

**Project Name:** Electronic Distribution of SOD and Receiving of POC (e-2567)  
**OCIO Project #:**   
**Department:** California Department of Public Health (CDPH)  
**Revision Date:** 9/13/10

## Concept Statement

### Description

**Brief description of the proposed project:**

Funding Source: 100% Special Fund (Licensing and Certification (L&C)), Fund number: 3098.

Center: Center for Healthcare Quality (CHCQ)

Start Date: 01/01/13

End Date: 06/30/15

Is BCP Needed: Yes (FY 12/13)

CDPH 2008-2010 Strategic Plan: Goals 3 and 5

CA IT Strategic Plan: Concept 1, 2, 3, 4, and 6

AIMS: Goal 2 (Objectives 2.1, 2.4), Goal 4 (Objectives 4.3)

Project Description:

The California Department of Public Health (CDPH), CHCQ, L&C Program seeks to replace its manual, paper-based Statements of Deficiencies (SOD) and Plan of Correction (POC) processes with a secure, web-based automatic system. This secure web-based system will eliminate the need for L&C to manually distribute the SOC documents to the health facility cited with compliance violation(s). In addition, this automated system will eliminate the need for the health facility to hand-write or manually type the corrective action plan into the hard copy of the POC document and return it, by U.S. mail, to L&C for review and acceptance. The proposed concept is to design, develop, and implement a web portal to meet current needs for information exchange between CDPH and the health facilities. L&C plans to design this web portal with the flexibility and capacity to be utilized as a department-wide information portal.

### Need Statement

**High Level Capabilities Needed:**

L&C needs to replace its manual, paper-based processes to distribute the SOD to the health facilities and receive the hand-written corrective action plan (POC) from the health facilities with an automatic solution. L&C requires a system that has the following characteristics:

- allows data to be exchanged between health facilities and L&C electronically.
- interfaces with the federal Automated Survey Processing ENvironment (ASPEN).
- displays finalized information to the public via the internet.

**What is Driving This Need?**

The current paper-based process of sending and receiving the SOD and POC is manually intensive and time consuming. Currently, L&C staff must manually generate the SOD from the automated system, and then hand-deliver or mail the SOD document to the facility being surveyed. Once the facility receives the paper SOD, for each cited deficiency, they must hand write or type their proposed corrective action and return the paper document to the Department. Depending on the facility's corrective action plan, L&C determines if an additional inspection at the facility is needed.

IT Projects will meet the requirements for accessibility for disabled persons as stipulated in the IT Policy Letter (ITPL) 10-10; State Management Manual (SAM) Sections 4819.2 and 4833; and State Administrative Manual (SAM) Sections 20, 25, 30.

**Project Name:** Electronic Distribution of SOD and Receiving of POC (e-2567)  
**OCIO Project #:** \_\_\_\_\_  
**Department:** California Department of Public Health (CDPH)  
**Revision Date:** 9/13/10

# Concept Statement

**Risk to the Organization if This Work is Not Done:**

The risks associated with not moving to electronic 2567 processing include the following:

- L&C will continue to rely on a completely manual, paper-based process that is error prone, manually intensive, and time consuming.
- Licensed health facilities will continue to respond to L&C on the identified deficiencies by using hand written/typed forms, identifying their corrective action plan(s) into the same hard copy document delivered from L&C, thus slowing down the response time.
- Once the POC is accepted and approved by L&C, L&C district office staff must manually copy the document when the consumer or general public requests to see the how the facility has proposed to correct the violation identified by L&C during the inspection.

---

## Benefit Statement

---

### Intangible Benefits

**Process Improvements** (describe the nature of the process improvement):

During surveys, for each violation or non-compliance found, L&C surveyors cite the health facility with a deficiency. The facility must respond to each of the deficiencies found with a corresponding corrective action. Currently, L&C staff must manually generate (print) the SOD from the automated system, and then hand-deliver or mail the hard copy SOD document to the facility being surveyed. In response to each of the cited deficiencies, the facility must manually enter into the same hard copy document the associated corrective action for each of the cited deficiencies and then return the document to L&C by U. S. mail. Depending on the facility's corrective action plan, L&C then determines if an additional inspection of the facility is needed. Once L&C verifies the facility has corrected the identified deficiencies and accepted the POC, the document becomes a public document that the general public and health care consumers can review as part of the health facility's performance history. The proposed concept leverages information technologies to meet L&C business needs, in addition to improving the processing by providing the general public and healthcare consumers access to health facilities' performance information.

**Other Intangible Benefits:**

- Makes government more transparent.
- Streamlines and simplifies the deficiency correction process, while at the same time provides the general public and healthcare consumers information in a more timely manner.
- Eliminates institutional barriers to the sharing of data and information.

# CA - PMM

**Project Name:** Electronic Distribution of SOD and Receiving of POC (e-2567)

**OCIO Project #:** [Redacted]

**Department:** California Department of Public Health (CDPH)

**Revision Date:** 9/13/10

## Concept Statement

### Tangible Benefits

<b>Revenue Generation</b> (describe how revenue will be generated): N/A
--

<b>Cost Savings</b> (describe how cost will be reduced): N/A
---

<b>Cost Avoidance</b> (describe the cost and how avoided): N/A
---

<b>Risk Avoidance</b> (describe the risk and how avoided): N/A
---

<b>Improved Services:</b> N/A
----------------------------------

# CA - PMM

**Project Name:** Electronic Distribution of SOD and Receiving of POC (e-2567)  
**OCIO Project #:**   
**Department:** California Department of Public Health (CDPH)  
**Revision Date:** 9/13/10

## Concept Statement

### Consistency

"No" Responses 		Rationale	Action Required
Enterprise Architecture	Yes		
Business Plan	Yes		
Strategic Plan	Yes		

### Impact to Other Agencies

#### Nature of Impact to Other Agencies

<b>Agency:</b> Health Facilities
<i>Describe the nature of the impact:</i>
Provides health facilities and L&C an opportunity to exchange information regarding deficiencies found during surveys and the facility's plan of correction.

<b>Agency:</b>
<i>Describe the nature of the impact:</i>
N/A

<b>Agency:</b>
<i>Describe the nature of the impact:</i>
N/A

<b>Agency:</b>
<i>Describe the nature of the impact:</i>
N/A

# CA - PMM

**Project Name:** Electronic Distribution of SOD and Receiving of POC (e-2567)  
**OCIO Project #:** \_\_\_\_\_  
**Department:** California Department of Public Health (CDPH)  
**Revision Date:** 9/13/10

## Concept Statement

### Solution Alternatives

#### Alternative 1:

Alternative Description: Contract with an IT vendor with the necessary experience and knowledge to design, develop, and implement a secure Internet system. The proposed system will allow the Department to display deficiencies issued to the health facility during compliance inspections and allow only the authorized health facility to respond to each cited deficiency with their corrective action plan.

#### Technical Considerations for Alternative 1:

The proposed Internet site will be hosted at the Office of Technology Services (Otech).  
Authentication of each authorized health facility representative using the system would be required.

ROM Cost: \$399,000 to \$1,120,000

Note: high end of range must not exceed 200% of low end of range

#### Alternative 2:

Alternative Description: Purchase a system from another state agency that has already developed a similar system. L&C will make code changes as necessary.

#### Technical Considerations for Alternative 2:

The proposed system will be hosted at Otech.

ROM Cost: \$560,000 to \$1,120,000

Note: high end of range must not exceed 200% of low end of range

# CA - PMM

**Project Name:** Electronic Distribution of SOD and Receiving of POC (e-2567)  
**OCIO Project #:**   
**Department:** California Department of Public Health (CDPH)  
**Revision Date:** 9/13/10

## Concept Statement

Alternative 3:
Alternative Description: Build the system using existing in-house staff.

Technical Considerations for Alternative 3:
The proposed system will be hosted at Otech.
ROM Cost: \$560,000 to \$1,120,000 <span style="float: right;">Note: high end of range must not exceed 200% of low end of range</span>

### Recommendation

**Comparison:**

Alternative 1	ROM Cost	Risk
Procure CMAS qualified DD&I contractor to build the Internet system	\$399,000 - \$1,120,000	
Alternative 2	ROM Cost	Risk
Purchase a system from another state agency	\$560,000 - \$1,120,000	
Alternative 3	ROM Cost	Risk
Build the system using current staff	\$560,000 - \$1,120,000	<i>Impact to existing workloads</i>

**Conclusions:**

1	This proposed IT project supports the California IT Strategic Plan including: to provide effective and secure IT infrastructure to meet program needs of state agencies; to fulfill technology's potential by providing accessible, reliable, and secure services that meet the needs of California's residents and businesses; enabling greater accountability through enhanced government transparency and accessibility; leveraging the information resources to facilitate informed policy-making and enhance the performance and productivity of state programs and services; and advancing communication and partnerships between the Department and health facilities to deliver innovative and effective government services.
2	
3	
4	

# CA - PMM

**Project Name:** Electronic Distribution of SOD and Receiving of POC (e-2567)  
**OCIO Project #:** \_\_\_\_\_  
**Department:** California Department of Public Health (CDPH)  
**Revision Date:** 9/13/10

## Concept Statement

**Recommendation:**

Alternative 1-Implementing an automated system will replace the manual process and save time. In addition, the proposed alternative will support CDPH 2008-2010 Strategic Plan Goals, CA IT Strategic Plan Concepts and Strategies, and aligns with the CDPH AIMS.

**Project Approach (if known)**

<b>System Complexity:</b>		System Business Hours: (e.g., 24x7, 9am-5pm) :	
Architecture	<input type="checkbox"/> Mainframe <input type="checkbox"/> Client Server <input checked="" type="checkbox"/> Web Based	Num. of New Databases:	
Technology	<input type="checkbox"/> New <input type="checkbox"/> New to Staff <input type="checkbox"/> In-House Experience	Interfaces:	Internal
Implementation	<input checked="" type="checkbox"/> Central Site <input type="checkbox"/> Phased Roll-out	Num. of Sites:	
M & O Support	<input type="checkbox"/> Contractor <input type="checkbox"/> Data Center <input type="checkbox"/> Project <input checked="" type="checkbox"/> In House		
Procurement Approach: L&C will leverage the Department of General Services' existing California Multiple Award Schedule (CMAS) qualified vendor for the design, development and implementation of this secure internet system.			Number of Procurements:
Open Procurement?	Delegated Procurement?		
Scope of Contract	<input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Implementation <input type="checkbox"/> M & O <input type="checkbox"/> Other:		
Anticipated Length of Contract:	2.5	Years /	extensions for _____ years