decision to develop the CWS-CARES in this way addresses the project's biggest challenges to date:

- Effectively integrating the CWS/CMS with data generated by the CWS-CARES (also known as "Legacy Integration Strategy").
- Deploying a holistic product strategy that fosters modular development for release of functionality, in between planned releases, that would be valuable to users.
- Achieving stability, performance, scalability, and security of the technical

infrastructure.

- Effectively managing multiple contracts and vendors for DD&I and operational capability.

The goal of the CWS-CARES Project remains the same - to replace the CWS/CMS with a CCWIS compliant system that will support the following objectives:

- **Child Safety**

The CWS-CARES is a highly regulated, data-intensive, and safety-critical system. Product and technology decisions must put child safety first.

- **Process Efficiency**

The CWS-CARES will streamline workflows to alleviate the pain points that keep child welfare workers from spending time with children and families and limit engagement by community partners.

- **Practice Fidelity**

The CWS-CARES will reinforce the elements of California's Integrated Core Practice Model (ICPM), including behaviors shown by evidence to contribute to better safety, permanency, and well-being outcomes.

- **Policy and Program Alignment**

The CWS-CARES will support system reform and program goals and enable measuring progress towards those goals.

- **Continuous Improvement**

The CWS-CARES will provide reliable data services that support data quality monitoring, continuous quality improvement, program evaluation and policy innovation. The system will be sufficiently flexible (configurable) and extensible to keep up as regulations, policies, programs, and practice evolve.

The project also completed a greenfield analysis to evaluate opportunities for an early, incremental release of functionality to a select group of pilot counties (CWS-CARES Path Forward, Attachment 1). The Resource Family Approval (RFA) Application Submission, Review, and Approval process was selected as the CWS-CARES greenfield demonstration module and the project started the design and development process after the selection was presented to the CWDS Board of Directors (BOD) on May 27, 2021.

4.0 Proposed Project Change

The CWS-CARES project is required by the state control agencies, the CDT and the DOF, to submit a SPR and Budget Change Proposal (BCP) on an annual basis. The SPR 5 provides project updates for the remaining State Fiscal Year (SFY) 2021/22, known changes to the Service Delivery Lifecycle (SDLC), and further planning activities that need to occur prior to the build of CWS-CARES Version 1 (V1) in SFY 2022/23. Upon submission of this SPR, there are no known changes to overall project scope, schedule, or cost as compared to the SPR 4 approved in April 2021.

The terms defined in the table below may serve as a reminder to the project terminology that was described in the SPR 4.

Table 1 - Glossary of Terms

| Term | Definition |
|-----------------------------------|--|
| Greenfield | Because of the complexity and cost of automated data synchronization between CWS-CARES and CWS-CMS (the “legacy system”), CWDS plans two major CWS-CARES releases Version 1 (V1) and Version 2 (V2) to production. However, to test out the new Salesforce PaaS-based approach, including the CARES Data Infrastructure (CDI), along with the accompanying Service Delivery Lifecycle (SDLC), the project will first release a “greenfield” module before tackling the bulk of the CWS-CARES functionality. Greenfield modules do not depend on automated data synchronization with legacy systems. |
| Resource Family Approval (RFA) | A statewide foster caregiver approval process for all caregivers (related and non-related). The RFA program has a single approval standard that replaces the previous multiple processes for licensing foster family homes, approving relatives and non-relative extended family members (“NREFMs”) as foster care providers, and approving families for legal guardianship or adoption. Tribally approved homes are not required to adhere to the RFA standards. |
| Service Delivery Lifecycle (SDLC) | The project’s phased approach to system development, consisting of the following four phases: Discovery, Prototyping, Build & Iterate. |
| Discovery | The goal of Discovery is to write business (user) stories and develop supporting artifacts - such as the detailed domain model, designs (e.g., wireframes) and business rules specifications - working segment by segment each week. Core Product Development Team (PDT) working sessions provide a forum for reviewing work-in-progress artifacts to ensure alignment, build shared knowledge and gather feedback across the PDT. By the end of Discovery, the PDT should be able to make decisions about which of the Testable Increment (TI) goals require prototyping to validate user experience (UX) designs and/or technical approaches |
| Prototyping | The goal of Prototyping is to reduce technical uncertainty, refine designs and inform the writing of technical tasks and subtasks. By the end of Prototyping, the PDT should have estimated the effort associated with each story, drafted supporting technical tasks and subtasks, and determined scope for the Build and Iterate phases. Prototyping may result in limited changes/additions to business (user) stories. |

| Term | Definition |
|-------------------------|---|
| Build & Iterate | The Build and Iterate phases run like standard development sprints as developers deliver business (user) stories and the supporting technical tasks. The goal is to complete End-to-End (E2E) QA Testing, epic by epic, no later than the first week of Iterate. Upon acceptance of delivered epics by the Product Delivery Lead (PDL) and Service Manager, product features will be available, in the Staging environment, for user feedback. Mechanisms for eliciting user feedback include facilitated workshops and “office hours” sessions to support user exploration on their own. |
| Testable Increment (TI) | A TI spans multiple 3-week sprints and may bundle together Building Blocks from multiple process/subject areas (e.g., Investigations, Case Management, Courts, Eligibility and Resource Management). A given TI (or series of TIs) may deliver a specific scenario corresponding to a distinct child/family pathway through one or more Building Blocks. |
| Context Setting | Context setting is the first phase of the Service Delivery Lifecycle. Service Managers establish the fundamental goals of their Process Areas, map out the main activities and decision points of child welfare work and begin exploring how CWS-CARES will support them. This is distinct from other phases of the SDLC which will generally focus on a handful of Building Blocks within a Process Area (or a combination of Process Areas). |
| Building Blocks | A Building Block is a coherent testable unit of work with a clear start/end event and a result of measurable business value. The CWS-CARES Product Roadmap (Attachment 15) includes approximately 170 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. |
| Pod | In CWDS' Team Structure and Composition (Team Topology), a pod is a multi-vendor, discipline-specific working group that supports the core Product Delivery Team (PDT) in meeting commitments. For example, the Research, Analysis and Design Pod includes researchers, business/technical analysts, and designers from all vendors. While members of this pod may not participate directly in all PDT meetings, they may have responsibility for conducting spinoff design sessions and/or completing specific artifacts. The intent of pods is to keep core PDT meetings (for story refinement, for example) efficient. |
| Service Maps | An artifact that provides a visual representation of a building block that details the workflow, pain points and opportunities, and collects all artifacts in one place. |

Experience-Informed Project Changes

Although the project conducted a series of SDLC trial runs, culminating in some configured functionality on Salesforce prior to the arrival of our current vendors, the Greenfield initiative presented the first opportunity to test the methodology in a multi-vendor setting. This pilot activity, coupled with collaboration and input from vendor partners, including recommendations from Independent Advisor, allows the project to identify practices through which the SDLC can be improved to increase both efficiency and outcomes. Certain aspects of the SDLC did work, representing an improvement over how the project operated previously. For example:

- Starting each TI with a shared understanding of product value (program goals and metrics); those goals serve as “scope guardrails,” informing the ongoing prioritization of features (stories) based on value, user feedback and estimates.
- Policy Summaries conducted up front, including review by CDSS program managers, inform the specification of business rule sets.
- Mapping user stories to cross-cutting artifacts, such as Service Maps and Domain Models, provide cohesive business context at the Building Block level.
- Data modeling and design activities lead with consideration for the necessary metrics and reports from the start, so that configuration of objects in Salesforce can meet federal and state reporting requirements and also support practice improvement and program evaluation.
- Regular, cadenced user involvement and feedback, including co-design sessions and hands-on experience with working software ensures that the PDT is getting critical feedback that drives the product’s fit, functionality and adoption.

The Greenfield initiative also surfaced opportunities to improve SDLC execution. Based on both the PDT and project retrospectives that were conducted in October 2021 after Greenfield (GF) TI 0.1, the project initiated the following improvements to the SDLC:

- Shift to a more continuous Design (Discovery), Prototype, Build and Iterate process to set a steady cadence of planning ceremonies and avoid unmanageable peaks in work for development, quality assurance and product acceptance resources. Workload predictability is also essential to manage effort, cost, and schedule.
- Perform design work directly on Salesforce to ensure designs discussed with users more closely reflect what is possible on Salesforce, to allow developers to accelerate their work by leveraging the design prototypes, and to reduce unnecessary deviation from designs in the final software delivered.
- Establish a single repository (Sparx) as the source of truth for data and business rules requirements, to avoid the ambiguity and inconsistencies between multiple artifacts used by designers, analysts, developers, and quality assurance testers.
- Involve developers and engineers from the beginning of story drafting and throughout refinement, rather than waiting for one review at the end to gather and answer all questions for clarification. This will not only reduce time lost to back and forth negotiating the feasibility of various technical approaches to

meeting business needs, but also ensure a shared understanding of the needs by the development teams when it comes time for final review.

- Build a two-sprint backlog of reviewed stories to allow the developers to maintain momentum if the product delivery team encounters blockers with any given epic or story. This will also offer some flexibility to planning scope from sprint to sprint, and the opportunity to respond to user feedback quickly through iteration, without risking the team's ability to deliver on overall TI goals. We will reassess the target depth of the backlog after the completion of the first milestone, to determine if it is feasible or beneficial to expand the backlog beyond two sprints.

These modifications further supported the successful completion of working code/greenfield functionality and have laid the path for successful completion of the Greenfield effort as scheduled. The project team will continue to employ the continuous design and development strategy, which has the added benefit of additional, ongoing opportunities for feedback from county subject matter experts (SMEs). The project team was able to incorporate these SDLC changes and will implement GF TI 0.1, 0.2 and 0.3 on schedule, through March 2022. As indicated above, the team shifted to a more continuous design and development methodology during GF TI 0.2 because the original SDLC cycle of four sprints was too tight for the complexity of work. With this change, feedback from the county subject matter experts (SME) on the project is no longer confined to the Iterate Sprint, but rather happens more continuously, in twice-weekly research sessions.

The project team employed its planned product delivery approach during Greenfield, which included discrete activities related to architecture and scope refinement at the module level. Architecture activities occurred "just in time," throughout the SDLC. This produced a variety of RFA challenges, sub-optimal patterns and deferred technical goals, while also suggesting that continuing with the approach could limit the overall foresight that is needed when striving for architecture quality. In parallel, the Independent Advisor (IA) consultant shared that projects which define their architecture at the front end of the SDLC are more likely to succeed than those that don't. Accordingly, the project proposes to modify its approach by consolidating and advancing the solution architecture work, to include:

- Explicitly aligning technical approaches and architectures to product goals up front via sample use cases and requirements.
- Determining Application Architecture, including Accelerators, Design Patterns, etc.
- Establishing Technical Architecture and related patterns for Master Data Management, Business Rules Engine, and Data Integration
- Refining Interfaces, Conversion, Security, Reporting/Analytics, product metrics requirements, and architecture.
- Assessing and building out additional Infrastructure (e.g., environments, pipeline) for V1.

Greenfield activities also identified the need for further confirmation, elaboration, and allocation of the project's scope. This includes analysis that would have been

completed at the front end of each TI, which is when the project team originally intended to better understand and define the work to be done and the approach to take. Similar to the architecture work, the project proposes to conduct these activities in advance of formally initiating V1/V2 work, which the project anticipates will allow for improved alignment, core product agreements that greatly facilitate scope and approach conversations, and overall efficiency. This includes such activities as:

- A thorough review of the Building Blocks, Epics, Service Maps, Metrics and other supporting materials to develop “t-shirt” size estimates and scope definition for the CWS-CARES V1.
- The development of a backlog of prioritized stories that will be continuously maintained (approximately 2 sprints worth, on the assumption of two-week sprints) before kicking off the development cycle for the CWS-CARES V1.
- Broader CWS-CARES V1 roadmap and context setting/scope definition prior to starting the CWS-CARES V1. It is essential that the project reaches confirmed agreement about scope prior to engaging in V1 design and related granular discussions.
- Improved rigor in the collaborative process for epic and user story creation, to minimize back and forth during story review and development activities. This work will inform ongoing planning and process/tool improvement activities that are part of every project, which includes such things as:
 - Identifying and configuring changes in the work tracking tool (Jira) that align with the SDLC improvements
 - Updating the Master Project Schedule (MPS) to align with the proposed changes to SDLC and work activities
 - Updating the project staffing plan based on the scope and schedule refinements.
 - Redefining project reports to align work with delivery of business value.

Finally, Greenfield work allowed for assessment of the multi-vendor model. While the project teams are well-skilled and experienced, it became clear that the CARES project needs more formality around the complex and critical systems integration work and has begun working with the PaaS SI vendor accordingly. The project anticipates that both the State and the vendor will need to review the current contract scope and resources to ensure that the State gets the systems integration needed to succeed. During the remainder of SFY 2022, the project proposes to work with CDT/Statewide Technology Procurement (STP) Division to conduct the necessary reviews and identify appropriate negotiations for contract modifications that might be necessary.

4.1. Duration and Timing

One of the many benefits of adopting the project changes identified in Section 4.0 is the opportunity to increase project alignment with the original baseline, or at a minimum to assess/confirm the true realism of that baseline. By aggregating and advancing solution architecture activities and decomposing into/allocating mid-level scope to discrete work packages, the project team will have a much better understanding of resources and

time needed to deliver the solution. It will also be able to more accurately assess and report progress as a function of business value delivered rather than effort expended.

4.2. Overall Project Cost

Another benefit of the proposed project changes as identified in Section 4.0 will be the ability to further refine both the aggregate and annual project funding needs. This work will inform the ongoing resource needs both in terms of hours and skills and will allow the project to provide a more confident estimate.

Currently, there is no suggestion that the overall project costs will change. At this time, the current estimated total project budget through stabilization and the CCWIS Review of the CWS-CARES remains \$911.4M.

As such, the project requests continued funding at the current level, with adjustments only to align with full-year funding in SFY 2022-23 versus partial funding the prior year. The cost estimates will be updated as part of SPR 6 once the project has the information needed. The project acknowledges that future funding will require ongoing proof of delivery and a review of the cost base, as stated in the CWS-CARES Path Forward document (Attachment 1), and CDT and DOF will require demonstration of progress, business value delivery, and success in meeting commitments prior to approval of further funding in accordance with the standard BCP process.

The Rough Order of Magnitude (ROM) for the CWS-CARES budget for FY 2021/22 and FY 2022/23 is displayed below. The FY 2021/22 aligns with the SPR 4 budget and includes an increase based on issued Budget Letter adjustments. Budget bill language (Budget Act of 2020 Section 5180-491, Provision 1) allows for the project to re-appropriate funds upon approval from the Department of Finance. The FY 2021/22 CWS-CARES budget supported activities that were primarily focused on finishing the procurements and onboarding the vendors, followed by the greenfield activities (e.g., analysis, selection, approvals, design, development) and establishing the CDI. As depicted in the ROM, there will be an increase in several categories due to the increase in activities that are anticipated for the implementation and stabilization of the RFA Application process, as well as the DD&I of the CWS-CARES V1. In addition, FY 2022/23 includes new ancillary procurements (Service Desk Services, CARES V1 Security Testing, and Financial Management Services) while also taking into account a full year of services from all the contracts that were awarded during FY 2021/22. The project will also see an increase in the Salesforce license costs due to the fact that the initial year of this contract is associated with greenfield only, and the State expects to increase license use incrementally through the duration of the project.

The project will need to reassess the Core Constituent Participation³ model to ensure alignment with the CWS-CARES V1 planning goals. The assumption, however, remains those costs in this category will increase in FY 2022/23 as the project will be executing upon on the SDLC and conducting sessions with the core constituents in the

³ County participation is now referred to as Core Constituent Participation to reflect the inclusion of the Tribal Core Constituents in this cost section

various service areas for user-centered design and development activities for the CWS-CARES V1.

| ROM (SPR 5 Update) | FY 21/22 | FY 22/23 | Budget Change Description |
|--------------------------------|-----------------|-----------------|---|
| Core Constituent Participation | \$ 25,859,318 | \$ 26,000,000 | The cost increase to include Tribal partners and align resource involvement with the CARES V1 SDLC activities. |
| Salesforce Licenses | \$ 16,805,237 | \$ 23,361,773 | The cost increase aligns with the executed contract costs and incremental increase of licenses through the SDLC. |
| Professional Services | \$ 17,620,997 | \$ 20,416,833 | The cost increase aligns with the executed contracts and includes costs for three new contracts (Financial Management Services, CARES V1 Security Testing Services, and Service Desk Services). |
| PaaS System Integrator | \$ 15,866,985 | \$ 15,904,142 | The cost increase aligns with the executed contract. |
| CDI Services | \$ 10,758,035 | \$ 10,824,143 | The cost increase aligns with the executed contract. |
| State Personal Services | \$ 11,691,243 | \$ 12,933,101 | The cost increase is due to the request for four new positions and one reclassification. |
| Implementation Services | \$ 6,844,610 | \$ 9,297,024 | The cost increase aligns with the executed contract and provides a full year of funding. |
| Other State Goods and Services | \$ 6,447,245 | \$ 5,806,710 | The cost decrease is primarily due to a reduction in facilities costs and CARES-Live supporting software licenses. |
| County Consultants | \$ 7,017,309 | \$ 7,422,812 | The cost increase is due to adjustments made to align with the executed contracts. |
| Data Center Services | \$ 6,187,084 | \$ 6,623,012 | The cost increase includes estimated costs to support CWS-CARES and data conversion activities. |

| ROM (SPR 5 Update) | FY 21/22 | FY 22/23 | Budget Change Description |
|------------------------|-----------------------|-----------------------|--|
| Product Value Services | \$ 4,619,520 | \$ 4,606,080 | The decrease in costs aligns with the executed contract. |
| Total | \$ 129,717,583 | \$ 143,195,630 | |

5.0 Project Status

During the Greenfield activities, and in general, the project employed the strategy described in the SPR 4 to develop a CCWIS compliant solution comprised of 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. Together, the Salesforce-based applications and the CDI-based data services make up CWS-CARES, which will be California's CCWIS solution. There have been no changes to the overall *product* strategy since the SPR 4.

Following approval of the SPR 4 on April 1, 2021, the project completed the primary design and development procurements on time. On March 8, 2021, the project onboarded the PVS vendor, Klynveld Peat Marwick Goerdeler (KPMG). The PVS vendor helps design and prototype solutions, add value to what the project builds, and advocates for the State's program goals for the CWS-CARES. During the week of April 12, 2021, the project onboarded the PaaS SI vendor, Deloitte Consulting, LLP. The PaaS SI vendor provides product strategy, architecture, engineering and (Salesforce-focused) design expertise to the PDT. The vendor also performs as the primary systems integrator and will deliver a complete CCWIS that works architecturally, technically, and functionally, in accordance with federal standards and requirements. In addition, the project began onboarding activities on April 9, 2021 of the CDI vendor, OnCore Consulting. The CDI vendor provides data architecture and engineering expertise to the PDT and will set up, maintain, and operate the CDI as the data platform for the CWS-CARES. The CDI vendor will also use the CDI-based tools to build selected CDI data services, including metric calculation logic, reports, and data exchange APIs. These vendors are integrated into the project and are working to deliver the CWS-CARES in the capacity described above.

On April 23, 2021, the project onboarded the IA vendor, Elyon Enterprise Strategies, Inc. The IA provides data and insights to independently assess if the CWS-CARES project is on track to deliver a service that meets or exceeds the CCWIS compliance. Further detail on the CWS-CARES procurements is discussed in Section 5.9 Procurements below.

While the procurements were underway, the PDT, in consultation with state and county service managers and other subject matter experts, continued work on identifying and researching the potential options to develop and implement a demonstration greenfield module within the first six months of onboarding the primary vendors. When the vendors onboarded, the service managers began to provide input and insight toward the greenfield module recommendation. The vendors also began discussions regarding the CWS-CARES Development Pipeline and the CDI, including the cutover approach from

the CWS/CMS to the CWS-CARES. The cutover approach discussions continued during the month of July with the understanding that further agreements are needed regarding the strategy that will need to be in place before CWS-CARES V1 goes live, and before CWS-CARES V2 is implemented and the CWS/CMS is decommissioned.

The final greenfield selection was presented to the CWDS Board of Directors (BOD) on May 27, 2021, and the CWDS announced that the Resource Family Approval (RFA) Application Submission, Review, and Approval process was selected as the greenfield demonstration module. On May 25, 2021, the CWDS met with its tribal partners during an Indian Child Welfare Act (ICWA) Adoption and Foster Care Analysis and Reporting System (AFCARS) Steering Committee meeting to discuss the recent CWDS town hall sessions resulting in the selection of the CWS-CARES RFA Application process. The tribal representatives expressed the need for the inclusion of ICWA data elements within the RFA Application process and provided identified elements that should be included in the module. To address these elements, the RFA Application process will include functionality to track applications that have an Indian child associated with the home, track ethnicity of the RFA applicants, track efforts to include the tribe or tribal representatives in the assessment process, and the ability to share the written report with the Director of Tribal Social Services or the commensurate tribal leader in the child's tribe. These elements are in alignment with the CDSS' written directives for RFA. Additionally, the tribal representatives expressed the need for additional data elements, which are in alignment with the RFA written directives and/or are part of the ICWA AFCARS data elements that CDSS has committed to be included in the portions of the remaining RFA functionality being developed in CWS-CARES V1. The project acknowledged these needs and expressed renewed commitment to ensuring that Tribes are appropriately consulted regarding the development of the CWS-CARES moving forward. This will include providing a monthly project update at the ICWA AFCARS Steering Committee meetings and developing a plan for tribal representatives to serve as core constituents on the CWS-CARES project.

An As-Needed APD was submitted to the Administration on Children, Youth and Families (ACYF) on June 4, 2021, requesting approval of the selected greenfield solution before starting development work of the RFA Application process. This As-Needed APD provided a high-level description of the greenfield analysis, the requirements, schedule, and implementation plan. The greenfield module will not be integrated with the CWS/CMS and allows the project to test out the new Salesforce PaaS development and delivery approach, including the CDI, along with the established SDLC. The CDI for greenfield includes services such as data pipeline, document management, address validation, identity and access management, and reporting and analytics. This provides the CWDS with a means to demonstrate product value to users while establishing an effective implementation approach.

The RFA Application process initially provides the ability to create an RFA Application and provides a portal to allow interactions between the applicant and county or Title IV-E Tribe. With the initial rollout of the RFA Application process, only hard copy submissions from applicants will be supported, where the child welfare worker will enter the data into the system, on behalf of an interested family initiating an application. The receiving county or Title IV-E Tribe would then assign the application to a social worker, who would assist families in completing the comprehensive assessment process (e.g.,

training/orientation, background checks, home assessments and family evaluations). The portal will provide the applicant and social worker a shared view of application status, a communication channel, transparent interaction arounds tasks, and document upload capability. The RFA Application process module closely follows the required and standardized set of state forms for resource family applications. As such, the amount of data requiring entry for the primary form (RFA01A) is about the same. All subsequent forms (e.g., request for background check, out-of-state residential history) will take advantage of the Salesforce platform to auto-populate known data such as name, address, date of birth, and ID #s to avoid any duplicate data entry. This should reduce both total workload and discrepancies in data entry. The process also includes:

- Generating a summarized written report
- Capturing the recommendation for approval/denial to become a Resource Family
- Operational dashboards showing at-a-glance application-level status
- Reporting on aggregated pilot-wide data, including application processing (cycle time) trends and the RFA 181 Report

The efficiencies and benefits to users from the implementation of the RFA Application process will be measured in the following ways:

- Improve time to complete application submission process
- Reduce number of applications left incomplete
- Reduce time to approve emergency placement applications
- Increase emergency applications approved on time (<90 days)
- Reduce time to approve exemptions
- Reduce time to complete background checks (initiation to result)
- Reduce time to produce RFA 181
- Reduce time spent to normalize RFA 181 data

In preparation for the development of the CWS-CARES and the RFA Application process, the project began county outreach to identify and obtain participation confirmation from the five pilot counties (Contra Costa, Fresno, Riverside, Santa Clara, and Placer) for the RFA Application process. The team conducted a pilot county kickoff on June 17, 2021 to prepare the pilot counties for their participation in the DD&I of the RFA Application process module. The PDT refined the CWS-CARES Product Blueprint and CWS-CARES Product Roadmap (Attachment 15) to prepare for development of the RFA Application process module, and the Implementation Team developed the first iteration of the CWS-CARES Master Implementation Plan. In addition, the technical teams were building out the various development, testing, and training environments to support the project activities.

On June 30, 2021, the CWDS received approval from the ACYF for development of the RFA Application process. The CWDS continues to involve State and county program and policy subject matter experts in all aspects of the development of the RFA Application process module to ensure maximum value is achieved. The RFA Application process module will be developed in three TIs using the CWS-CARES SDLC that is currently comprised of six phases: Context-setting, Prioritization (maintaining the Product Roadmap), Discovery, Prototyping, Build and Iterate (in the

Staging Environment). Context-setting and Prioritization are cross-cutting activities that take place concurrently, at least two months before the start of a given TI.

The CWS-CARES project began executing the SDLC for the RFA Application process greenfield module on July 7, 2021, with the GF TI 0.1 Discovery Sprint. During the Discovery Sprint, which started on July 7, 2021 and ended on July 30, 2021, the product team identified detailed product features to be built. In the Prototyping Sprint that ended on August 20, 2021, the technical teams added necessary technical tasks to support the user features identified in the Discovery Sprint. These requirements include input from county subject matter experts that are associated with creating and submitting the Resource Family applications, as well as completion of required training and any documentation related to contacts and case work specific to the business process associated with the RFA Application process.

Based on the lessons learned from Discovery and Prototyping in GF TI 0.1, the PDT adjusted the SDLC for sprints in GF TI 0.2 and GF TI 0.3. These improvements included shifting some tasks (such as detailed Service Mapping) from Discovery into Context-setting (earlier in the process), instituting more in-depth Inceptions to help engineers better understand business goals, setting intermediate milestones by Epic, starting regular Sprint Reviews and Retrospectives, and using better metrics (e.g., Business Story Maturity Report) to track day-to-day progress.

The team advanced to the GF TI 0.1 Build Sprint on August 23, 2021, followed by the Iteration Sprint on September 6, 2021, where core constituent feedback on the build was incorporated. The GF TI 0.2 Discovery Sprint began on August 23, 2021, which occurred in parallel with the Build Sprint of the first TI.

The GF TI 0.1 was comprised of four Epics:

- Create and Submit via Hard Copy
- Track Orientation/Training
- Assign Application
- Contacts and Case Notes

The Create and Submit via Hard Copy Epic was a very large Epic and contained user stories that had sequential dependencies for development. This unexpected complication resulted in additional time needed to complete development and a delay in the start of end-to-end testing. The team also had to first resolve some critical and high-severity defects discovered during exploratory testing. Mitigation steps were put in place to conduct facilitated user feedback sessions after the first Epic completed testing followed by hands-on sessions to give users the opportunity to explore on their own. The project assessed the challenges and the Executive Leadership Team (ELT) decided on September 20, 2021, to extend concurrent Sprints for the GF TI 0.1 Iteration Sprint and the GF TI 0.2 Prototyping Sprint by one week. This extension allowed the project to address the following objectives:

- Allow more time for users to offer feedback on the first epic, “Create and Submit Hard Copy Application”
- Allow more time for resolving defects that are medium or low severity, but may

- be frustrating to users, before initial user feedback begins
- Complete end to end testing on all GF TI 0.1 epics with enough time for the PDT to triage and for developers to address high-priority defects, to minimize technical debt and show the county constituents how the project actively fix issues along the way
- Complete story refinement with enough time for developers to estimate all stories and tasks before the next sprint
- Hold two Retrospectives - one for the Development and QA process and one for general PDT dynamics - with actionable improvements to the process for things inside the team's control and requests to leadership for things outside the team's control
- Reduce the number of defects in TI 0.2 functionality through a clearer shared understanding of stories and more time to enact process improvements towards better communication during Build and Iterate sprints
- Categorize defects to improve tracking and conduct root cause analysis for defects

The PDT is in the process of analyzing lessons learned and are considering a more flexible approach to the SDLC. The project is retaining all phases of the SDLC but are adjusting the cadence and timing of the activities. Instead of having hard boundaries between Discovery, Prototyping, Build, and Iterate phases, continuous design and development by sprint will be implemented. Context setting would not be impacted and still needs to be performed well ahead of when design and development are expected to begin. It has been difficult to maintain the two-month lead for the RFA Application process module. The PDT had limited time ahead of development beginning to establish that lead, and resources have solely focused on the RFA Application process module making it hard to also offer PVS support for context setting on the CWS-CARES V1 to the other Service Managers. The team is planning to extend the lead time to three months rather than two (to do more cycles of research and design with users and in turn, enable creation of more research-informed stories sooner).

Table 2 - RFA Application Process Scope below reflects the planned features and changes based on user feedback.

Table 2 – RFA Application Process Scope

| Value Proposition (Goals) | Planned Features | Changes in Planned Features |
|---|--------------------------------------|---|
| APPLICATION SUBMISSION | | |
| <ul style="list-style-type: none"> • Fast, easy submission • Improved quality of submission • Standardized | Application submission via hard copy | No changes |
| | Application submission via portal | Switched, based on county feedback, to features that support transparent interactions between the worker and applicant during application review (post-submission). |

| Value Proposition (Goals) | Planned Features | Changes in Planned Features |
|--|---|---|
| | | Counties stated these would be more immediately useful and solve bigger pain points. |
| | Data validation for workers and applicants | No changes |
| | Same application form for all workers and applicants | No changes |
| TRACKING | | |
| <ul style="list-style-type: none"> Streamlined assessment process Dynamic, more efficient task tracking Reduce approval timelines | Application Overview page: | No changes |
| | <ul style="list-style-type: none"> Training | No changes |
| | <ul style="list-style-type: none"> Background Checks | No changes |
| | <ul style="list-style-type: none"> Home Assessments and Family Evaluations | Implemented file upload instead of standardized web form for more flexibility to use variety of forms |
| | <ul style="list-style-type: none"> Approvals | No changes |
| | Document management for any form or document format | Implemented CDI-based document management service instead of limited Salesforce feature set |
| | Aggregate Written Report | No changes |
| <ul style="list-style-type: none"> Foster collaborative and transparent interactions | Application submission via portal (see above) | Switched, based on county feedback, to more valuable features that support transparent interactions between the worker and applicant during application review (see features on next slide) |
| OPERATIONAL DASHBOARDS AND REPORTS | | |
| <ul style="list-style-type: none"> Program insights Improved business intelligence Reduce the effort to produce required reports | Operational dashboards for workers | No changes |
| | Performance and outcome metrics | No changes |
| | Generate required elements of RFA 181 | No changes |

As part of the SDLC, the Iterate feedback from the users during TI 0.1 was shared at the Greenfield Progress Evaluation on October 21, 2021. User feedback on functionality for TI 0.2 was gathered and synthesized by the PVS vendor. The PDT is in the process of aligning the results with existing stories in the Jira backlog or creating new stories, if needed. These user-feedback driven stories will then be prioritized for the Stabilization Sprints TI 0.5 and TI 0.6. Following the same cadence, user feedback for TI 0.3 will be gathered the second week of January 2022.

Based on lessons learned from Greenfield, the project is finishing up refinements to the SDLC and in particular to the feedback loop in order to gain more insight from users, do so more efficiently and frequently, and channel it into iterations quickly.

The GF TI 0.4 has planned a set of features designed to further improve worker - applicant interactions including:

- Applicant can view upcoming events
- Applicant can view status of the Family Assessment
- Applicant can request an Exemption
- Applicant can correct issues from Home Assessment

TI 0.5 and 0.6 will include defect fix and stabilization of the application only. No new scope is planned for addition to the RFA application during TI 0.5 and 0.6. Through TIs 0.5 and 0.6, the Service Manager will prioritize stories based on user feedback. These additional features will be put into production during the stabilization phase. The project has included a milestone to “Conduct CCWIS Reviews with ACYF” in June 2022 following the GF TI 0.6 stabilization sprint. Conducting the review in June 2022 allows some data to populate from active use in production.

The development and functional testing of planned feature sets and user functionality for the RFA Application process was completed on December 31, 2021. There are a few outstanding stories, however, related to access and identity management that carried over into the first part of January, primarily associated with the multi-factor authentication (MFA) and Okta configuration (dependency on an open ticket with Salesforce and Okta). The remaining work on MFA stems from the recent decision to accommodate a request from the counties, where the original approach for mobile authentication was changed to email, since not all county workers use mobile devices. Pending completion of the aforementioned stories, the final end-to-end testing will be performed prior to Readiness Environment (RE) Go/No Go. In parallel, the technical teams conducted the final security, performance and accessibility testing.

In addition, the project initiated a CWS-CARES Release Readiness reporting process with checkpoint meetings occurring three times a week. Each of the functional teams reported on their specifics tasks that must be completed prior to the project’s Go/No Go decision for release of the RFA Application process module into the RE in January 2022. The Implementation Team worked with the five pilot counties to validate and support their readiness from a system and business process perspectives. The project

released the RFA Application process module into the Production Environment for use by Fresno County on January 31, 2022, with the other four counties to follow on a staggered schedule through the month of February.

The first demonstration of value occurred on October 21, 2021 and will be followed with a second demonstration in January 2022. While the product build activities were in progress, the project collaborated with the IA, Elyon, to identify four major RFA Application process success criteria which were presented to the BOD on July 29, 2021. The criteria along with Target(s) to be achieved, Lead Indicators and Lag Indicators are documented in the RFA Application Greenfield Success Criteria document, Attachment 2.

In support of the product build, the technology teams have completed the following:

- Developed the Criteria for Staging, Readiness, and Production environments
- Developed the Architecture Engineering Practices and Standards
- Conducted proof of concepts to refine architectural views for Data Pipeline, Wide Area Network Connectivity (WAN), and the Identity Access Management (IdAM)
- Developed the initial CWS/CMS to CWS-CARES Cutover approach in collaboration with the Implementation Team
- Completed the data pipeline (data is copied over from Salesforce to CDI in a manner that preserves event history and provides for longitudinal views of data)
- Developed the System Security Plan
- Implemented DocuEdge as CWS-CARES Content Management toolset
- Implemented Okta as CWS-CARES IdAM solution
- Finalized the use of shared circuits for CARES WAN connectivity
- Developed the Release Management Plan (Attachment 17)
- Conducted initial review of county external systems
- Prioritized and installed software and tools from the CDI toolset
- Integrate Static Application Security Testing (SAST) and Dynamic Application Security Testing (DAST) capabilities into the continuous integration and continuous delivery (CI/CD) pipeline
- Developed the updated Data Conversion Plan (Attachment 3)

The technology teams continue to work on the following items in support of the infrastructure, CDI services, and development pipeline:

- Implement Business Rules Engine
- Implement Master Data Management
- Implement Content Searching/Indexing
- Extend Reporting/Analytics capabilities to support V1/V2 functionality
- Extend Data Pipeline for V1/V2 objects
- Extend infrastructure to support additional services for V1/V2 functionality
- Extend data exchanges/interfaces architecture to support V1/V2 interfaces
- Implement data masking/obfuscation
- Conduct ongoing security scanning and hardening
- Implement Salesforce's Private Connect when it is released for Salesforce Government Cloud Plus (ETA mid-2022)

- Support additional system environments as needed
- Enhance Development Pipeline (incorporating additional security scanning tools and more automated testing)

External Systems

The following describes the current approach to research, design, and potentially replace external systems:

1. Survey counties and other user organizations to update original list of approximately 300 external systems.
2. Group the list by rough category/functionality.
3. As possible, align categories to Building Blocks and adjust the “external systems” lane of the Product Roadmap. Research steps below will be part of context setting and aim to stay a couple TIs ahead of the SDLC.
4. Ask the core constituents for feedback on which organization has an exemplary system for each of those categories.
5. Review those exemplary systems with PVS researchers and designers, and then collect the following:
 - a. Key functionality and data elements missed that would be easy to add into our planned features.
 - b. High value functionality per the Value Hypothesis.
6. Sort by Building Block and prioritize the opportunities discovered in the above step, and record on service maps.
7. Inform the data conversion team of functionality planned to replace external systems so the team can begin conversations on what data to ingest from external systems.
8. Compare the planned opportunities in the service maps as the Implementation Team learns of individual organization external systems and processes.
9. Identify functionality during Build as potential replacement for the category of external systems and inform Implementation Team for comparison to their inventory of external systems and processes.
10. Invite any core constituent with an external system in that category to offer feedback in Staging.
11. Finalize data conversion strategies for organizations who will be able to decommission external systems.
12. Develop letters to the County Directors, which informs them of the acceptance or non-acceptance of their county’s external system(s).
13. Work collaboratively with the counties and CWDS Implementation Team to develop a decommission/cut-over strategy
14. Update status of each external system in the master list (e.g., decommissioned, not entire system).

During development of the RFA Application process, the project prepared for implementation in the first quarter of 2022 to the 82 users within the five pilot counties. The Implementation Team assessed the totality of the implementation effort and what will be included and defined in the new CWS-CARES Master Implementation Plan. The Implementation Services vendor, Deloitte Consulting, LLP, began onboarding on July

21, 2021. The immediate focus for this vendor was to prepare for the implementation of the RFA Application process in the five pilot counties. The vendor also focused on the As-Is environment assessment, preparation of a detailed implementation and rollout plan, and development and delivery of training. The first iteration of the CWS-CARES Master Implementation Plan was completed August 31, 2021. The initial iteration included high-level information to document strategies and components that support a successful implementation. The team also completed an organization assessment in October 2021 with each of the five RFA Application process pilot counties. This vendor is tasked with managing all components of system implementation, including development of all training material, delivery of training to users and developing a detailed implementation plan for each county. The Service Desk and Implementation Team have developed the process for incident management and the help desk.

In prior years, the project's goal was to create a Sandbox Environment where organizations would be able to see the product, play with it, and provide feedback. The project's current vision and intent of the environment is to assess the organizations' readiness. To better align with the current vision, the environment was renamed to the Readiness Environment. In order to fulfill the project's commitment to provide organizations with a Readiness Environment that satisfies the original vision, the project is evaluating an alternative method by utilizing the Training Environment.

5.1. Benefits Achieved to Date

Since the submission of the SPR 4, the project executed the primary CWS-CARES contracts, onboarded vendors, selected and completed development of the greenfield module as planned. The greenfield experience provided the project an opportunity to demonstrate development capability and test the SDLC in a multi-vendor environment with the new Salesforce PaaS design and development approach. Below are the benefits achieved to date:

- Designed and developed the RFA Greenfield module within the estimated timeframe following the original SDLC, validating the core principles and practice and identifying process improvements that will contribute to faster and more sustainable development velocity in CWS-CARES V1.
- Developed a repeatable process for identifying product (user behavior) metrics, key performance indicators and success criteria (with lead and lag metrics) to ensure that product features contribute to meeting program goals and ensure a high likelihood of adoption.
- As part of the RFA Greenfield module, implemented product features designed to:
 - Reduce the time required to initiate and process the review of Resource Family applications for approval.
 - Increase the likelihood and timeliness of completion of the application review process.
 - Support and automate more frequent and effective interaction between applicants and workers at each step of the process, from submission to final approval and certification. This will increase engagement and transparency, reduce delays in the process and help workers better manage workload.

- Provide greater data-informed insight into a work unit's operational health and overall program performance, via data visualizations and reports.
- Also, as part of the RFA Greenfield module, conducted several proofs of concepts to select CDI tools and lay the foundation for shared services, which will accelerate architectural planning and development for V1. These services include:
 - Content Management (including Document Generation, Document Management, Redaction, and e-Signature)
 - Data Pipeline (with Aurora, Kafka, and Snowflake)
 - Identity and Access Management (with Microsoft Azure Active Directory and Okta)
 - Development Pipeline (with Copado and several other tools)
 - Privileged Access Management (with Okta and LastPass)
- Developed the architectural, engineering, design, security, and testing practices and standards (as well as deployment criteria for each environment) to ensure consistency and quality of product delivery.
- Met the project's goal to mature to Architecture Capability Maturity Model (ACMM) Level 2.
- Strengthened the project's governance model to increase decision making rigor, clearly define roles and decision authority, and document governance activities and outcomes. Delivery Central played a central role in proving this model. Delivery Central provides a focal point for architecture decision making and actively maintains the CARES Architecture Decision Log.
- Streamlined the vendor onboarding process in collaboration with the OSI Information Technology Office to ensure resources were equipped to perform duties without delay.

5.2. Data Conversion

The planned scope for data conversion includes the CWS/CMS, LIS, FAS and CARES-Live, which includes Child and Adolescents Needs and Strengths (CANS) data, and other selected systems.

The data conversion follows an incremental development process that is driven by the Product Roadmap across multiple TIs. Figure 2. *Data Conversion Lifecycle for Every Testable Increment* depicts steps planned for execution for each TI for Data Conversion.

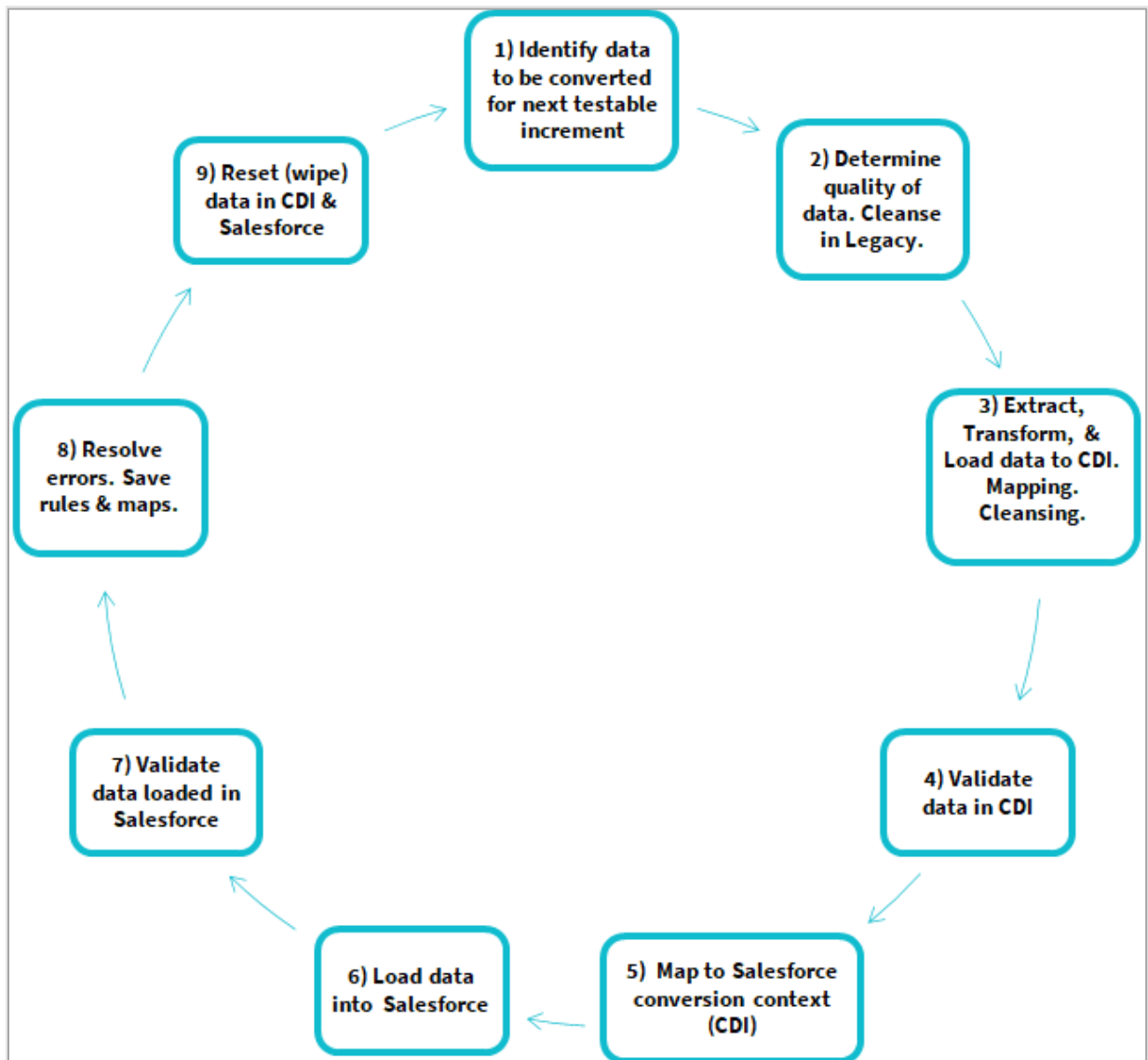


Figure 2. Data Conversion Lifecycle for Every Testable Increment

The Data Conversion process is further illustrated with a swim lane view (by Source Systems, the CDI, and Salesforce) of activities associated at levels of Application, Data Repository, and Processes. *Figure 3. Conversion Process Flow* is an alternate view of the Incremental Data Conversion approach.

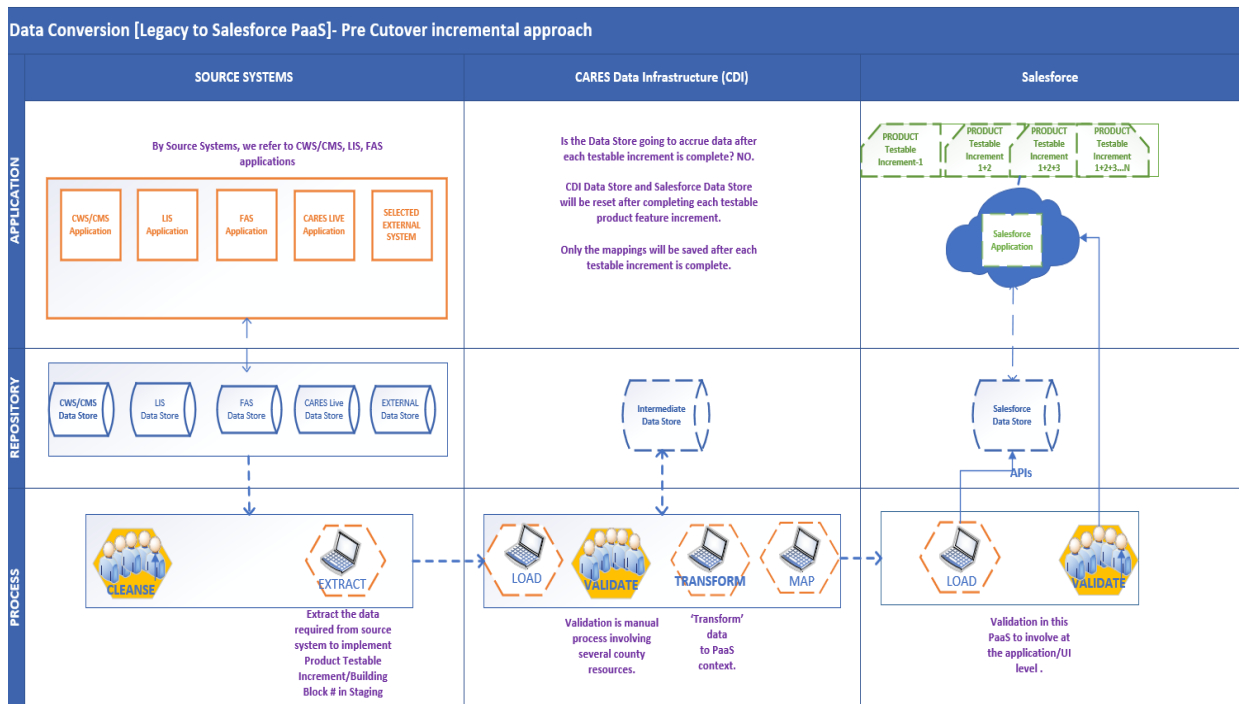


Figure 3. Conversion Process Flow

A data conversion workgroup has been formed to ensure all aspects of data conversion are considered. The data conversion workgroup is comprised of representatives from various expertise including data conversion, data quality, product delivery, County SMEs, Salesforce, CDI, legacy teams, security, quality assurance, and other stakeholders. The workgroup meets regularly and discusses status, progress, and issues and risks related to conversion activities throughout the incremental Data Conversion Lifecycle.

For full details, please refer to the latest version of the Data Conversion Plan - Attachment 3.

Data conversion is not applicable for RFA Application process implementation. For V1, the data conversion will be developed and completed incrementally for each TI. The Data Conversion Workbench, a platform which consists of tooling for data mapping, transformation, and cleansing, was set up successfully in November 2021. The Data Conversion team is continuing to work on various data conversion planning activities that will support the upcoming development of the V1 TIs. After successful iterations of data conversion TIs, a full one-time only data conversion will be performed before cutover.

The Cutover process will use the following work products from the Incremental Data Conversion Process:

- Data Conversion Pipelines (Conversion, Cleansing and Exception Handling Scripts) built from all Legacy Sources, CDI, and Salesforce
- Transformation rules built within the Conversion scripts
- Source-Target Mappings built within the Data Conversion Pipelines

- Application Programming Interfaces (APIs) executed to load data from Data Conversion Workspace staging areas (hosted on the CDI) into Salesforce and CDI

The project has formulated a high-level Cutover Approach, with the goal of compressing the cutover (rollout) window and minimizing data synchronization risk, while giving county groups (waves) sufficient time for successful implementation. For full details, please refer to the CWS-CARES Cutover Approach document - Attachment 4.

5.3. Implementation and Training

The first iteration of the CWS-CARES Master Implementation Plan was completed August 2021 and explains how the Implementation Team will manage and engage with Organizations (Orgs) in preparation for implementation, during implementation, and post implementation. The plan addresses how organizational readiness will be assessed for each. The second iteration of the plan was reviewed and approved by the ELT on December 20, 2021. It provides a detailed strategy for implementation of the RFA Application process to the five pilot counties. Future iterations of the plan will include a detailed strategy for statewide implementation of the RFA Application process, CWS-CARES V1 and CWS-CARES V2.

In preparation for implementation of the RFA Application process, the Implementation Team focused on developing the following areas to ensure a successful implementation with acceptance and buy-in from the five pilot counties, the CDSS, and the CWDA.

- **Organizational Assessment:** The Implementation Team developed an assessment to capture the uniqueness, needs, and strengths of each Organization. In October 2021, the Implementation Team conducted the assessment with each of the five pilot counties. The assessment collects different categories of information as it relates to different aspects of the county including demographic, training, Organizational Change Management (OCM), and technical. The Implementation Team led the development of a web-based repository tool to be used as a single location to house select assessment information. Information gathered from the assessment was used to develop a detailed implementation strategy to support the OCM, training and implementation readiness activities for each of the five pilot counties.
- **CWS-CARES Readiness Environment:** The Implementation Team established a Readiness Environment to support Org implementation readiness activities and to prepare and assess Org readiness prior to go-live. Select Org users (e.g., Implementation Coordinator, OCM Coordinator, Training Coordinator) accessed the Readiness Environment prior to go-live. The Implementation Team and selected participants from the Orgs used the CWS-CARES Readiness Environment to review features and functionality of the CWS-CARES and to validate how users and business processes may be impacted. The ELT approved the Readiness Environment Org Engagement Plan on December 13th, 2021.
- **Organizational Change Management:** The Implementation Team worked with each of the five pilot counties to document the as-is RFA Application process for

each county. The Implementation Team iteratively developed to-be business processes. This is done by documenting to-be business processes one TI behind development. The OCM Plan for the RFA process was approved by the ELT on December 20, 2021.

- **CWS-CARES Training:** The Implementation Team developed a training approach for the RFA Application process. The RFA Application process training plan was approved by the ELT on December 20, 2021. The project will utilize the CWS-CARES Training Environment to support training needs and reinforcement of the CWS-CARES functionality during rollout. Training for the RFA Application process was conducted in a phased approach from January 2022 through February 2022 with the five pilot counties. The project continues to have detailed discussions and conduct research pertaining to statewide training for CWS-CARES end-users.
- **CWS-CARES Support Model:** The Incident Management Plan, Attachment 5 and Service Level Objectives were re-evaluated and updated for CWS-CARES. This information supports the Command Center Plan (post-implementation support) Attachment 18. The command center approach is a centralized operational support hub that is available after go-live. The command center will be staffed by a matrix of the CWS-CARES project staff to provide hands on support and to monitor and quickly respond to CWS-CARES inquiries and issues. The CWDS Service Desk works closely with vendors to provide tier 2 incident management support to the Orgs for the RFA Application process and will continue through CWS-CARES V1 and CWS-CARES V2. The Service Desk will serve as the front-line customer support and manage incidents to closure.
- **User Engagement:** The Implementation Team has designated an Implementation Lead (IL) for each of the five pilot counties. The IL is the liaison between the county and the project for all matters related to implementation. The project reached out to all 121 Organizations to gather their respective implementation contacts. The ILs engage directly with the county implementation contacts to prepare for go-live. This model with ILs as the single point of contact is applicable to the RFA Application process, CWS-CARES V1 and CWS-CARES V2.
- **CWS-CARES Cutover Plan:** This will be addressed based on the results from the strengths and needs assessments from counties with focus on county drivers and dependencies that counties may have. There will be ongoing work with the CWDA, the CDSS, and Core Constituents on developing a detailed plan the project will use for statewide cutover. A high-level cutover approach has been documented. The initial Cutover Plan addresses the technical activities required for the five pilot counties to transition to the CWS-CARES RFA Application process. This is an iterative plan that incorporates cutover details for CWS-CARES V1.

As the project continues to work on the CWS-CARES Master Plan for Implementation, the above areas will be further developed to include detailed and measurable criteria that aligns with the CWS-CARES adoption strategy. Reference Section 4.5 for further information on the adoption strategy.

5.4. Accessibility

The project will run accessibility testing periodically, as identified when the system has changes that may impact usability. With this understanding and expense to complete, accessibility testing is not expected nor scheduled to be completed within each TI; however, accessibility training will be scheduled before a new feature, function, or when a building block moves into production.

The accessibility test cycle will validate that what is going into production has met the WCAG 2.0 principles (WCAG 2.0 is the current version of the Web Content Accessibility Guidelines, developed by the Web Accessibility Initiative). These principles are focused on a human-centered approach to web design.

- Principle 1: Perceivable - information and user interface components must be presentable to users in ways they can perceive
- Principle 2: Operable - user interface components and navigation must be operable
- Principle 3: Understandable - information and the operation of user interface must be understandable
- Principle 4: Robust - content must be robust enough that it can be interpreted reliably by a wide variety of user agents, including assistive technologies

The project will use the expertise of an existing accessibility testing staff provided by the PaaS SI vendor. The resulting test artifacts will be validated by the State QA Team ensuring that the products are usable by those with disabilities and by the widest possible audience to the greatest extent possible, without the need for adaptation or specialized design. The tests will be planned and designed for the needs of people with permanent, temporary, situational, or changing disabilities.

5.5. Planned Versus Delivered

With approval of the SPR 4, the project has expanded the use of the Master Project Schedule (MPS) to include tasks related to design, development, and implementation DD&I, in conjunction with the Jira software (via user stories/issues). The MPS was updated and baselined to reflect the approved SPR 4 timeline and detailed product development schedule in alignment with the Product Roadmap. The project's primary focus for 2021 was to select, develop and deliver the greenfield module by January 2022. As such, pertinent segments of the MPS are being monitored and reported in a Weekly Director's Report that is reviewed by all critical stakeholders. The table below captures the milestones (through SPR 5 submission date of December 31, 2021) reported in the SPR 4 and provides status for this SPR.

Table 3 - SPR 4 Major Milestone Status

| Milestone | Planned Finish Date | Actual Finish Date | Status | Notes |
|--------------------------------|---------------------|--------------------|-----------|-------|
| Update Product Management Plan | March 2021 | 6/25/2021 | Completed | |

| Milestone | Planned Finish Date | Actual Finish Date | Status | Notes |
|---|---------------------|--------------------|-----------|-------|
| Salesforce Licenses Subscription Solicitation Release | March 2021 | 4/14/2021 | Completed | |
| Independent Advisor Contract Award | March 2021 | 4/12/2021 | Completed | |
| Establish high level criteria for moving developed product into Staging, Sandbox, and Production environments | March 2021 | 4/26/2021 | Completed | |
| Quarterly Updates to Roadmaps (FY 2020/21 Q3) | March 2021 | 3/19/2021 | Completed | |
| Salesforce Licenses Subscription Contract Award | April 2021 | 4/23/2021 | Completed | |
| WOA and KPI Training for Vendors | April 2021 | 4/19/2021 | Completed | |
| PaaS Systems Integrator Contract Execution | April 2021 | 4/1/2021 | Completed | |
| CDI Contract Execution | April 2021 | 4/15/2021 | Completed | |
| Update CWS-CARES Development Guiding Principles | April 2021 | 4/15/2021 | Completed | |
| Implement Splunk for CARES-Live | April 2021 | 4/30/2021 | Completed | |
| Independent Advisor Contract Execution | April 2021 | 4/14/2021 | Completed | |
| Salesforce Licenses Subscription Contract Execution | April 2021 | 4/28/2021 | Completed | |
| Execute Implementation Services Contract | May 2021 | 7/7/2021 | Completed | |
| Decision on Greenfield Module | May 2021 | 5/24/2021 | Completed | |

| Milestone | Planned Finish Date | Actual Finish Date | Status | Notes |
|--|---------------------|--------------------|-----------|--|
| Establish KPIs to ensure greenfield module/tools aligns with program goals, at the value-milestone and/or module level | May 2021 | 5/13/2021 | Completed | |
| Submit As-Needed APD to ACYF detailing requirements, schedule, and implementation details for Greenfield solution prior to the start of development work | June 2021 | 6/4/2021 | Completed | |
| CDT Setup and Testing | June 2021 | 5/26/2021 | Completed | |
| Development Pipeline Setup | June 2021 | 6/22/2021 | Completed | |
| Update Data Conversion Plan | June 2021 | 6/30/2021 | Completed | |
| Update Product Quality Assurance Guide | June 2021 | 6/30/2021 | Completed | |
| Determine approach to transition from CWS/CMS to CWS-CARES | June 2021 | 10/27/2021 | Completed | The Planned Finish Date for this milestone was adjusted from the original SPR 4 date of June 30, 2021 to accommodate refinements in approach with input from the Implementation Services vendor. |
| Quarterly Updates to Roadmaps (FY 202/21 Q4) | June 2021 | 6/30/2021 | Completed | |
| As-Needed APD Approved by ACYF | June 2021 | 6/30/2021 | Completed | |
| Update System Security Plan | July 2021 | 7/21/2021 | Completed | |
| Draft Master Plan for Implementation | August 2021 | 8/31/2021 | Completed | The initial version of the Master Plan for Implementation was completed on August 31, 2021. The plan outlines |

| Milestone | Planned Finish Date | Actual Finish Date | Status | Notes |
|--|---------------------|--------------------|-------------|---|
| | | | | an overall strategy for the statewide implementation of CWS-CARES that will be validated during the RFA Application process implementation. |
| Greenfield Development Progress Evaluation | September 2021 | 10/21/2021 | Completed | The Greenfield Progress Evaluation was held on October 21, where project provided a guided demonstration of the RFA "Greenfield" Application process, discussed scope, user feedback, SDLC improvement opportunities and overall project lessons learned. |
| Conduct "Current State" County Assessment Pilot | October 2021 | 10/22/2021 | Completed | |
| Completed "Current State" County Assessment Repository | October 2021 | 10/14/2021 | Completed | |
| Submit IAPDU to ACYF | November 2021 | 11/16/2021 | Completed | |
| Establish Data Conversion Workbench | November 2021 | 11/17/2021 | Completed | |
| Publish "Current State" County Assessment Schedule | November 2021 | 10/8/2021 | Completed | |
| Complete Greenfield Readiness/Production (environment) | December 2021 | 1/14/2022 | Completed | |
| Completed Development of Greenfield Module | December 2021 | 12/31/2022 | Completed | |
| Decide Greenfield Readiness Go/No Go (into production) | December 2021 | 1/28/2022 | Completed | |
| Execute new IV&V Services Contract | December 2021 | | In Progress | Current contract was amended for time only. Execution of new |

| Milestone | Planned Finish Date | Actual Finish Date | Status | Notes |
|--|---------------------|--------------------|-------------|--|
| | | | | contract to be completed March 2022 |
| Submit Special Project Report (SPR) to CDT | 12/31/2021 | | In Progress | Draft submitted 12/31/2022; per agreement with CDT, gathering feedback from Critical Partners and Agency with target submission on 2/28/2022 |
| Submit FY 2022-23 Spring BCP | January 2022 | 2/4/2022 | Completed | |

5.6. SPR 4 Conditions

Upon approval of the SPR 4 by CDT on April 1, 2021, there were eight conditions placed on the project. The project worked closely with CDT to develop appropriate measurement vehicles that will be used to assess progress on each of the eight 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. The CWS-CARES project must formally submit a signed SPR #5 (or Iterative Project Report [IPR], as directed by the CDT) by December 31, 2021, to support Fiscal Year (FY) 2022/23 Spring Finance Letter processing and update forecasts for the Total Project Cost and Project End Date.

If the Department does not submit the SPR or IPR to the CDT by the required date, some or all project activities may be suspended until the submission occurs.

Response: CDT agreed that the project may submit an unsigned draft SPR 5 in lieu of the signed document to address the above condition.

2. The CWS-CARES project must acquire the services of a cost estimation expert, per GC §11546(6)(A) and perform a Total Project Cost assessment before the SPR #5 is submitted. The assessment details must be included in the submission.

Response: In November 2021, an agreement was reached between the project's control agencies (CDT, DOF, CalHHS) to revise the timing of this effort to occur sixty days after various project-wide improvements (e.g., reflecting the project's updated delivery approach) have been determined. The project will complete the cost assessment effort and all updates will be made in SPR 6..

3. The CWS-CARES project must continue refinement of the Product Backlog hierarchy to further clarify program needs and progressively elaborate the inventory of the functions and features required to complete the project. The Product Backlog must be baselined at the Epic level before the SPR #5 or IPR is submitted.

Response: The project has refined the Product Backlog at the Epic level for all development work through the completion of CWS-CARES V1. The project team will develop “t-shirt” size estimates and scope definition for the CWS-CARES V1. The CWS-CARES V2 Product Backlog is already defined at the Building Block level. As the project further refine the V1 Backlog - based on user feedback, clarifications to policy, and assessments of technical feasibility – the project will elaborate on the V2 Backlog to support development.

4. The CWS-CARES project must prepare a data-driven, goal-based CWS-CARES Adoption Strategy document that described the methods and tools the coalition of project entities (California Department of Social Services, Office of Systems Integration, and California Welfare Directors Association) will exercise to:
 - Advance CWS-CARES product acceptance and early adoption at CDSS and in the counties
 - Reduce barriers to use and compel late adopters
 - Monitor and course correct the adoption strategy as needed, and
 - Measure, report, and demonstrate product adoption success.

The CWS-CARES Adoption Strategy must be prepared and executed in time to support greenfield implementation activities and be included in the SPR #5 or IPR submission.

Response: The project entities: OSI, CDSS and CWDA prepared the CWS-CARES Adoption Strategy document to support statewide user adoption of the mandated CWS-CARES. This Adoption Strategy was approved by the ELT in November 2021 and provides a data driven, goal-based adoption strategy and describes the methods and tools that CWDS will use or consider employing to ensure successful statewide adoption of CWS-CARES. The CDT agreed that the condition was satisfied for this stage of the project, however there is more work needed in the future to identify the specific activities that CWDA will lead to promote adoption in the counties.

5. The CWS-CARES project must demonstrate progress and success in meeting SPR #4, Project Roadmap, and Product Roadmap milestone commitments and proof of delivering program value. Demonstrations will be provided to project stakeholders and the CDT at both the ‘Greenfield Development Progress Evaluation’ Major Milestone in September 2021 and the ‘CWS-CARES V1

Development Progress Evaluation' Major Milestone in February 2022. The demonstrations will be used:

- To evaluate the project's performance and success in meeting delivery commitments,
- As a basis for determining project continuation, and
- As a basis for approving the onboarding of additional primary and ancillary vendor resources.

Response: The Greenfield Progress Evaluation was held on October 21, 2021. The project provided a guided demonstration of the RFA "Greenfield" Application process, discussed scope, user feedback, SDLC improvement opportunities and overall project lessons learned. The team also discussed how the Greenfield Success Criteria was considered with regard to the schedule, budget, CARES Data Infrastructure (CDI), Delivery Central and Architecture. A second development progress evaluation was required for greenfield, which occurred on January 26, 2022.

6. The CWS-CARES project must report updates on County participation actual hours compared to plan* in the Quarterly Project Report (QPR) submissions to the CDT. The QPRs will also include a discussion of any significant changes to the County participation plan and explanations for any substantial deviations from the plan, as well as associated project consequences and remediation actions.

* 'Methodology for County Participation final' workbook provided to the CDT on January 22, 2021, or updated version if applicable.

Response: The project responded to this condition by implementing a process to collect and report county participation hours, not to be confused with the county claiming process. The process was implemented in September 2021 and the first QPR of SFY 2021/22 included project estimates for the months of July and August, and the reported hours by the counties for September. In the QPR, an analysis of reported hours versus planned was provided, and the project is currently assessing improvement opportunities to both the county participation methodology costs and the reporting of such hours by the counties to achieve better alignment. As indicated in footnote 2, County Participation is now referred to as Core Constituent Participation, in order to be inclusive of the Tribal Core Constituent line item.

7. Conditions from the SPR #3 approval that will continue to be applicable until the CWS-CARES project's Post Implementation Evaluation Report (PIER) date include the requirements for Quarterly Reporting, Monthly Reporting and rolling Release Planning.

Response: The project has commenced its quarterly reporting per SPR 3 Condition for Approval #1. B, and submitted its first quarterly report in August 2021. In addition, the project's approach to develop, release and implement CWS-CARES does not encompass a rolling release schedule and will instead include the following three major releases: RFA Application Process, CWS-CARES V1 and V2. The project continues to include Project Planning Roadmaps (Attachment 14) and Product Roadmaps (Attachment 15) as part of quarterly and monthly reports.

8. Additionally, as stated in the October 2022 CWS-CARES Path Forward document, the project will on an ongoing basis evaluate opportunities for early, incremental release of functionality to the Production environment that will be valuable to users. At a minimum, these regular evaluations should occur before the commencement of the Iterative Build Phase for each Testable Increment to inform Build decisions, and again after completed features are deployed to the Sandbox environment.

Response: As part of the project's ongoing commitment to evaluate opportunities for early incremental release of functionality to the Production environment, the project began an initial analysis of the Family First Prevention Services Act (FFPSA) Part 1 prevention services functionality and presented its findings to the Board of Directors in July 2021. The BOD approved the project to begin work on a detailed analysis with an estimated completion date in October 2021. This analysis was contingent upon no impact to the greenfield schedule. Key CWS-CARES managers contributed to the analysis, along with some vendor input. However, due to the project's priority to remain on schedule for the design, development and delivery of the RFA Application process, the FFPSA Part 1 detailed analysis was temporarily postponed in November 2021. Upon successful delivery of the RFA Application process, the project will resume this effort, with plans to present the detailed findings and recommendations to the Board of Directors. In addition, the project has revised the Technical Objective(s) (bullet #3) in *Section 2.1 Section A: Executive Summary* above to reflect this commitment.

5.7. Project Staffing/Vacancy Rate

In June 2021, the project revised its vacancy rate goal from 14% to 10% to reflect the updated CWS-CARES delivery approach and corresponding adjustments requested in the project's FY 2021-22 Budget Change Proposal. Since then, the project has been able to achieve and maintain its revised goal of 10% (see chart below). Before the greenfield design and development began, certain positions were redirected to fill business and technical needs within the project. Those vacancies have either been filled or are in the recruitment process.

The experience of designing and building the greenfield module also allowed project leadership to assess and identify key roles and skill gaps that require either contract resources and/or new State staff (positions). The contract resources are addressed in the Proposed Project Changes, Section 4.0.

In addition to the vendors that contribute resources to the development of shared services and UX patterns, the State requires the following position to oversee and ensure consistency and continuity of design and development across vendor workstreams. This positions will also provide independent perspective with an eye towards future maintainability and scalability of the CWS-CARES after the initial vendor engagements, ensure knowledge continuity through documentation, and further staff development for the M&O stages of the CWS-CARES.

1. IT Specialist II as a Technical Product Manager (TPM) focused on shared services in the Product Roadmap. This position will be responsible for defining goals and features for the following types of Shared Services:
 - “Front-of-stage” (user-facing) services, such as Search, Matching, Person Profile, Relationship Builder etc.
 - “Back-of-stage” services that may, in combination, support user-facing services. Examples include Master Data Management and Data Quality Monitoring.

The current PDLs are paired with Service Managers to support Value Hypothesis development, Service Mapping, Domain Modeling and Story writing etc. for each Process Area; however, there is no PDL focused on cross-cutting Shared Services. As defining Shared Services and understanding how they should be orchestrated requires a more technical background, the title “Technical Product Manager” is used to differentiate the role. The State TPM will coordinate between the CDI, the PaaS SI, the PVS and State product leadership on the maintenance of the technical product roadmap (shared services, data objects, interfaces, data conversion schema, etc.) and, as part of the PDL team, will be able to work most closely with the other PDLs to ensure it is properly staged out to align with the needs of each TI’s business processes. Since the individual in this role would help plan, coordinate and review the work of all the consultants, it should not be filled by a consultant.

In addition to the position listed above, the CWDS is requesting the following the position to address specific gaps in the area of Technology:

2. An IT Specialist II is required as an Automation Engineer Lead for the State Quality Assurance Team (one of the QA positions was previously redirected to Technology due to a lack of State positions to support CDI work activities). This position will report to the QA Chief and is needed to support sensitive aspects of production infrastructure (e.g., network, applications, data). An example would be configuring firewalls for the CWS-CARES infrastructure, which is required in order to establish tighter control as it is currently a security risk. This work aligns with the project’s System Security Plan (SSP) and security controls. This individual will help support such aspects of infrastructure management.

The following new positions are specifically for interfaces and data, which are two key dependencies to the overall success of the CWS-CARES delivery:

Interfaces:

7. IT Specialist II as State Interfaces Technical Lead. This Lead would be supported by the State Data Quality and Integration Architect, along with additional vendor resources. This position will report to the CDI Manager.

Data:

8. IT Specialist I as a Data Cleansing Specialist. This position will work with CWDS staff, vendor and counties to develop, support and monitor county strategies to support the Legacy data clean-up required for conversion to CWS-CARES. This position will report to the Implementation Manager.

Figure 4– CWS-CARES Vacancy Rate & Staff Hired (OSI & CDSS)

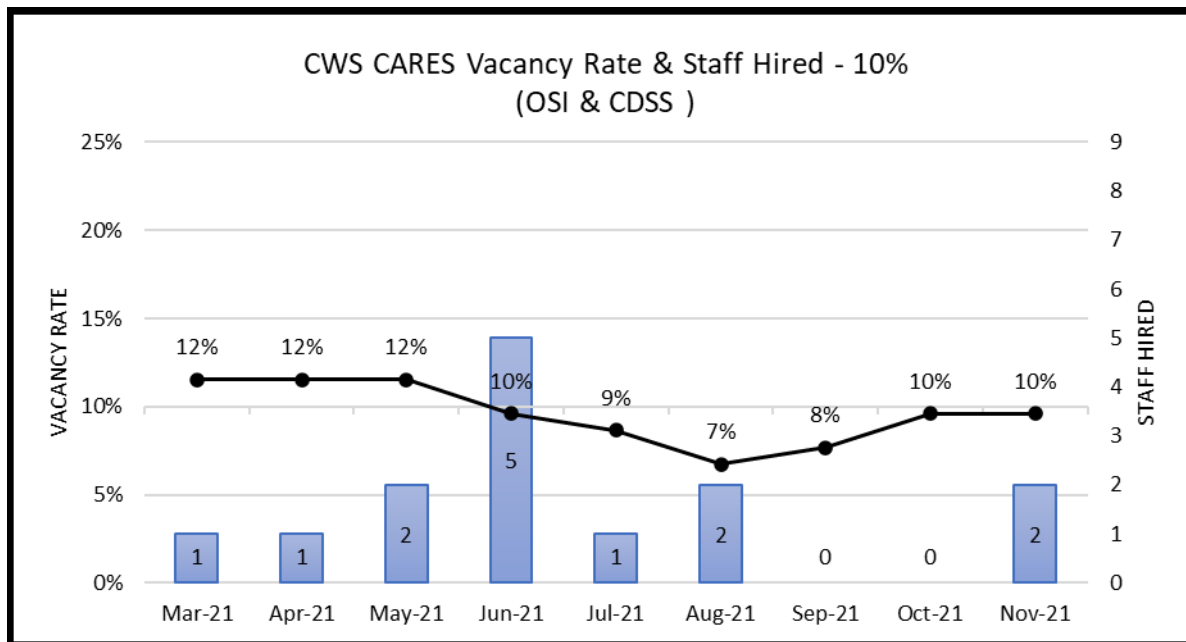
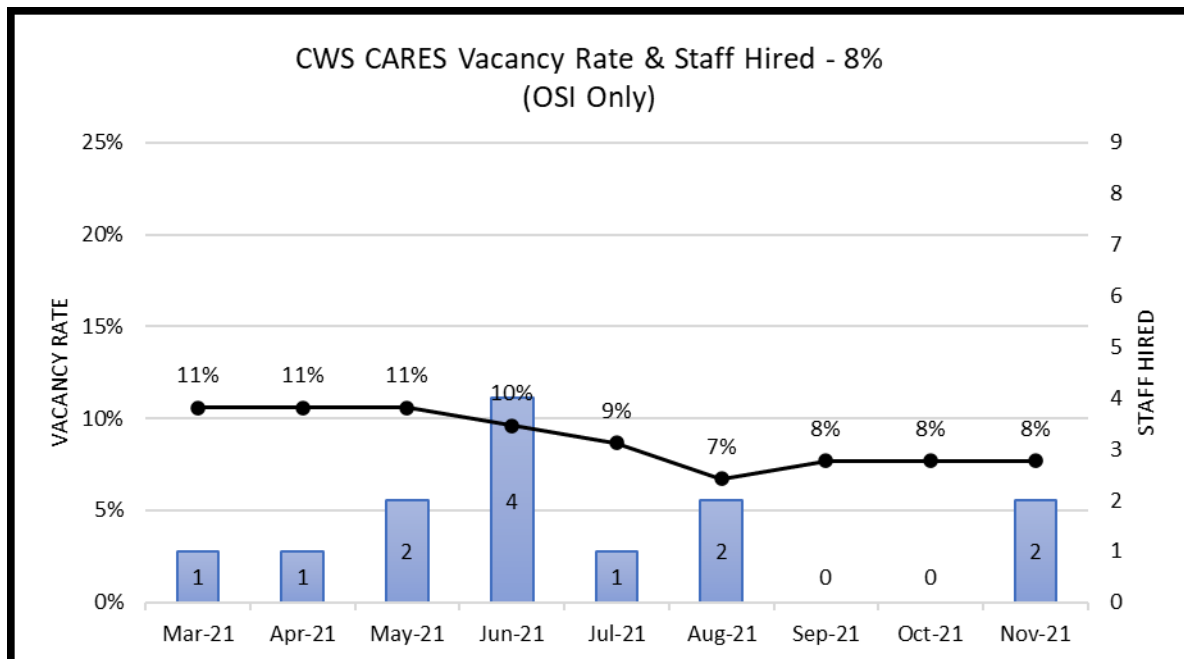


Figure 5 – CWS-CARES Vacancy Rate & Staff Hired (OSI Only)



5.7.1. Tribal Resources

CWDS meets bi-weekly with its tribal partners in the ICWA AFCARS Steering Committee to discuss the development of the ICWA AFCARS data elements, from the 2020 final rule, as well as additional elements that the state committed to building in 2019, which include the expanded ICWA AFCARS data elements outlined in the 2016 Final Rule. The goal of the workgroup was to develop tribal input into the shared definitions for the expanded data elements and support development of the CWS-CARES, ensuring more robust data collection occurs to help better evaluate and support statewide ICWA compliance, including practice improvements to support ICWA. These efforts may include the development of more detailed communication between tribes and the child welfare agency to support identification of tribal preference for placement, engagement of tribes in identifying and accessing culturally appropriate services, and other needs to address disproportionality. Through this effort, tribes and CWDS have identified that there is an additional need to have representation from the tribes in the development teams in addition to the work of the ICWA AFCARS Steering Committee. Title IV-E agreement tribes, who will be direct users of the CWS-CARES, as well as non-IV-E agreement tribes need to be available to support comprehensive input on development to ensure that all elements of ICWA are able to be supported in CWS-CARES. CWDS has developed a plan for tribal representatives to serve as Tribal Core Constituents on the CWS-CARES project to fulfill this need. Title IV-E agreement tribes would participate to ensure that the system meets their needs as direct users, while non-IV-E agreement tribes would participate in a consultative role, helping to identify areas of need in coordination of services and compliance with ICWA for children who are members of their tribes but are under the jurisdiction of county child welfare. For FY 2022/23, the project included a line item in the Core Constituent Participation

budget specifically for Tribal Core Constituents. The tribal partners' scope of duties is similar to that of the Core Constituents listed below:

- Participate in development activities for each of the Service areas that will have possible impact to tribes. Development activities include helping to develop scope, provide invaluable insight into what is being built, and working with the team to refine the product.
- Assist in identifying potential risks and issues that may arise during the procurement, design, development, and/or implementation of a digital service.
- Provide input on gaps and needs within the planned CWS-CARES technical changes and analysis and provide recommendations to the CWS-CARES project staff persons on programmatic problems or issues as they arise.
- Act in the capacity of a subject matter expert to ensure the CWS-CARES incorporates tribal input and tribal sovereignty into all procedures. Confirm existing and/or recommend new or amended processes and methods because of emerging technologies to achieve end user satisfaction.

Participate as subject matter experts for the purposes of practice impact in planning and development. This work may also include additional research or work to be done outside of the meetings.

5.8. CARES-Live

While the project transitions to the PaaS solution, the existing CARES-Live application, consisting of the Child and Adolescent Needs and Strengths (CANS) tool, Facility Search, and Child Welfare History Snapshot product feature sets, continues to receive support from the CWDS and remains in production for statewide use. This decision was made by the CWDS BOD on February 20, 2020. The project made the decision in May 2019 to pause all new development, which means that no new functionality or features will be introduced to the 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. The project continues with the CARES-Live maintenance and operations that includes necessary infrastructure updates and security patches, necessary bug fixes and a limited number of minor system enhancements. The project has not had any major releases since January of 2020. There were 16 maintenance releases that focused on implementing security updates, production bug fixes and minor enhancements. In the upcoming year, the project plans to implement six CARES-Live maintenance releases that will continue to focus on infrastructure and security updates, code fixes for production issues, and a limited number of minor enhancements. The CWDS Customer Relations and Implementation teams continue to provide support for user adoption and the CARES-Live user support.

- General Implementation
 - Provides regular communications including hosting a monthly meeting
 - Facilitates county questions and concerns regarding the CARES-Live adoption
 - Maintains the CWS-CARES Implementation Portal content
 - Supports activities to onboard new CARES-Live users.
- Training

- Supports the administration and management of the CARES-Live Training Environment
- Maintains and updates training materials
- Organizational Change Management
 - Promotes and encourages the CARES-Live adoption and usage

The project has observed an increase in CANS usage and number of users as a direct result of the CDSS All County Letter (ACL) 21-27, dated March 12, 2021. The ACL mandated the entry of the CANS data into the CARES-Live and offered the option for Behavioral Health users to perform direct entry of the CANS in support of individual county implementation plans. Functionality that replaces and improves upon the CARES-Live feature sets will be built as part of CWS-CARES V1, which will allow for decommissioning of CARES-Live after the CWS-CARES V1 implementation activities are completed.

5.9. Procurements

Since submission of SPR 4, the project completed the planned procurements for DD&I of CWS-CARES. This section provides updates on these procurements, as well as identifies any new procurements since the submission of SPR 4. The following tables describe:

- Table 4 – Completed Procurements: Identifies all completed procurements and any term and/or cost variance from SPR 4.
- Table 5 – In Progress Procurements: Identifies all procurements which were identified in SPR 4 but have not yet been completed with the current status and any term and/or cost variance from SPR 4.
- Table 6 – Closed Out Contracts: Identifies all contracts that have either expired or were cancelled by the State since the SPR 4 submission.
- Table 7 – Acquisition Summary: Identifies all new procurements since SPR 4 submission.

Table 4 – Completed Procurements

| Procurement Name | SPR 4 Estimated Term | Actual Term | SPR 4 Estimated Value | Actual Value |
|---------------------------------|---|---|---|---|
| CARES Data Infrastructure (CDI) | Apr. 2021 – Mar. 2027 (36-month core term + three 1-year options) | Apr. 15, 2021 – Apr. 14, 2027 (core term + three 1-year options) | \$71,206,628 (core term + options) | \$71,206,628 (core term + options) |
| | Vendor: OnCore Consulting, LLC Term Variance: No variance Term Variance Justification: No variance from SPR 4. Value Variance: \$0 | | | |

| Procurement Name | SPR 4 Estimated Term | Actual Term | SPR 4 Estimated Value | Actual Value |
|--|--|---|--|--|
| | Value Variance Justification: No variance from SPR 4. | | | |
| Salesforce Subscription Services | Mar. 2021 – Apr. 2025 (12-month core term + three 1-year options) | May 1, 2021 – Apr. 30, 2025 (core term + four 1-year options) | \$71,917,611 (core term + options) | \$71,917,611 (core term + options) |
| | Vendor: Taborda Solutions Term Variance: Two-month delay Term Variance Justification: This procurement was delayed while the State and Salesforce completed negotiations and the State defined its required service offerings after consultation with the PaaS SI and CDI vendors. Value Variance: \$0 Value Variance Justification: Although there is not projected to be a variance from SPR 4 it should be noted that the actual contract cost for Salesforce Subscription Services came in at a baseline cost of \$4,215,680 per year with options to scale on a per user basis to meet the project's requirements. The initial year of this contract only includes those costs associated with greenfield and the State expects to increase these services incrementally through the SDLC. | | | |
| Platform as a Service Systems Integrator (PaaS SI) | Apr. 2021 – Mar. 2027 (36-month core term + three 1-year options) | Apr. 1, 2021 – Mar. 31, 2027 (core term + three 1- year options) | \$63,781,313 (core term + options) | \$63,781,313 (core term + options) |
| | Vendor: Deloitte Consulting, LLP Term Variance: No variance Term Variance Justification: No variance from SPR 4. Value Variance: \$0 Value Variance Justification: No variance from SPR 4. | | | |
| Project Management Services | Jul. 2021 – Jun 2027 (36-month core term + three 1-year options) | Sep. 1, 2021 – Aug. 30, 2027 (core term + three 1-year options) | \$8,640,000 (core term + options) | \$7,250,760 (core term + options) |
| | Vendor: Infinite Solutions Inc. | | | |

| Procurement Name | SPR 4 Estimated Term | Actual Term | SPR 4 Estimated Value | Actual Value |
|---------------------------------|---|---|--|--|
| | Term Variance: Two-month delay Term Variance Justification: Assessments and negotiations took longer than originally estimated. Value Variance: \$1,434,240 Value Variance Justification: The actual contract cost for Project Management Services came in 16.6% lower than estimated in SPR 4. These savings were a result of competitive negotiations to achieve the best hourly rates. | | | |
| Independent Advisor Services | Apr. 2021 – Mar. 2027 (36-month core term + three 1-year options) | Apr. 13, 2021 – Apr. 12, 2027 (core term + three 1-year options) | \$3,456,000 (core term + options) | \$3,910,172 (core term + options) |
| | Vendor: Elyon Enterprise Strategies, Inc. Term Variance: No variance Term Variance Justification: No variance from SPR 4. Value Variance: \$454,172 Value Variance Justification: The actual contract cost for Independent Advisor came in 13.4% higher than estimated in SPR 4. This increased cost was a result of adding hours to be used at the onset of the contract for the vendor to conduct an initial assessment of the project's costs, approach, schedule, and to identify opportunities to deliver the CWS-CARES more efficiently. | | | |
| Implementation Services | Apr. 2021 – Apr. 2026 (36-month core term + two 1- year options) | Jul. 7, 2021 – Jul. 6, 2026 (core term + two 1-year options) | \$44,913,066 (core term + options) | \$44,907,301 (core term + options) |
| | Vendor: Deloitte Consulting, LLP Term Variance: Three-month delay Term Variance Justification: Assessments and negotiations took longer than originally estimated. Value Variance: \$23,765 Value Variance Justification: The actual contract cost for Implementation Services came in 0.05% lower than estimated in SPR 4. These savings were a result of competitive negotiations to achieve the best hourly rates. | | | |

| Procurement Name | SPR 4 Estimated Term | Actual Term | SPR 4 Estimated Value | Actual Value |
|---|--|--|---|---|
| Quality Assurance (QA) Testing Services | Apr. 2021 – Apr. 2026 (36-month core term + two 1-year options) | Sep. 1, 2021 – Aug. 31, 2026 (core term + two 1-year options) | \$11,174,000 (core term + options) | \$10,739,200 (core term + options) |
| | Vendor: Business Advantage Consulting, Inc. Term Variance: Four-month delay Term Variance Justification: Project made a strategic decision to delay this procurement until testing activities were needed. Value Variance: \$435,200 Value Variance Justification: The actual contract cost for the QA Testing Services came in 3.89% lower than estimated in SPR 4. These savings were a result of competitive negotiations to achieve the best hourly rates. | | | |
| Splunk Technology | Apr. 2021 – Jun. 2026 | Sep. 27, 2021 – Sep. 26, 2022 | \$1,326,750 | \$364,000 |
| | Vendor: Solutions Simplified Term Variance: Five-month delay Term Variance Justification: Poor procurement planning. The project did not start this procurement until after the existing contract expired in June 2021. Value Variance: \$962,750 Value Variance Justification: Although the actual contract cost for Splunk came in 70.6% lower than estimated in SPR 4, this is the result of the term being one year as opposed to five years. Total cost for Splunk is expected to remain in alignment with SPR 4 over the same period of time. | | | |
| ServiceNow | Sep. 2021 – Sep. 2026 | Feb. 2022 – Feb. 2023 | \$2,400,000 | \$249,000 |
| | Scope of Service: 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. Term Variance: Estimated start date pushed back one month, and total duration reduced to one year. Term Variance Justification: The start date aligns to the expected end date of the existing ServiceNow consulting services contract and the project will procure these services in one-year increments. | | | |

| Procurement Name | SPR 4 Estimated Term | Actual Term | SPR 4 Estimated Value | Actual Value |
|---|--|--|-----------------------------|--------------|
| | Value Variance: \$2,151,000 Value Variance Justification: The estimated ServiceNow costs reduction is the result of the term being one year as opposed to five years. Total cost for ServiceNow is expected to remain in alignment with SPR 4 over the same period of time, but there will be several contracts instead of one. | | | |
| County Welfare Directors Association (CWDA) (CC05 & M&O1) | Apr. 2021 – Jun. 2028 (51-month core term + three 1- year options) | Apr. 14, 2021 – Jun. 30, 2024 (38-month term) | \$5,461,716 | \$2,266,716 |
| | Vendor: CWDA Term Variance: Contract duration reduced by 48 months Term Variance Justification: In consultation with DGS, the project agreed to reduce the duration of the contract from potentially 87 months to 38 months after DGS expressed concern with this duration. Value Variance: \$3,195,000 Value Variance Justification: The actual contract cost for CWDA came in 58.2% lower than estimated in SPR 4. This is solely due to the term of the contract being reduced based on the DGS directive. | | | |
| Los Angeles County (CC15) | Jul. 2021 – Dec. 2025 | Jul. 1, 2021 – Dec. 31, 2025 | \$1,022,400 | \$865,000 |
| | Vendor: Los Angeles County Term Variance: No variance Term Variance Justification: No variance from SPR 4. Value Variance: \$157,400 Value Variance Justification: The actual contract cost for this contract came in 15.3% lower than estimated in SPR 4. These savings were a result of a different county consultant being identified and travel costs being eliminated due to COVID. | | | |
| Los Angeles County (CC18) | Jan. 2021 – Dec. 2025 | Jun. 1, 2021 – May 31, 2025 | \$1,249,600 | \$923,000 |
| | Vendor: Los Angeles County Term Variance: Five-month delay | | | |

| Procurement Name | SPR 4 Estimated Term | Actual Term | SPR 4 Estimated Value | Actual Value |
|--|--|------------------------------------|-----------------------------|--------------|
| | Term Variance Justification: County review and approval took longer than originally estimated. Value Variance: \$326,000 Value Variance Justification: The actual contract cost for this contract came in 26.1% lower than estimated in SPR 4. These savings were a result of a different county consultant being identified and travel costs being eliminated due to COVID. | | | |
| Riverside County (CC20) | Jan. 2021 – Dec. 2025 | Feb. 9, 2021 – Dec. 31, 2023 | \$1,136,000 | \$450,687 |
| | Vendor: Riverside County Term Variance: One-month delay in start date and overall duration being reduced from 60 to 30 months. Term Variance Justification: County review and approval took longer than originally estimated. Value Variance: \$685,313 Value Variance Justification: The actual contract cost for this contract came in 60.3% lower than estimated in SPR 4. These savings were a result of travel costs being eliminated due to COVID and a reduction in the total contract duration. | | | |
| Stanislaus County ¹ (CC01) | N/A | Jul. 1, 2021 – Jun. 30, 2024 | N/A | \$499,404 |
| | Vendor: Stanislaus County Term Variance: Not explicitly identified in SPR 4. Term Variance Justification: Not explicitly identified in SPR 4. Value Variance: Not explicitly identified in SPR 4. Value Variance Justification: Not explicitly identified in SPR 4. | | | |

Table 5 – In Progress Procurements

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|--------------------------|--|----------------------------|-----------------------------|-----------------------------|
| Service Desk Services | Apr. 2023 – Mar. 2029 (36-month core term + three 1- year options) | No Change | \$18,972,000 | No Change |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|--|---|--|-----------------------------|-----------------------------|
| | <p>Scope of Service: 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.</p> <p>Term Variance: No variance</p> <p>Term Variance Justification: No variance from SPR 4.</p> <p>Value Variance: \$0</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are expected to begin in Jan. 2022.</p> | | | |
| Financial Management Consultant Services | Dec. 2022 – Apr. 2026 (15-month core term + two 1-year options) | Jul. 2022 – Jul. 2025 (1-year core term + two 1- year options) | \$3,432,000 | \$3,432,000 |
| | <p>Scope of Service: 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.</p> <p>Term Variance: Estimated start date moved up six months to begin in July 2022 and the total term was slightly reduced.</p> <p>Term Variance Justification: Based on the master project schedule and the updated roadmap, this vendor needs to be onboarded prior to TI 10 (Aug. 2022) to assist with critical financial management activities. The contract duration has been reduced slightly to better align with when the services are needed.</p> <p>Value Variance: \$0</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are expected to begin in Jan. 2022.</p> | | | |
| CARES-Live Production Support Services | Mar. 2023 – Apr. 2024 (14-month core term) | Apr. 2023 – Jun. 2024 (15-month core term) | \$2,080,960 | \$2,368,950 |
| | <p>Scope of Service: 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</p> | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|------------------|--|--|-----------------------------|-----------------------------|
| | <p>the migration of the CARES-Live capabilities and data to a new Salesforce platform.</p> <p>Term Variance: Estimated start date pushed back one month, and total duration increased by one month.</p> <p>Term Variance Justification: The start date aligns to the expected end date of the existing CARES-Live Production Support Services and the end date aligns to the anticipated CARES-Live decommission date.</p> <p>Value Variance: \$287,990</p> <p>Value Variance Justification: The estimated cost for CARES-Live Production Support Services has increased due to the term adjustments.</p> <p>Status: Procurement activities are expected to begin in Aug. 2022.</p> | | | |
| | | | | |
| | | | | |
| | Dec. 2021 – Apr. 2026 (15-month core term + three 1-year options) | Mar. 2022 – Mar. 2026 (24-month core term + two 1-year options) | \$4,212,000 | \$5,184,000 |
| IV&V Services | <p>Scope of Service: The vendor will provide Independent Verification and Validation (IV&V) services for the CWDS. The IV&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&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"> • Technical independence requires the IV&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. • Managerial independence requires the IV&V service provider to ensure the IV&V effort is vested in an organization departmentally and hierarchically separate from the software development and program management organizations. <p>Term Variance: Estimated start date pushed back four months, and total duration reduced to four years.</p> | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|--|--|----------------------------|-----------------------------|-----------------------------|
| | <p>Term Variance Justification: The start date aligns to the expected end date of the existing IV&V services contract and the end date aligns to the expected project end date.</p> <p>Value Variance: \$972,000</p> <p>Value Variance Justification: Due to increased IV&V needs the project is budgeting for 4.5 resources instead of four resources. This additional budgetary flexibility will allow the project to leverage highly specialized IV&V resources throughout the project on an as-needed basis.</p> <p>Status: Procurement activities are currently underway with the procurement estimated to be released in Dec. 2021 and contract execution in Mar. 2022.</p> | | | |
| CWDA County Liaisons (Blanket) (5 resources) (CC02, CC24, CC29, CC19, and M&O02) | Jan. 2022 – Jun. 2027 | Aug 2022 – Jul. 2025 | \$6,454,006 | \$5,118,750 |
| | <p>Scope of Service: 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.</p> <p>Term Variance: Estimated start date pushed back five months, and total duration reduced to three years.</p> <p>Term Variance Justification: The start date aligns to the expected end date of the existing CWDA contract, and the term was reduced to three years based on DGS' expressed concern with the duration on the current CWDA contract.</p> <p>Value Variance: \$1,335,256</p> <p>Value Variance Justification: An additional resource has been added to this contract to assist with financial management activities. This is due to the project having difficulties identifying county consultants with this skill set. As a result, the project repurposed CC19 to be included in this CWDA contract. Additionally, the cost has been reduced due to the term of the</p> | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|---------------------------|--|------------------------------------|-----------------------------|-----------------------------|
| | <p>contract being reduced based on the DGS directive on the current CWDA contract.</p> <p>Status: Procurement activities are currently underway. Project is working with DGS on the Non-Competitive Bid (NCB) justification and contract execution is expected in May 2022.</p> | | | |
| Monterey County (CC09) | N/A | Mar. 8, 2022 – Mar. 7, 2025 | N/A | \$946,082 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> • Performing duties related to Identity Management. • Performing Data Clean-Up Efforts, working in collaboration with Project, County and State staff. • Performing Conversion Efforts, working in collaboration with Project, County and State staff. • Performing county research and analysis <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Term Variance Justification: Estimated start date pushed-back and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR4.</p> <p>Status: Procurement activities are currently underway, and the county and State are negotiating contract provisions.</p> | | | |
| Madera County (CC03) | N/A | Jan. 1, 2022 – Dec. 31, 2024 | N/A | \$450,874 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> • Performing case management-related tasks as identified in the CWS-CARES Product Blueprint • Performing building block refinement for case-management, providing additional details, as required. • Performing case management-related tasks to provide additional details to existing service map areas, as required. • Attending core county meetings and participate in discussions as case management subject matter expert. <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|--------------------------|--|------------------------------------|-----------------------------|-----------------------------|
| | <p>Term Variance Justification: Estimated start date pushed back and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR 4</p> <p>Status: Procurement activities are currently underway, and the county is reviewing the final contract.</p> | | | |
| Sacramento County (CC04) | N/A | Jan. 1, 2022 – Dec. 31, 2024 | N/A | \$448,875 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> • Performing duties related to Identity Management. • Performing Data Clean-Up Efforts, working in collaboration with Project, County and State staff. • Performing Conversion Efforts, working in collaboration with Project, County and State staff. • Performing county research and analysis. <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Term Variance Justification: Estimated start date pushed back and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are currently underway, and the county is reviewing the final contract.</p> | | | |
| Yuba County (CC08) | N/A | Jan. 1, 2022 – Dec. 31, 2024 | N/A | \$382,477 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> • Performing duties related to Identity Management. • Performing Data Clean-Up Efforts, working in collaboration with Project, County and State staff. • Performing Conversion Efforts, working in collaboration with Project, County and State staff. • Performing county research and analysis. | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|--------------------------|--|------------------------------------|-----------------------------|-----------------------------|
| | <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Term Variance Justification: Estimated start date pushed back and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are currently underway, and the county is reviewing the final contract.</p> | | | |
| Kern County (CC12) | N/A | Jan. 1, 2022 – Dec. 31, 2024 | N/A | \$435,599 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> • Performing duties related to Identity Management. • Performing Data Clean-Up Efforts, working in collaboration with Project, County and State staff. • Performing Conversion Efforts, working in collaboration with Project, County and State staff. • Performing county research and analysis. <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Term Variance Justification: Estimated start date pushed back and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are currently underway, and the county is reviewing the final contract.</p> | | | |
| Sacramento County (CC11) | N/A | Jan. 1, 2022 – Dec. 31, 2024 | N/A | \$444,308 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> • Performing Licensing/Case Management-related as identified in the CWS-CARES Product Blueprint. • Performing building block refinement for Licensing/Case Management, providing additional details, as required. | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|------------------------------|--|------------------------------------|-----------------------------|-----------------------------|
| | <ul style="list-style-type: none"> Performing Licensing/Case Management-related tasks to provide additional details to existing service map areas, as required. Attending core county meetings and participate in discussions as Licensing/Case Management subject matter expert. <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Term Variance Justification: Estimated start date pushed back and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are currently underway, and the county is reviewing the final contract.</p> | | | |
| Los Angeles County (CC16) | N/A | Jan. 1, 2022 – Dec. 31, 2024 | N/A | \$740,000 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> Performing resource management-related tasks as identified in the CWS-CARES Product Blueprint. Performing building block refinement for resource-management, providing additional details, as required. Performing resource management-related tasks to provide additional details to existing service map areas, as required. Attending core county meetings and participating in discussions as resource management t subject matter expert. Performing resource management-related tasks to support readiness and adoption of CWS-CARES. <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Term Variance Justification: Estimated start date pushed back, and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are currently underway, and the county is reviewing the final contract.</p> | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|---|--|------------------------------------|-----------------------------|-----------------------------|
| Santa Clara County (CC17) | N/A | Jan. 1, 2022 – Dec. 31, 2024 | N/A | \$924,252 |
| | <p>Scope of Service: This resource will provide expertise in various areas by:</p> <ul style="list-style-type: none"> • Performing duties related to Identity Management. • Performing Data Clean-Up Efforts, working in collaboration with Project, County and State staff. • Performing Conversion Efforts, working in collaboration with Project, County and State staff. • Performing county research and analysis. <p>Term Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Term Variance Justification: Estimated start date pushed back and total duration reduced to three years</p> <p>Value Variance: This county consultant was part of the 20 County Consultant resources identified in SPR 4.</p> <p>Value Variance Justification: No variance from SPR 4.</p> <p>Status: Procurement activities are currently underway, and the county is reviewing the final contract.</p> | | | |
| | | | | |
| | | | | |
| County Consultant Services (CC10, CC21, CC22, CC23, CC26, CC27, CC28, CC30, C31, and CC32) | Varies | Varies | \$19,800,000 | \$13,310,033 |
| | <p>Scope of Service: 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.</p> <p>Term Variance: Not explicitly identified in SPR 4.</p> <p>Term Variance Justification: Not explicitly identified in SPR 4.</p> <p>Value Variance: \$6,489,967.</p> <p>Value Variance Justification: The total budget for county consultants is not expected to change as compared to SPR 4. This</p> | | | |

| Procurement Name | SPR 4 Estimated Term | SPR 5 Estimated Term | SPR 4 Estimated Value | SPR 5 Estimated Value |
|------------------|---|----------------------------|-----------------------------|-----------------------------|
| | <p>reduction is simply accounting for the specific county consultant procurements shown above in this table that are in progress.</p> <p>Status: 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).</p> | | | |

Table 6 – Closed Out Contracts

| Services | Vendor | Contract Value | Contract Term |
|--------------------------------|----------------------------------|----------------|---------------------|
| Butte County (CC21) | Butte County | \$256,600 | 3/1/18 – 2/28/21 |
| CWDA (CC05) | CWDA | \$892,500 | 7/1/18 – 6/30/21 |
| CWDA (M&O 1) | CWDA | \$997,500 | 4/13/18 – 4/12/21 |
| Los Angeles County (CC15) | Los Angeles County | \$486,000 | 7/1/18 – 6/30/21 |
| Riverside County (CC20) | Los Angeles County | \$436,027 | 1/1/18 – 12/31/20 |
| County of San Francisco (CC19) | City and County of San Francisco | \$409,143 | 4/1/20 – 12/18/20 |
| OCM Services | Highlands Consulting Group LLC | \$1,248,720 | 10/23/18 – 10/22/21 |
| Splunk Services | Solutions Simplified | \$133,650 | 6/25/20 – 6/24/21 |

Table 7 – Acquisition Summary

| Procurement Name | Procurement Method | Estimated Cost | Estimated Term |
|------------------------------------|--|----------------|---|
| CARES V1 Security Testing Services | Competitive Bid Solicitation | \$883,200 | Aug. 2022 – Jul. 2023 (12-month core term) |
| | Scope of Services | | |
| | <p>The vendor will execute vulnerability and penetration testing activities to identify security vulnerabilities which impact state, federal, and county CWS-CARES operations. These services will include, but are not limited to, the following:</p> <ul style="list-style-type: none"> Identify vulnerabilities, determine impact and severity, recommend prioritization, and provide mitigation strategies; and Perform security controls validation in adherence to the System Security Plan (SSP). | | |

| | | | |
|------------------------------|--|-----------|--|
| WOA Automation Tool Services | Software Licensing Program | \$172,800 | Mar. 2022 – Sep. 2022 (6-month core term) |
| | Scope of Services | | |
| | The vendor will provide initial configuration of the WOA Automation tool to meet the CWDS' business needs and processes, provide ongoing support for six (6) months as needed, and train State resources on how to configure and maintain the tool. This tool is critical to efficiently streamline the WOA process. | | |

5.10. Vendor Management

As stated previously in this document, one of the project's biggest challenges is effectively managing a multi-vendor model. SPR 4 described the project's efforts in developing and executing a Vendor Management Plan (SPR 4, Attachment 13), which provides guidance to State Functional Managers regarding how to manage the vendor resources. This approach is geared to promote open communication and support for both State and vendor project staff by providing guidance, best practices and methods to mitigate project and vendor risks. Additionally, it 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 delivered the vendor management training to State Functional Managers and PDLs in December 2020. A session was also provided for the vendors shortly after onboarding the project in March and April of 2021.

It was also described in SPR 4 that the project will use the Work Order Authorization (WOA) process to hold contractors accountable for the work defined within the WOA. The PaaS SI, CDI, PVS, Implementation Services and Quality Assurance Testing Services contracts are all WOA-based contracts. The current WOA cycle covers a testable increment in a six- week span that involves discovery, prototyping, build and feedback activities. Each WOA describes specific services and/or work products to be delivered by each vendor to the State within a mutually agreed to time and cost meeting specific quality standards. For contracts requiring WOAs, all work must be done pursuant to an approved WOA and compensation will be made upon State acceptance of WOA completion. For this reason, the WOA becomes the State's tool to effectively manage contract work in terms of quality and cadence. Conversely, it is incumbent upon the State to have an efficient process to develop, review, approve, and accept WOAs to ensure compensation is not unduly withheld. The project developed the WOA Management Process document (Attachment 6) to memorialize the WOA process framework and continues to monitor the WOA process to identify any opportunities for improvement. Additionally, the project is planning to implement a WOA automation tool during the first quarter of 2022 to automate critical pieces of the process and more efficiently streamline the overall WOA process.

5.11. Expenditures to Date

Table 8 provides a display of total project expenditures including OSI and CDSS actuals from December 2021 FI\$CAL Reports, as well as processed invoices through December 8, 2021.

Table 8 – CWS-CARES Project Expenditures to Date as of December 2021

| SPR 4 Approved Amount | Actual Expenditures | Remaining Budget |
|------------------------------|----------------------------|-------------------------|
| \$375,559,878 | \$253,344,094 | \$122,215,784 |

6.0 Updated Project Management Plan

The project updated some of the existing project management plans and critical deliverables to reflect any adjustment in approach, to include input from the PaaS SI, PVS, CDI, and IA vendors, and to prepare for implementation of the RFA Application process. Those revised plans and deliverables can be found as attachments and are listed below:

1. CWDS Data Conversion Plan (Attachment 3)
2. CWS-CARES Cutover Approach (Attachment 4)
3. CWS-CARES Incident Management Plan (Attachment 5)
4. CWDS Project Governance Plan (Attachment 7)
5. CWS-CARES Master Test Plan (Attachment 8)
6. CWS-CARES Organizational Change Management Plan (Attachment 9)
7. CWS-CARES Readiness Org. Engagement Plan (Attachment 10)
8. CWS-CARES Master Implementation Plan (Attachment 11)
9. CWS-CARES Adoption Strategy (Attachment 12)
10. CWS-CARES V1 Epics (Attachment 13)
11. RFA Training Plan (Attachment 16)
12. Release Management Plan (Attachment 17)
13. Command Center Plan (Attachment 18)
14. CWDS Functional Org Chart for BCP (Attachment 19)

All project plans and work products are living documents which are subject to revision based on updated assumptions, risks, and findings.

6.1. Project Monitoring and Oversight

The project continued to maintain ongoing communication with the assigned Checks and Balances teams, that includes CDT Independent Project Oversight (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 Project Management Office (PMO), 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 PMO (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 PMO who in turn assigns the appropriate project team member as owners to the findings.

6.2. Project Quality

The section below details the roles and responsibilities of the project oversight entities for CWS-CARES.

6.2.1. 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 Entity | 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. |

6.3. 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 CWS-CARES users to transition to the new system. Key aspects of this OCM are 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 prepares for implementation of functionality to users, OCM is a significant component within the implementation plans for each county and user group of the new CWS-CARES system. Reference Organizational Change Management Plan (Attachment 9).

2. CWS-CARES Technical change management, based on Agile and Information Technology Infrastructure Library (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 Technical Change Management Plan (for Production Environment Changes) is being developed, and the first iterative draft is due in March 2022.
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 applies OCM best practices and techniques to ensure project adjustments (e.g., improvements to the SDLC, Jira reconfiguration) are made with minimal resistance and impacts to scope, schedule and cost as possible.

Organizational Change Management (OCM)

The project's Communication team continues to collaborate with CWDS Customer Relations in both OCM activities and providing consistent messaging about the CWS-CARES project. As the project matures, OCM is a constant area of emphasis, both internally (among project team members) and externally (e.g., the implementation strategy to support OCM in the counties is referenced in Section 5.3).

The project leverages the best practices and strategies that were shared by the previous OCM vendor, Highlands Consulting Group, to help navigate the project team through critical change initiatives. Although that contract ended in October 2021, there was a significant amount of knowledge transfer that took place that the State project team members continue to apply to various change initiatives. The lessons learned during greenfield with regard to the SDLC is one example of a critical change initiative where OCM must be applied. Early awareness, understanding of the changes, 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.

6.4. 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 Implementation Advanced Planning Document Update (IAPDU) which was submitted to ACYF on November 16, 2021. The IAPDU provides updates to the Implementation APD that was submitted in December 2020 with a request for federal financial participation (FFP) through December 2022 for the continuation of CWS-CARES project design, development and implementation activities. ACYF approval of the IAPDU is anticipated in January 2022.

7.0 Risk and Issue Management

The Risk and Issue Management Plan is aligned with the current project practice, as well as supporting documents such as process flow diagrams, risk submission forms, and ongoing reports. The plan identifies the roles and responsibilities for managing

various areas of the risks and issues, and it specifies how risks and issues are tracked throughout the project's life cycle and how contingency plans are implemented.

7.1. Risk and Issue System of Record

Jira is the system of record and a workflow tool that is used to manage all project risks, issues, and observations, 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 other week in order to ensure proper follow-up and closures are completed in a timely manner and shared with project leadership and subject-matter experts. In addition, the Project Management and Administration team meets with IPO and IV&V on a monthly basis to discuss oversight findings and formal project responses.

8.0 Updated Economic Analysis Worksheets (EAWs)

See Appendix A for the EAWs and supporting budget detail submitted with this SPR.