



Stage 1 Business Analysis

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

1.1 General Information

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

If Agency/State entity is not in the list, enter here with the [organization code](#).

2. **Proposal Name and Acronym:** **Care Provider Management System (CPMS)**

3. **Proposal Description:** (Provide a brief description of your proposal in 500 characters or less.)

The California Department of Social Services (CDSS), Community Care Licensing Division (CCLD) proposes to address the technical limitations of the current system, known as Guardian, and related manual processes, by implementing a new solution called the Care Provider Management System (CPMS). CPMS will allow CDSS to better align with California licensing law and practice, which requires customization beyond the current minimum viable product.

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

5. **S1BA Version Number:** **Version 1**

1.2 Submittal Information

1. **Contact Information**

Contact Name: **Sanjeev Gorhe**

Contact Email: **Sanjeev.Gorhe@dss.ca.gov**

Contact Phone: **916-205-2620**

2. **Submission Type:** **New Submission**

If Withdraw, select Reason: [Choose an item](#).

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

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

Click or tap here to enter text.

Summary of Changes: (Summarize updates made.)

Click or tap here to enter text.

3. Attach [Project Approval Executive Transmittal](#) to your email submission.



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4. Attach [Stage 1 Project Reportability Assessment](#) to your email submission.



CDSS CPMS
Reportability Assess

1.3 Business Sponsorship

1. Executive Champion (Sponsor)

Title: [Chief Operating Officer](#)

Name: [Salena Chow](#)

Business Program Area: [California Department of Social Services](#)

2. Business Owner

Title: [Deputy Director](#)

Name: [Kevin Gaines](#)

Business Program Area: [Community Care Licensing Division](#)

Title: [Assistant Deputy Director](#)

Name: [Greg Oliva](#)

Business Program Area: [Community Care Licensing Division](#)

Title: [Deputy Director – Chief Information Officer](#)

Name: [Chad Crowe](#)

Business Program Area: [Information Systems Division](#)

3. Product Owner

Title: [C.E.A.](#)

Name: [Prerna Mahajan](#)

1.4 Stakeholder Assessment

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

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

State Entity Only: No

Other Departments/State Entities: No

Public: Yes

Federal Entities: No

Governor's Office: No

Legislature: No

Media: No

Local Entities: No

Special Interest Groups: No

Other: No

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

Internal CDSS stakeholders will be involved in the planning process to ensure seamless access and functionality. Subject matter expert (SME) input from the following areas will be necessary to ensure the solution meets the business needs of their operations. This will be achieved through individual and collective meetings to collect business requirements, development planning, user testing, and implementation.

- CCLD Programs to include Children's Residential, Adult and Senior Care, Child Care, Home Care Services, and Administrator Certification for discovery, requirements gathering and planning.
- CCLD Division Administrative Support Bureau for purposes of online payments.
- CDSS Legal for purposes of Administrative Actions, Arrest Only Investigations, and statutorily required mandates.
- CDSS Information Technology Liaison Bureau for purposes of Administrative Actions Registry System, solution development, maintenance, and support.
- CDSS Information Systems Division for purposes of Project Approval Lifecycle management, overseeing the solution development, maintenance, and support.

External Stakeholders (Public) will be involved in all phases of the project to ensure the solution satisfactorily meets the needs of users external to CDSS. This will be achieved through regular updates on the solution development, participation in user testing, and implementation. External stakeholders will include, but not be limited to:

- California Resource and Referral Network
- Home Care Association
- California Assisted Living Association
- California Alliance of Child and Family Services

1.5 Business Program

1. Business Program Name: CCLD

2. Program Background and Context: (Provide a brief overview of the entity's business program(s) current operations.)

The CDSS, CCLD is responsible for regulating all care facilities it licenses, and protecting the health and safety of children, adults, and seniors in those facilities. CCLD licenses and oversees approximately 74,000 community care facilities throughout California, including childcare facilities, children's residential facilities, foster family homes, and care facilities for the adult and senior population. Health and Safety Code Section 1522 mandates a background check of all applicants, licensees, adult non-residents, volunteers, and employees who have contact with these vulnerable populations. CCLD's Care Provider Management Bureau (CPMB) conducts these background checks to determine whether individuals should be allowed to be present in a licensed care facility.

The CPMB runs a high volume, high production, time critical operation. CPMB processes over 200,000 Department of Justice (DOJ) fingerprint results annually, of which approximately 18 percent, approximately 40,000, have criminal background histories, Administrative Actions Records System matches, or Child Abuse Central Index matches. To determine if these applicants can be granted a criminal record exemption, CPMB must screen, route, review and analyze these histories. CPMB must also process and review over 50,000 additional background check documents requested and received from facilities, applicants, other State agencies, court agencies and law enforcement agencies per year. This requires processing high volumes of incoming and outgoing mail and faxes, as well as creating, filing, and retrieving over 12,000 paper case files per year. CPMB also manually processes over 20,000 TrustLine and Home Care Services Registry applications that are received through the mail that require manual input into the data system and processing of paper checks for registry fees.

The CDSS, by California statutory and regulatory requirements are governed by a complicated criminal background check and criminal record exemption criteria scheme. CDSS has discovered that states similar to California along with other State Agencies exercise a more simplistic approach (yes/no approach) to criminal background checks, whereas CDSS allows for various levels of exemption criteria.

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

This proposal will allow CDSS to address the technical limitations of Guardian, and related manual processes through the implementation of a new solution called the Care Provider Management System. This will allow CDSS to better align with California licensing law and practice, which requires some customization beyond the current minimum viable product in three key areas:

Tracking Required Application Timeliness

In order for CCLD to process applications as expeditiously as possible, CCLD relies on the statutory time frames set for applicants and internal time frames. However, the current criminal background check system, called Guardian, lacks the additional functionality for tracking case milestones and deadlines. For example, when CCLD staff are working standard exemption cases, letters are mailed to applicants who then have 45 days pursuant to Health and Safety Code Section 1522 to respond with the required information. Currently, the Guardian system is not capable of alerting staff or applicants when the 45-day period has expired.

There also is no functionality to alert or notify CCLD staff when the due date has ended for ordered arrest reports or court records. When these deadlines expire, and staff are not notified, it has major impact in, but not limited to, the following critical areas:

- 1) Applicants experience extended wait times for their exemptions to be processed, directly impacting their path to employment.
- 2) Providers who are waiting on an applicant's exemption to be completed struggle to meet adequate staffing requirements in their facilities and to offer the necessary care for children and adults in community care facilities.

Expand Functionality for Criminal Background/History

Another major limitation of this system is related to the subsequent criminal history that is received by the Guardian system via the daily Department of Justice (DOJ) file. The off-the-shelf solution provided a field to identify the existence of criminal history; however, additional programming is necessary to assess the detail and type of the criminal activity that would allow CCLD to perform the next workflow necessary to fully complete the more detailed background check requirements. The functionality assigning the received criminal history, as well as the functionality which populates fields (related to criminal history) on the employee profile, have been turned off at this time due to functionality limitations. The risk here is that certain criminal information, that would effectively remove an employee from a care facility, or end their employment outright, will not populate to the employee's profile. To combat that risk, CCLD staff must now manually print, and process, all subsequent criminal history. This involves intense manual processes, is risk-laden, and much slower than the functionality that is supposed to automate it. It also has contributed to an immense backlog of work that has required many unwanted changes, internal to CPMB, in order to manage the new manual workload.

Human-Centered Design

One of the guiding principles of CalHHS and CDSS is ensuring human-centered design in the development of IT solutions to mitigate the impact of administrative burden and system inefficiencies on services to the clients. In Guardian, with the current minimum viable product,

there is no flexibility and scalability for product customization, making application management services solely reliant on the contractor. CCLD lacks critical features like developing customizable workflows to process standard exemptions; streamlining reporting and business friendly alerts to review pending tasks creating client specific business rules; and enhancing public facing services because of the limitations of the current system. Implementation of CPMS gives the crucial hosting duties and overall control of the system to CDSS, unlike the current Guardian system. Through lessons learned, maintaining control and hosting within CDSS is critical in being able to make system modifications and ongoing sustainability to keep up with dynamic business requirements caused by, but not limited to, unique stakeholder needs, DOJ requirements, and new legislation.

CDSS has found it challenging, and often impracticable, to make modifications to a system it does not host and cannot access on the development end. CDSS has also discovered that states of comparable scale to California (e.g., Texas and Florida), and many other states, generally, have developed their own version of a 'Care Provider Management System' for their respective Departments due to many of the same challenges CDSS currently faces. The proposed CPMS will provide CDSS with the ability to make system modifications and enhancements more efficiently, allowing us to better serve our customers and alleviating inefficient processes which increase case processing time.

When background check results are not delivered as expeditiously as possible, especially for those who seek criminal record exemptions due to some level of criminal history, individuals cannot gain employment in licensed care facilities in California. If applicants are left waiting for extended periods of time for background check results, such as clearances or criminal record exemptions, it can create or further exacerbate staffing shortages and licensed care capacity issues that may leave an already vulnerable population of children and adults in an even more sensitive situation.

1.6 Project Justification

1. Strategic Business Alignment

Enterprise Architect

Title: Enterprise Architect

Name: Isaac Vallee

Strategic Plan Last Updated? 10/14/2014

Strategic Business Goal: Ensure criminal background checks and workflows are performed to protect health and safety of children and adults in community care facilities.

Alignment: Develop an enterprise data management strategy that supports improved public access, program interoperability through data sharing and a data-driven decision-making approach to increasing business efficiency.

Strategic Business Goal: Promote enterprise-wide collaboration in support of leveraging assets to improve utilization of resources.

Alignment: Collaborative delivery of projects through an enterprise shared services strategy. The Enterprise goal is to standardize on fewer solutions.

Mandate(s): State

Bill Number/Code, if applicable: HEALTH AND SAFETY CODE – HSC

DIVISION 2. LICENSING PROVISIONS [1200 - 1796.70]

CHAPTER 3. California Community Care Facilities Act [1500 - 1567.94]

ARTICLE 2. Administration [1520 - 1526.8]

Add the Bill language that includes system-relevant requirements:

https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=HSC&division=2.&title=&part=&chapter=3.&article=2.

2. Business Driver(s)

Financial Benefit: Yes

A more efficient system could help prospective employees become employed more quickly and provide licensed facilities with sufficient staff levels which could result in fewer civil penalties.

Increased Revenue: No

Cost Savings: No

Cost Avoidance: No

Cost Recovery: No

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

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

[Click or tap here to enter text.](#)

Improvement

Better Services to the People of California: Yes

This project will allow the people of California to submit background check applications, send and receive information, check on status, and other self-service options electronically through a public portal.

Efficiencies to Program Operations: Yes

The project will create efficiencies to program operations by automating clearances where manual intervention is not needed, tracking and tickler features to aid in caseload management, improved data reporting and analytics, and improved user interaction.

Improved Equity, Diversity, and/or Inclusivity: Yes

This project improves equity, diversity and/or inclusivity by ensuring consistency in case processing based on non-biased workflow parameters, such as but not limited to auto clearances, standardized parameters set for Administrative Actions, Out of State and Child Abuse Index Information Investigations.

Improved Health and/or Human Safety: Yes

This project improves the Health and Safety of children, clients, and adults in care by ensuring all background check cases are processed timely, accurately and within the parameters of all statutes and regulations.

Improved Information Security: Yes

The background check process to follow Criminal Justice Information Services (CJIS) security policy to protect personal identifiable data.

Improved Business Continuity: Yes

Business Continuity plan will be revised at all levels of the organization, from strategic planning all the way down to your daily operations.

Improved Technology Recovery: Yes

The Technology Recovery Plan will be updated to support business continuity.

Technology Refresh: Yes

Technology refresh will regularly update key elements of CDSS infrastructure to maximize system performance.

Technology End of Life: Yes

1.7 Business Outcomes Desired

Executive Summary of the Business Problem or Opportunity:

In April 2020, CDSS contracted with the contractor to develop the Guardian Lite caregiver background check solution in response to the COVID-19 Pandemic (contract #19-8018). In October 2020, CDSS amended the contract to complete and implement the full Guardian solution (exercising one-year option with the contractor via contract amendment 19-8018 A-1). In January 2021, the full Guardian system was implemented with minimum viable product features based on the off-the-shelf functionality and some developed enhancements. Based on the success of Guardian Lite, the purpose of expeditiously moving to the full Guardian automated system was to provide applicants, licensees, and organizations the ability for self-service, management of background checks and employee transfers. Additionally, stakeholder conversations highlighted the importance of having these features available for licensees. Guardian users identified challenges and limitations in the functionality of the system immediately following the January 2021 product release. These functional limitations are due to data migration and the inability to customize the system to align with statutory and regulatory requirements and Department practices, which are particularly complex in the CCLD environment. To resolve these immediate challenges and limitations, it was necessary for the vendor

to dedicate extra development resources to overcome these technical issues and the contract funds depleted faster than expected.

As of June 2021, Guardian is operating a minimum viable product system, is currently receiving hosting support only, and all development has ceased as contracted funds have been depleted (from the amendment 19-8018 A-1).

Additional functionality through implementation of a new CPMS would address the following:

- Increased application processing time which directly impacts both an individual's path to employment and a licensee's ability to staff their facility adequately
- Increased backlog of case work
- Increased manual processes related to critical items such as, but not limited to, processing initial or subsequent criminal history, and issuing and managing various required transmittals

Objective ID: 1.0

Objective: Improve employee efficiency and satisfaction by reducing barriers to completing background checks efficiently.

Metric: Time it takes to conduct specific, identified case management processes.

Baseline: Prior to completion of Stage 2 Alternative Analysis, a baseline will be developed using the current solution.

Target Result: Within six months of implementation, reduce case navigation time by 30 percent.

Measurement Method: Monthly caseload reports.

Objective ID: 2.0

Objective: Enhance CDSS decision-making related to background check operations through an increased understanding of case status, backlog, program variability and other operational factors.

Metric: Ability to accurately identify unique case status across different characteristics, including program type.

Baseline: Currently, the program has no access to real time data that is needed to inform comprehensive business planning.

Target Result: Within six months of implementation, demonstrate and document the ability to accurately determine background check status and backlog by program type.

Measurement Method: Real-time and periodic reports.

Objective ID: 3.0

Objective: Increase inclusivity and improve overall services to Californians by providing improved alternatives to paper and phone-based services that accommodate work schedules, transportation, child-care responsibilities, and other barriers that prevent them from getting the support that they need.

Metric: Increased usage and availability of on-line service tools.

Baseline: Currently, there is no statutory or regulatory mandate; therefore, only 35 percent of applications for background checks are submitted through an existing online portal that provides limited on-line services.

Target Result: Allow external users to apply through an on-line portal that also provides different self-serve options. With no statutory or regulatory mandate, and within 12 months of implementation, achieve a 50 percent on-line participation rate.

Measurement Method: Monthly data reports.

Objective ID: 4.0

Objective: Improve operational efficiency and provide better services to Californians who have no criminal history by automatically determining the outcome of their background check applications.

Metric: Increased number of applicants who are automatically determined.

Baseline: Monthly, approximately 17,000 applicants with no criminal history, child abuse central index matches, administrative actions record system (AARS), and out of state child abuse matches are automatically determined.

Target Result: Within six months of implementation, automatically determine 100% of applicants with no criminal history, child abuse central index matches, administrative actions record system (AARS), or out of state child abuse matches.

Measurement Method: Monthly data reports.

1.8 Project Management

1. Project Management Risk Score: 1.1

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



CDSS CPMS
SIMM_45_Appendix

2. Project Approval Lifecycle Completion and Project Execution Capacity Assessment

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

Answer: Yes

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

Answer (No, New, Existing, or Both): [Both New and Existing Processes](#)

1.9 Initial Complexity Assessment

1. Business Complexity Score: [2.0](#)

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



CPMS Business
Complexity Assessment

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

Programmatic regulations: [Yes](#)

HIPAA/CIIS/FTI/PII/PCI: [Yes](#)

Security: [No](#)

ADA: [No](#)

Other: [No](#)

Not Applicable: [No](#)

Noncompliance Description: [No](#)

3. Additional Assessment Criteria

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

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

Number of locations: [Statewide](#)

Estimated Number of Transactions/Business Events (per cycle): [200,000 applications per year](#)

Approximate number of internal end-users: [200](#)

Approximate number of external end-users: [10,000 \(Public\)](#)

1.10 Funding

Planning

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to **complete planning** through the project approval lifecycle framework? [Yes](#)

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

7/29/2022

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

General Funds, 7/1/2023

Project Implementation Funding

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

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

[Click or tap here to enter text.](#)

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

If "Yes" is selected, specify when this BCP will be submitted: FY 23-24

2. Please provide a rough order of magnitude (ROM) estimate as to the total cost of the project: Less than \$10 Million

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

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

Department of Technology Use Only

Original "New Submission" Date: 09/29/2022

Form Received Date: 09/29/2022

Form Accepted Date: 09/29/2022

Form Status: Completed

Form Status Date: 09/29/2022

Form Disposition: Approved

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

Form Disposition Date: 09/29/2022

Department of Technology Project Number (0000-000): 5180-226