



California Department of Social Services

**California Work Opportunity and
Responsibility to Kids Program**

**Feasibility Study Report
for the
CalWORKs Business Analytics and
Reporting System**

**August 29, 2008
November 19, 2008**

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Executive Summary

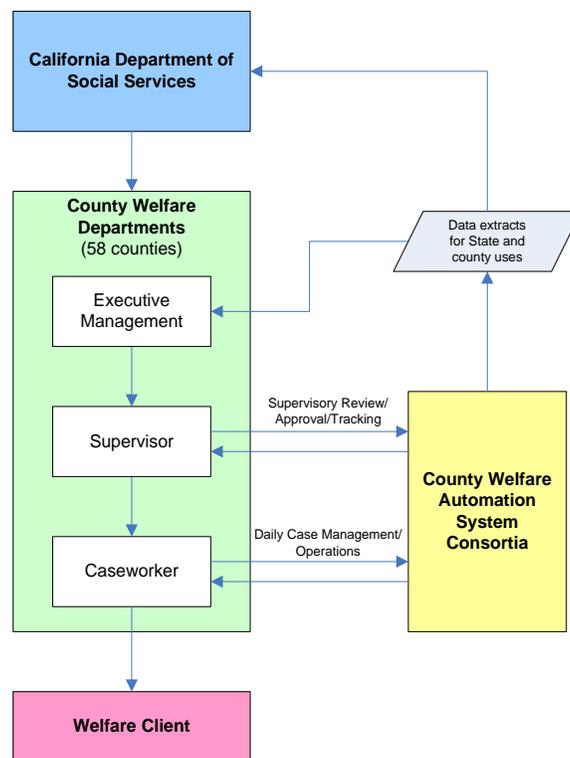
Overview

The California Work Opportunity and Responsibility to Kids (CalWORKs) program, the California implementation of the federal Temporary Assistance for Needy Families Program (TANF) program, is the state's largest cash assistance program for children and families. It provides financial help for basic needs (shelter, food, and clothing) to families who are unable to meet those needs on their own. The TANF/CalWORKs program was established based on principles that place high value on recipients obtaining work. The program holds parents responsible for their children and has a "work-first" approach to assist families in obtaining employment and achieving economic self-sufficiency.

The TANF/CalWORKs program is operated in all 58 counties in the state and is operated locally by each county welfare department or its contractors. County caseworkers record TANF/CalWORKs welfare case management data into the Statewide Automated Welfare System (SAWS), which really consists of four separate and distinct automated public assistance systems.¹ These systems, operating under a multiple-county consortium platform (with the exception of Los Angeles County) are the foundation of California's strategy for achieving statewide welfare automation.

The relationships between the state, the county welfare departments, the welfare clients, and the county welfare automation consortia are shown in Exhibit E.1 below.

Exhibit E.1: Overview of TANF/CalWORKs Relationships



¹ The ISAWS consortium system will be retired after its 35 counties migrate to the Consortium-IV system in 2010.

County caseworkers work directly with the welfare clients. Caseworkers enter case information into the consortia systems. County supervisors review, approve, and track the caseloads of their respective caseworkers using the consortia systems. The state and county executive management use data extracts from the consortia systems for planning, budgeting, and evaluating the program and making course corrections.

Despite the fact that the four consortia systems are part of the Statewide Automated Welfare System, there is no statewide view of the data that they contain. CDSS relies on the consortia or individual counties to provide data, which must then be aggregated to obtain a statewide view of the TANF/CalWORKs program's performance.

Business Problems

Changes to the TANF/CalWORKs program and its environment have contributed to the problems experienced by CDSS and the counties. In brief, the conditions creating the problems are:

- 1 There is concern that the population served by the program may have multiple and greater barriers to self-sufficiency than in prior years;
- 2 Changes to the federal TANF program are significantly more challenging for the state and counties to achieve and carry significantly greater risk and probability of financial penalties;
- 3 There are increased statewide data reporting responsibilities to the federal government, Legislature, counties, and other program stakeholders.

At the same time, the data available to the state and counties to overcome these challenges has the following characteristics:

- Data is stored in separate data silos that have different data architectures;
- Most program data is available only in the aggregate, limiting its usefulness for detailed analysis of program success factors;
- Detailed data is available only for specific samples of the TANF/CalWORKs population, which are not valid for broad uses;
- Data is not available in a timely manner, since existing state systems provide data 90 or more days after the period for which it was collected;
- Data is extrapolated from a variety of sources, some related directly to the CalWORKs program and some other sources, to try to compensate for the above limitations.

The resulting patchwork of data is not sufficient to meet the needs of CDSS, the Legislature, the counties, or any of the CalWORKs program's stakeholders. The problems that result from these conditions are described below.

Problem 1: The state may be penalized up to \$150 million in the first year for not meeting its federal Work Participation Rate target. In January of 2008, California's WPR was projected to be approximately 21.19 percent for all families and approximately 35 percent for two-parent families, representing a considerable shortfall from the federal requirement of 50 percent for all families and 90 percent for two-parent families. For the calendar year 2007 this could represent a penalty of

\$150 million. This penalty grows by two percent each year for each year that it is not met, up to 21 percent of the TANF block grant.

Problem 2: The state may be required to provide an additional \$180 million per year in Maintenance of Effort matching funds for not meeting its federal WPR target. As California will not meet the federally mandated WPR, it must increase its Maintenance of Effort matching funding from 75 to 80 percent of the state's 1994 base year expenditures, amounting to an increased cost to the state of \$180 million.²

The state is hindered in its ability to make program adjustments during the year that would enable it to address WPR requirements because it does not have adequately detailed data to assess state or county WPR on an interim basis. Simply having better CalWORKs program data does not ensure that the state and counties will avoid penalties and increased Maintenance of Effort costs. However, more timely, complete, reliable, and detailed data will provide both the counties and the state with better information on how to best use their resources to assist hard to help families. It will also assist the state in better tracking program success and budgeting for future program enhancements.

Problem 3: The state does not know if clients are meeting their participation requirements. Client participation is a key indicator of the state's ability to meet the WPR. Currently, neither the state nor the counties has statistically valid participation data during the year that can be used to determine if the participation requirements are being met or if participation is having an impact on the overall effort to achieve the state's WPR.

Problem 4: The state does not have adequate information for budgeting, managing, and evaluating policy and program decisions. Historically, the state and counties have developed new policies and procedures, developed budget estimates, monitored their implementation, and evaluated their overall effectiveness. The patchwork of data currently available is not sufficient to perform these functions to the level desired by the state, counties, Legislature, and other program stakeholders. Because the data used to perform these functions is only available piecemeal, the state is unable to measure program outcomes or evaluate overall program effectiveness in a timely or meaningful manner that would allow the state to make mid-course corrections or provide technical assistance to counties to help them meet the WPR. Therefore, there are likely many clients who could achieve self-sufficiency if the state and counties had the data necessary to make the program as efficient and effective as possible.

Problem 5: CDSS does not have necessary information for meeting the needs of the Legislature, the LAO, and other external stakeholders. CDSS must answer a variety of questions from all TANF/CalWORKs stakeholders—including the Legislature, the Legislative Analyst's Office, the press, other state or local agencies, and the public at large—who expect to be able to hold CDSS and the counties accountable for the answers they provide. CDSS and the counties work very hard to gather the relevant information and provide answers in a timely manner; but, because there is no single repository of detailed CalWORKs data over time, CDSS

² California Department of Social Services, *Report to the Legislature: CalWORKs Options for Increasing Work Participation*, January 2008, page 5.

cannot provide definitive answers and must generally offer its answers with significant caveats.

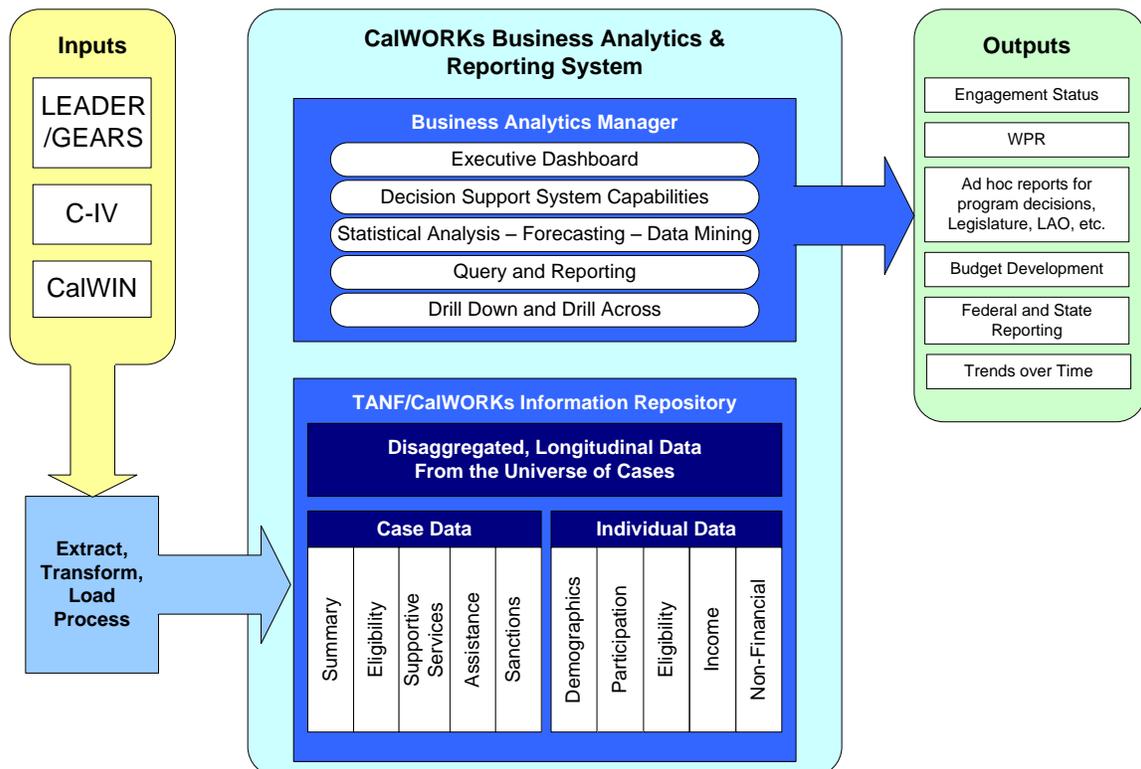
Alternatives Analysis and Proposed Solution

CDSS analyzed the most viable alternatives in order to select the best alternative for the state and counties to meet their requirements and objectives. The alternatives that were analyzed were:

1. Implement COTS Business Analytics and Reporting System
2. Custom Develop a Reporting System
3. Expand Existing RADEP System
4. Expand Existing E2Lite System
5. Expand Existing WDTIP System
6. Expand Use of Data Analysis and Reporting Service Contracts

After each alternative was analyzed, Option 1, the implementation of COTS business analytics and reporting (BAR) software, was selected as the best alternative from a quantitative and qualitative perspective. The solution will require the procurement of commercial off-the-shelf software products, system integration services, training, and hardware that best meet the business objectives and the functional and technical requirements presented in this document. Over the long term this scalable, flexible solution will be expanded to meet the needs of other CDSS programs, the county welfare departments, and other Health and Human Services Agency programs.

Exhibit E.2: Solution Conceptual Architecture



Some of the key features of the proposed CBARS solution are:

- The solution will provide statewide and county-by-county views of TANF/CaWORKs case and individual data.
- Users can drill down for detailed data, or drill across to view the same data details for multiple counties, or clients.
- The solution will store point-in-time data, as well as data-over-time (longitudinal) data.
- Users can perform statistical analysis, trending and forecasting.
- Data will be consolidated from primary source systems, rather than intermediary systems, so the data is as reliable, accurate, and as timely as possible.
- Executive management will be able to view key indicators on a “dashboard” and quickly and efficiently drill down into detailed information.
- Web-based architecture promotes a cost effective support and maintenance environment by eliminating the need to maintain thick client applications that are loaded on CDSS desktop computers.
- Flexible architecture can support additional data sources and can be scaled up to support child well being and poverty, which are mandated under AB 1808, as well as additional CDSS programs (Food Stamps, Child Welfare Services, etc.), HHS Agency programs, and county welfare departments as new business needs are identified.

The major milestones of the CBARS project are:

- Funds available for project in September 2009
- Requirements completed March 2010
- Release Request for Proposal in July 2010
- Award contract for a system integration and software product in February 2011
- Go live with TANF/CaWORKs data from first consortium in August 2011
- Go live with data from last consortium in February 2012.³

After the CBARS project has been completed, a separate project to address the data needs of the county welfare departments will be initiated, with the intention that it leverage the CBARS system architecture.

Partnership with OSI and OCIO

CDSS has partnered with the Health and Human Services Agency’s Office of Systems Integration (OSI) to successfully deliver this project. OSI provides information technology project management services to its clients in the Health and Human Services Agency (HHS). The highly relevant experience of its managers and staff make it an obvious choice to manage this critical information technology project for CDSS. Over the course of more than 12 years, OSI has identified and improved upon effective project management standards, processes and tools. These best practices are derived from a

³ Assumes that the migration of the 35 ISAWS counties to the Consortium-IV System will be completed in 2010.

broad range of sources including HHS experience, consultant staff expertise, and recognized industry standards such as those developed by the Institute of Electrical and Electronic Engineers (IEEE) and the Project Management Institute (PMI).

OSI will provide the staff to fulfill the Project Director role, as well as all technical roles. CDSS will provide overall project sponsorship, program and business expertise, project oversight, and project funding.

In addition, CDSS and OSI have jointly requested the involvement of the Office of the State Chief Information Officer in this critical project. The role of the OCIO will be to advise the Executive Steering Committee throughout the project to ensure that the proposed solution successfully provides the architectural foundation for shared services to other CDSS programs, HHS Agency programs, and other stakeholders. The OCIO will also provide guidance to the Executive Steering Committee to ensure that the proposed solution adheres to the goals, objectives, and strategies of the State's IT Strategic Plan.

Costs and Benefits

The estimated total one-time cost for procurement, development, and implementation of the proposed solution is approximately \$12.3 million over three years. The annual continuing maintenance cost of the new system is estimated to be approximately \$1.1 million and will begin in FY 2011-2012.

Benefits accruing to CDSS, the county welfare departments, and other stakeholders from implementing the CBARS solution include:

- Quick and easy access to TANF/CalWORKs aggregated and disaggregated data, including case specific and/or client specific details over time.
- The ability to accurately assess the counties' performance in meeting the TANF work participation rates in time to make proactive decisions about the direction of the state's program or to provide technical assistance to counties that are at-risk of not meeting their WPR.
- Enabling CDSS to provide timely technical assistance to those counties which are facing challenges in keeping clients engaged in allowable WTW activities or in meeting their WPR.
- Mitigating the risk of missing WPR targets and incurring federal penalties and cost increases.
- Evaluating program effectiveness and making mid-course corrections to CalWORKs program and/or policies and procedures, thereby assisting many more TANF/CalWORKs clients in achieving self-sufficiency.
- Collecting and publishing data as required in AB 1808 for the CalWORKs Data Master Plan.
- Improving the ability to estimate the CalWORKs budget and the fiscal impacts of new proposals using universal data rather than piecemeal data obtained from various sources.

- Responding more effectively and timely to inquiries from the Legislature, the Legislative Analyst’s Office, Department of Finance, Health and Human Services Agency, the federal government, and a host of other interested stakeholders.
- Replace county-prepared monthly data reports (WTW 25/25A) with a central reporting system.

1 Executive Project Approval Transmittal

Information Technology Project Request Feasibility Study Report Executive Approval Transmittal		
Department Name		
Department of Social Services		
Project Title (maximum of 75 characters)		
CalWORKs Business Analytics and Reporting System		
Project Acronym	Department Priority	Agency Priority
CBARS		
APPROVAL SIGNATURES		
<p>I am submitting the attached Feasibility Study Report (FSR) in support of our request for the Department of Finance's approval to undertake this project.</p> <p>I certify that the FSR was prepared in accordance with State Administrative Manual Sections 4920-4930.1 and that the proposed project is consistent with our information technology strategy as expressed in our current Agency Information Management Strategy (AIMS).</p> <p>I have reviewed and agree with the information in the attached Feasibility Study Report.</p>		
Chief Information Officer		Date Signed
Printed name:	Karen Ruiz	
Budget Officer		Date Signed
Printed name:	Fran Mueller	
Department Director		Date Signed
Printed name:	John Wagner	
Agency Secretary		Date Signed
Printed name:	Kimberly Belshé	

2 Information Technology Project Summary Package

Summary information about the proposed project is provided on the following pages.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION A: EXECUTIVE SUMMARY

1.	Submittal Date	October 24, 2008
----	-----------------------	------------------

2.	Type of Document	FSR	SPR	PSP Only	Other:
		X			
	Project Number				

3.	Project Title	CalWORKs Business Analytics and Reporting System	Estimated Project Dates	
			Start	End
	Project Acronym	CBARS	9/2009	6/2012

4.	Submitting Department	Department of Social Services
5.	Reporting Agency	Health and Human Services Agency

6.	Project Objectives	
	<p>The Project Objectives are described below. Each objective relates to a business problem described in Section 3.2.</p> <ul style="list-style-type: none"> • Obtain timely, accurate WPR data for mid-course corrections and feedback <ul style="list-style-type: none"> – Obtain actual hours of work participation by time period for each work activity for each work-eligible individual from all counties once every week. • Obtain detailed data across all TANF/CalWORKs clients statewide that is necessary to calculate the Federal and county WPR on a monthly/quarterly basis • Enable CDSS and counties to evaluate client behaviors and identify trends using longitudinal data • Enable CDSS and counties to monitor progress toward increasing work participation • Provide access to timely, complete, and reliable engagement data • Provide access to detailed statewide CalWORKs data needed to show/measure clients moving toward self-sufficiency • Establish method and tools for capturing and reporting on longitudinal work participation in the short term, child well-being and poverty data in the long term 	<ul style="list-style-type: none"> • Provide quality, current CalWORKs case and client information, in a timely manner, for decision making, budgeting, ad hoc reporting and performance evaluation • Enhance decision making based on real (versus extrapolated) client data and the unique demographic and socioeconomic characteristics of California • Provide access to statewide detailed, disaggregated longitudinal data for TANF/CalWORKs clients in a timely manner • Provide access to timely, complete, reliable, and detailed CalWORKs data • Reduce reliance on RADEP and E2Lite sample data for responding to external requests • Reduce labor intensive data reconciliation • Reduce reliance on existing methods of doing ad hoc requests for consortia systems to obtain data needed for responding to external stakeholders, legislature and LAO

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION A: EXECUTIVE SUMMARY

Project #	
Doc. Type	FSR

7.	Proposed Solution
<p>The proposed solution is the implementation of a business analytics and reporting (BAR) system that will provide CDSS with timely and user-friendly access to information about the TANF/CalWORKs program's business metrics (e.g., WPR), county progress and potential problem areas, and provide the ability to share more timely, complete, and reliable data with stakeholders. This solution, the CalWORKs Business Analytics and Reporting System (CBARS), will leverage proven technology to use the extensive welfare case and individual data currently stored in the county consortia systems. The solution will require the procurement of commercial off-the-shelf software products, system integration services, training, and hardware that best meet the business objectives and the functional and technical requirements presented in this document.</p> <p>Some of the key features of the proposed CBARS solution are:</p> <ul style="list-style-type: none">• The solution will provide statewide and county-by-county views of CalWORKs case and individual data.• Users can drill down for detailed data, or drill across to view the same data details for multiple counties, or clients.• The solution will store point-in-time data, as well as data-over-time (longitudinal) data.• Users can perform statistical analysis, trending and forecasting.• Data will be consolidated from primary source systems, rather than intermediary systems, so the data is as reliable, accurate, and timely as possible.• Executive management will be able to view key indicators on a "dashboard" and quickly and efficiently drill down into detailed information.• Web-based architecture promotes a cost effective support and maintenance environment by eliminating the need to maintain thick client applications that are loaded on CDSS desktop computers.• Flexible architecture can support additional data sources and can be scaled up to support child well being and poverty, which are mandated under AB 1808, as well as additional CDSS programs (Food Stamps, Child Welfare Services, etc.), HHS Agency programs, and county welfare departments as new business needs are identified.	

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION A: EXECUTIVE SUMMARY

Project #	
Doc. Type	FSR

8.	Major Milestones	Est Complete Date
	Define Data and Interface Requirements	3/25/2010
	Release Request for Proposal	7/9/2010
	Award Contract to Prime Vendor	2/28/2011
	Design, Install, & Config. Infrastructure	4/29/2011
	Design, Dev., & Impl. – Consortium A	8/31/2011
	Design, Dev., & Impl. – Consortium B	11/30/2011
	Design, Dev., & Impl. – Consortium C	2/29/2012
	Transition Support	5/30/2012
	PIER	6/29/2012
	Key Deliverables	
	Data and Interface Requirements	3/25/2010
	Request for Proposal	7/9/2010
	Contract	2/28/2011
	Technical Architecture Design	3/14/2011
	Configured Dev./Test Environment	4/28/2011
	Production Support Process Document	4/28/2011
	Consortium A – Build	6/16/2011
	Consortium B – Build	9/30/2011
	Consortium C – Build	12/31/2011

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION B: PROJECT CONTACTS**

Project #	
Doc. Type	FSR

Executive Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Agency Secretary	Kimberly	Belshé	916	654-3454		916	654-3343	kbelshe@chhs.ca.gov
Dept. Director	John	Wagner	916	657-2598		916	654-6012	john.wagner@dss.ca.gov
Budget Officer	Fran	Mueller	916	657-3439		916	654-6012	fran.mueller@dss.ca.gov
CIO	Karen	Ruiz	916	654-1039		916	654-6012	karen.ruiz@dss.ca.gov
Proj. Sponsor	Charr Lee	Metsker	916	657-3546		916	654-6012	charrlee.metsker@dss.ca.gov

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Doc. prepared by	Debbie	Rose	916	657-3451		916	657-2207	debbie.rose@dss.ca.gov
Primary contact	Debbie	Rose	916	657-3451		916	657-2207	debbie.rose@dss.ca.gov
Project Manager	Debbie	Rose	916	657-3451		916	657-2207	debbie.rose@dss.ca.gov

INFORMATION TECHNOLOGY PROJECT SUMMARY
SECTION C: PROJECT RELEVANCE TO STATE AND/OR DEPARTMENTAL PLANS

1.	What is the date of your current Operational Recovery Plan (ORP)?	Date	2/2007
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	8/2007 (8/2008 draft is pending)
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	AIMS
		Page #	52

Project #	
Doc. Type	FSR

4.	Is the project reportable to control agencies?	Yes	No
		X	
	If YES, CHECK all that apply:		
X	The project involves a budget action.		
	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	The estimated total development and acquisition cost exceeds the departmental cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM 4989 – 4989.3).		
	The project meets a condition previously imposed by Finance.		

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION D: BUDGET INFORMATION

Project #	
Doc. Type	FSR

Budget Augmentation Required?											
No											
Yes		X	If YES, indicate fiscal year(s) and associated amount:								
FY			2009/10	FY	2010/11	FY	2011/12	FY	2012/13	FY	
			\$ 1,809,548		\$ 4,189,995		\$ 6,256,394		\$ 1,123,688		\$

PROJECT COSTS

1.	Fiscal Year	2009/10	2010/11	2011/12	2012/13		TOTAL
2.	One-Time Cost	\$ 1,819,638	\$ 4,227,837	\$ 6,241,594			\$ 12,289,069
3.	Continuing Costs			\$ 93,641	\$ 1,123,688		\$ 1,217,329
4.	TOTAL PROJECT BUDGET	\$ 1,819,638	\$ 4,227,837	\$ 6,335,235	\$ 1,123,688	\$	\$ 13,506,398

SOURCES OF FUNDING

5.	General Fund						\$
6.	Redirection	\$ 10,090	\$ 37,842	\$ 78,841			\$ 126,773
7.	Reimbursements						\$
8.	Federal Funds	\$ 1,809,548	\$ 4,189,995	\$ 6,256,394	\$ 1,123,688		\$ 13,379,625
9.	Special Funds						\$
10.	Grant Funds						\$
11.	Other Funds						\$
12.	PROJECT BUDGET	\$ 1,819,638	\$ 4,227,837	\$ 6,335,235	\$ 1,123,688	\$	\$ 13,506,398

PROJECT FINANCIAL BENEFITS

13.	Cost Savings/Avoidances	\$	\$	\$	\$	\$	\$
14.	Revenue Increase	\$	\$	\$	\$	\$	\$

Note: The totals in Item 4 and Item 12 must have the same cost estimate.

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION E: VENDOR PROJECT BUDGET**

Vendor Cost for FSR Development (if applicable)	\$190,000.00
Vendor Name	Cambria Solutions, Inc.

Project #	
Doc. Type	FSR

VENDOR PROJECT BUDGET

1.	Fiscal Year	2009/10	2010/11	2011/12			TOTAL
2.	Primary Vendor Budget	-	\$ 1,547,000	\$ 3,183,250			\$ 4,730,250
3.	Independent Oversight Budget	-	-	-			-
4.	IV&V Budget	-	-	-			-
5.	Acquisition Support Budget	165,278	132,222	-			\$ 297,500
6.				-			-
7.	TOTAL VENDOR BUDGET	\$ 165,278	\$ 1,679,222	\$ 3,183,250	\$	\$	\$ 5,027,750

------(Applies to SPR only)-----

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

8.	Primary Vendor	
9.	Contract Start Date	
10.	Contract End Date (projected)	
11.	Amount	\$

PRIMARY VENDOR CONTACTS

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
12.									
13.									
14.									

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION F: RISK ASSESSMENT INFORMATION**

Project #	
Doc. Type	FSR

RISK ASSESSMENT

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

General Comment(s)
<p>Given the scope, activities and resources required to plan for, procure, design and implement this project, CDSS has developed a Risk Management Plan that adheres to its Information Technology risk management standards while factoring in the risks specific to this effort. The resulting methodology for the Risk Management Plan is consistent with the State of California's Project Management Methodology, the Department of Finance's Information Technology Project Oversight Framework, and OSI's Information Technology Project Management Methodology and Standards.</p> <ul style="list-style-type: none"> • Approval risk is high because the solution requires significant financial commitment, yet does not provide a direct financial payoff during the economic analysis period. • Budget risk is high because the necessary funds may not be available during the planned fiscal years. • Project management risk is medium due to staffing and schedule risks that should be monitored to ensure the project remains on schedule and on budget, and be supported effectively by CDSS resources. Project management risk is somewhat higher than on other BAR projects due to the need to coordinate resources and schedules with non-state participants (county welfare departments and consortia systems). • Technology risk is high due to the need to procure a solution with components that are compatible with each other and meet the long term technology needs of the CalWORKs program. • User change management risk is low due to providing users a new data analysis tool. Users are anxious for the new data and tools, which is likely to reduce the risk. Key stakeholders will be incorporated into all phases of project implementation in order to facilitate change management processes. • Contract management risk is low due to following DGS and OSI procurement guidelines. <p>Preventive measures will be taken in each of the risk areas to mitigate the chances of risk occurrence. These measures are identified in the risk management worksheet contained in Section 7 of this FSR. As new risks are identified throughout the project life cycle, appropriate preventive measures will be developed.</p>

3 Business Case

The purpose of this section is to provide a clear understanding of the business purpose of the Temporary Assistance for Needy Families (TANF) and California Work Opportunity and Responsibility to Kids (CalWORKs) programs and of the business problems faced by the state and county agencies responsible for delivering them. This section:

- Provides a high-level overview of the TANF/CalWORKs programs
- Describes the organizations responsible for administering and delivering those programs
- Describes the conditions that have created the need for action
- Articulates the business problems
- Identifies the desired objectives of the proposed solution.

This section also identifies the high-level requirements that the proposed solution must fulfill in order to meet the business and functional needs of the California Department of Social Services and County Welfare Departments.

This business case comprises the following sub-sections:

Exhibit 3.1: Business Case Sub-Sections

3.1 Business Program Background
3.1.1 Temporary Assistance for Needy Families Program
3.1.2 California Work Opportunity and Responsibility to Kids Program
3.1.3 Organizations Responsible for Delivering TANF/CalWORKs
3.1.4 Clients of the TANF/CalWORKs Program
3.1.5 Overview of the TANF/CalWORKs Process
3.1.6 Users of TANF/CalWORKs Data
3.1.7 Conditions Creating the Problem
3.2 Business Problems
3.2.1 Meeting Federal TANF Requirements
3.2.2 Meeting CalWORKs Participation Requirements
3.2.3 Information for Decision-Making
3.3 Business Objectives
3.4 Business Functional Requirements

Business Program Background

Temporary Assistance for Needy Families Program

The Temporary Assistance for Needy Families Program (TANF) provides assistance and work opportunities to needy families by granting states the federal funds and wide flexibility to develop and implement their own welfare programs. TANF is a block grant program to help move recipients into work and turn welfare into a program of temporary assistance.

Under the welfare reform legislation of 1996, TANF replaced the old welfare programs known as Aid to Families with Dependent Children (AFDC), the Job Opportunities and Basic Skills Training (JOBS) program and the Emergency Assistance (EA) program. The law ended federal entitlement to assistance and instead created TANF as a block grant that provides states and tribes federal funds each year. These funds cover benefits, administrative expenses, and services targeted to needy families.

The major goals of the TANF program are:

- Assisting needy families so that children can be cared for in their own homes
- Reducing the dependency of needy parents by promoting job preparation, work and marriage
- Preventing and reducing out-of-wedlock pregnancies
- Encouraging the formation and maintenance of two-parent families.

Work Requirements

TANF requires grant recipients (called “clients” by the state) to work as soon as they are job ready or no later than two years after coming on assistance. The TANF work requirement calls for single parents to participate in work activities for at least 30 hours per week and two-parent families to participate in work activities 35 or 55 hours a week, depending upon circumstances. Failure to participate in work requirements for the required number of hours can result in a reduction or termination of benefits to the family.

The Work Participation Rate (WPR) is the primary indicator used by the federal government to gauge the success of states’ TANF programs.⁴ States must ensure that 50 percent of all families and 90 percent of two-parent families are fully participating in work activities. If a state reduces its caseload, without restricting eligibility, it can receive a caseload reduction credit. This credit reduces the minimum participation rates the state must achieve.

Federally authorized “work activities” include actual employment as well as job preparation. Work activities that count toward a state’s work participation rates are:

- Unsubsidized or subsidized employment
- On-the-job training
- Work experience
- Community service

⁴ California Department of Social Services, *Report to the Legislature: CalWORKs Options for Increasing Work Participation*, January 2008, page 5.

- Job search and job readiness activities – not to exceed six cumulative weeks and no more than four consecutive weeks in a 12-month period
- Vocational training – not to exceed 12 months
- Job skills training related to work
- Satisfactory secondary school attendance
- Providing child care services to individuals who are participating in community service.

Five-Year Time Limit

As described in the program's name, TANF provides *temporary* assistance, and has a five-year time limit. Families with an adult who has received federally funded assistance for a total of five years (or less at state option) are not eligible for cash aid under the TANF program. States may extend assistance beyond five years to not more than 20 percent of their caseload. They may also elect to provide assistance to families beyond five years using state-only funds or Social Services Block Grants.

Maintenance of Effort Cost-Sharing

The TANF block grant has an annual cost-sharing requirement for states, referred to as maintenance of effort or MOE. Every fiscal year each state must spend a certain minimum amount of its own money to help eligible families in ways consistent with the TANF program. The MOE match in funding for the State of California is equal to 80 percent of the state's 1994 base year expenditures, or \$2.9 billion, unless the state meets the 50 percent and 90 percent WPR requirements, in which case the MOE requirement is reduced to 75 percent, or \$2.7 billion.⁵

Federal Penalties

The federal government may assess penalties by reducing a state's block grant if it fails to meet the minimum requirements of the program. States are required to replace the federal penalty reductions with additional state funds to maintain the TANF program at the current level of funding. The federal government may assess penalties if states fail to do any of the following:

- Satisfy work requirements (WPR)
- Comply with the five-year limit on assistance
- Meet the state's contingency fund MOE requirement
- Reduce recipient grants for refusing to participate in work activities without good cause
- Maintain assistance when a single custodial parent with a child under six cannot obtain child care
- Submit required data reports
- Comply with paternity establishment and child support enforcement requirements
- Participate in the Income and Eligibility Verification System
- Repay a federal loan on time
- Establish and maintain work verification procedures

⁵ California Department of Social Services, *Report to the Legislature: CalWORKs Options for Increasing Work Participation*, January 2008, page 5.

- Use funds appropriately
- Replace federal penalty reductions with additional state funds.

Of particular importance is satisfying the work participation requirements. California has historically been successful in meeting the WPR primarily because of the significant caseload decline since FFY 1995.⁶

California Work Opportunity and Responsibility to Kids Program

The State of California implements the federal TANF program through the California Work Opportunity and Responsibility to Kids (CalWORKs) program. CalWORKs is the state's largest cash assistance program for children and families. It provides financial help for basic needs (shelter, food, and clothing) to families who are unable to meet those needs on their own. The CalWORKs program was established based on principles that place high value on recipients obtaining work. The program holds parents responsible for their children and has a "work-first" approach to assist families in obtaining employment and achieving economic self-sufficiency.

Just as California must meet federal work participation requirements, state law requires work eligible individuals on aid to meet individual participation requirements or face sanctions for noncompliance. The individual requirements differ somewhat from the federal participation standards in terms of both the number of hours required as well as which welfare-to-work activities qualify as participation. For example, although the CalWORKs hourly participation requirement is greater than the federal standard for single-parent families, the number of activities that count towards the CalWORKs requirement is also greater, making it somewhat easier to meet the CalWORKs requirement.⁷ In addition, two-parent families are required to meet a 35-hour participation level when child care is paid with state funds, rather than the 55-hour TANF requirement when federal funds are used for child care. CalWORKs also seeks to increase *engagement* with activities such as job counseling and training that lead to work participation.

The CalWORKs program requires work eligible recipients to work or engage in some type of work-related education or training activity in exchange for cash assistance. Ensuring that CalWORKs recipients are actually participating in welfare-to-work activities is important for three primary reasons.

- First, participation data can give CDSS, Department of Finance, Legislature, Legislative Analyst's Office, county welfare departments, and other stakeholders a sense of how effectively counties have implemented the CalWORKs program and, more specifically, are enforcing the work-first approach envisioned in the CalWORKs statute.
- Second, because CalWORKs was designed as a temporary program, ensuring that recipients receive the employment services and work experience they need

⁶ California Department of Social Services, *Report to the Legislature: CalWORKs Data Master Plan*, April 2007, page 4.

⁷ Legislative Analyst's Office, "Welfare to Work Participation in the CalWORKs Program," *The 2002-03 Budget: Perspectives and Issues*, February 2002, page 138.

before they reach their five-year lifetime limit on aid may be critical to their reaching self-sufficiency.

- Finally, in order to avoid federal penalties and to maintain maximum General Fund spending flexibility, California must ensure that it meets the federal participation requirements.⁸

The federal TANF legislation gave states wide latitude in designing their TANF programs. Similarly, the state's CalWORKs legislation gives much of the responsibility for implementing and operating CalWORKs to each of the state's 58 counties. Although the state has set parameters that require that all county CalWORKs annual welfare-to-work plans be sent to the state for approval, the state has given counties extensive flexibility in the delivery of services and administration.

In addition to providing this program flexibility to the counties, the recent legislation also enacted financial incentives to the counties to succeed. When funding is appropriated by the Legislature to implement the financial incentives, the Pay for Performance program will become an investment strategy designed to encourage counties to invest resources in work activities to move families toward meaningful and lasting employment, and to assist the state in increasing its federal work participation rate. The established measures that will be used to determine whether or not a county receives an award for Pay for Performance will include the following:

- The employment rate of county CalWORKs cases.
- A modified federal work participation rate of county CalWORKs cases.
- The percentage of county CalWORKs cases that have earned income three months after ceasing to receive assistance.

The recent legislation also enacted a requirement that counties pay 50 percent of any federal penalties assessed against the state for failing to meet federal participation requirements.

Organizations Responsible for Delivering TANF/CalWORKs

The primary organizations responsible for delivering the TANF/CalWORKs program are the:

- California Department of Social Services
- County Welfare Departments
- County Welfare Automation Consortia

These organizations are described in the pages that follow. It is important to note that these organizations are not the only stakeholders in the program. Many other stakeholders, interested in the administration, outcomes, and impact of the TANF/CalWORKs program, are described in Section 3.1.6. Users of TANF/CalWORKs Data.

State of California, Department of Social Services

⁸ Legislative Analyst's Office, "Welfare to Work Participation in the CalWORKs Program," *The 2002-03 Budget: Perspectives and Issues*, February 2002, page 132.

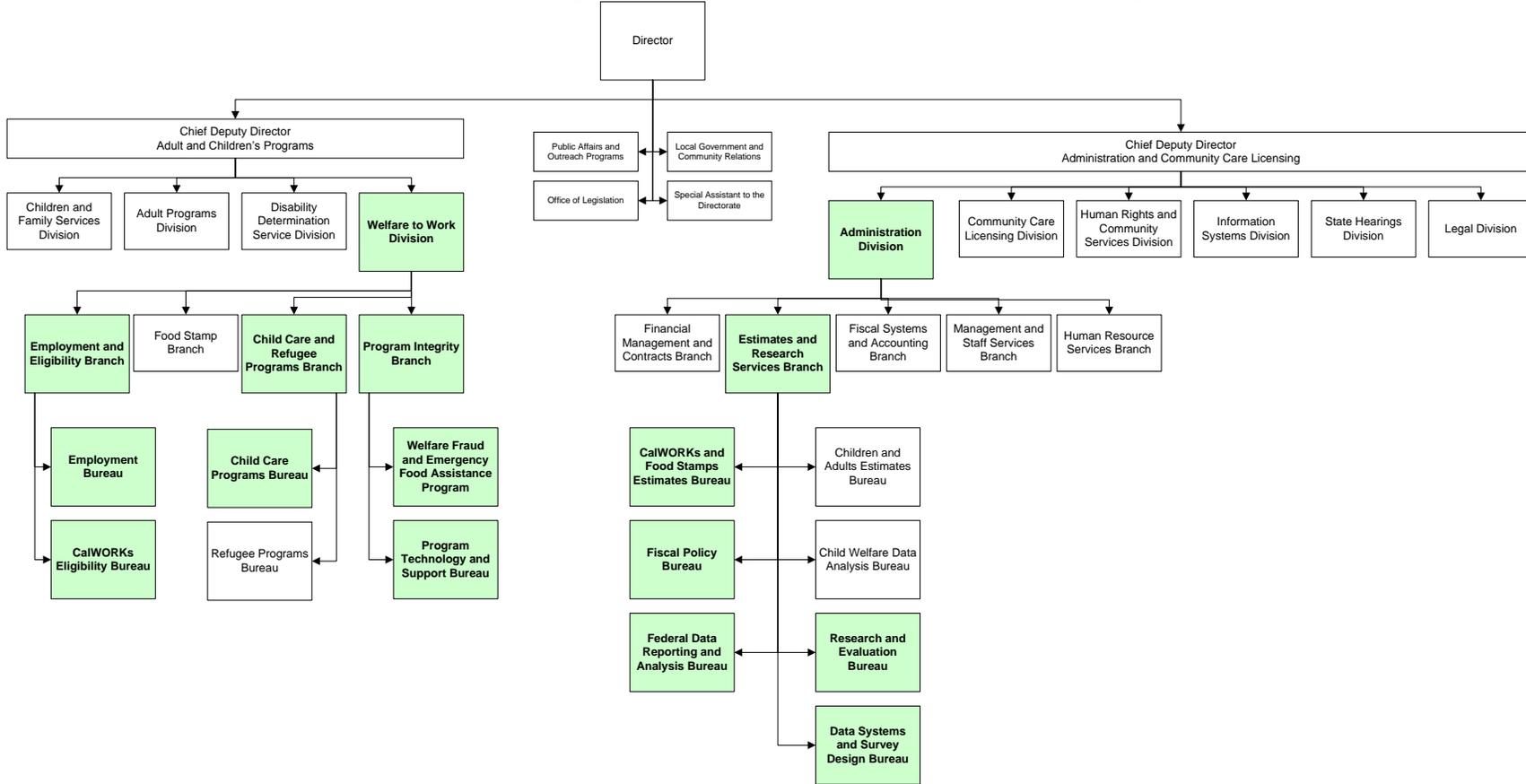
The California Department of Social Services (CDSS) is the state's designated single state agency responsible for administration and oversight of the TANF/CaWORKs program. CDSS's mission "is to serve, aid, and protect needy and vulnerable children and adults in ways that strengthen and preserve families, encourage personal responsibility, and foster independence." CDSS administers the delivery of services for the \$5 billion CaWORKs program with staff in 51 locations throughout the state.

With regard to the TANF/CaWORKs programs, CDSS serves the following functions:

- Developing program policies that promote personal responsibility and self-sufficiency and comply with federal and state requirements
- Budgeting for and managing the program's finances
- Collecting and reporting data to the program's stakeholders, including the federal government
- Providing technical assistance and guidance to counties to assure that county procedures are consistent with federal and state statutes and regulations
- Acting as the sponsor/leader of the collaboration that is required between the many agencies involved in the TANF/CaWORKs programs

Exhibit 3.2 on the following page shows a summary organization chart of the CDSS business units that are involved with administering the TANF/CaWORKs program. Descriptions of these business units' responsibilities begins on page 25.

Exhibit 3.2: CDSS Organizational Structure, TANF/CalWORKs Summary View



CDSS business units involved with administering the TANF/CalWORKs program are shaded green. The chart does *not* show all CDSS business units. Its purpose is to highlight those business units involved with administering the TANF/CalWORKs program. Other stakeholders that are users of CalWORKs program data, including additional CDSS business units, are listed in Section 3.1.6. Users of TANF/CalWORKs Data.

Exhibit 3.3: CDSS Business Units Involved with Delivering TANF/CalWORKs Program

Business Unit	Responsibilities
Welfare to Work Division	The Welfare to Work Division (WTWD) is responsible for administering the Department's welfare programs and a myriad of related support services, including: the CalWORKs Program, the Food Stamp Program, the Emergency Food Assistance Program, Child Care Programs, Teen Programs, and Refugee Programs.
<ul style="list-style-type: none"> • Employment Bureau 	The Bureau is responsible for the development of policies and regulations, analysis of federal and state legislation, negotiation and implementation of the settlement of lawsuits, and the provision of guidance to counties regarding the CalWORKs welfare-to-work programs. The Bureau is responsible for establishing policies regarding CalWORKs fiscal incentives, the collection and review of specified program data, the review of county CalWORKs plans, overseeing the Workforce Investment Act and One-Stop service centers as they apply to CalWORKs and planning the annual CalWORKs Partnerships Summit.
<ul style="list-style-type: none"> • CalWORKs Eligibility Bureau 	The Bureau is responsible for the development of regulations, analysis of federal and state legislation, negotiation and implementation of lawsuits, and the provision of guidance to counties regarding eligibility rules for the CalWORKs program. The Bureau is responsible for reviewing, analyzing, and developing policy initiatives and issues analysis for the CalWORKs program for both state and federal policies. The Bureau also provides program consultation services pertaining to CalWORKs requirements to various entities in and outside of the Department. The Bureau is the departmental liaison with the Tribal TANF programs in the state, is responsible for tracking and responding to audits, and is responsible for the coordination and completion of the State TANF Plan.
<ul style="list-style-type: none"> • Child Care Programs Bureau 	The Bureau is responsible for supervising the local administration of Stage One CalWORKs child care services. These services allow all CalWORKs recipients to participate in work and/or educational activities or maintain employment. Among other responsibilities, the Bureau is responsible for analyzing and recommending positions on federal and state legislation; promulgating regulations for new program services or revised program changes; and coordinating and collaborating with the California Department of Education regarding Stage Two and Stage Three CalWORKs child care services.
<ul style="list-style-type: none"> • Welfare Fraud and Emergency Food Assistance Program 	The Bureau oversees the state's welfare fraud prevention, detection, investigation, and overpayment recovery activities. The Bureau also provides program support for the Statewide Fingerprint Imaging System for CalWORKs and Food Stamps. The Bureau develops and maintains welfare fraud prevention, detection, and deterrent tools and technologies. These tools are used to identify fraudulent documents and false information used to obtain public assistance and food stamp benefits.
<ul style="list-style-type: none"> • Program Technology and Support Bureau 	This Bureau is the key support organization for the Welfare to Work Division's major automation projects that are directly related to the Food Stamp and TANF/CalWORKs programs. As a Department sponsor of the various statewide automation projects, the Bureau is responsible for project oversight and policy development. The Bureau's three units are: <ul style="list-style-type: none"> • Electronic Benefit Transfer (EBT)/Welfare Technology Unit is responsible for developing benefit issuance policies and providing program guidance and support. • Statewide Automated Welfare System (SAWS) Unit coordinates and participates in activities that support the SAWS consortia systems.

Business Unit	Responsibilities
	<ul style="list-style-type: none"> Administrative and Computer Support Services Unit is the Division's liaison to the Information System Division and Administration Division.
Administration Division	<p>The Administration Division provides support services to Department managers and staff in the following areas:</p> <ul style="list-style-type: none"> Budget development Accounting Fiscal policy Program estimates Contracts Training Business services Office services Personnel Labor relations Employee assistance
<ul style="list-style-type: none"> Federal Data Reporting and Analysis Bureau 	<p>The Bureau is responsible for coordinating the acquisition, review, compilation, and transmission of timely and accurate data for the TANF and Food Stamps programs as mandated by Federal regulations. These data are the basis for budgetary projections, assessment of program policies and evaluation of outcomes, as well as for calculation of TANF work participation rates and Food Stamp error rates.</p>
<ul style="list-style-type: none"> Fiscal Policy Bureau 	<p>The Bureau is responsible for the establishment and maintenance of fiscal claiming policies for County Welfare Departments (CWDs) and fiscal support of CDSS programs. The Bureau develops fiscal analyses and recommendations for the development and implementation of new programs; identifies/develops revenue maximization strategies; conducts fiscal monitoring reviews as needed; and provides technical assistance and training to facilitate implementation of the state's fiscal policies at the local level.</p>
<ul style="list-style-type: none"> CalWORKs and Food Stamps Estimates Bureau 	<p>The Bureau provides fiscal analyses and caseload estimates for welfare programs including cash grant payments and administrative costs for the CalWORKs and Food Stamps programs. These estimates are prepared for the subvention process, court cases, and for proposed state and federal legislation. The resulting estimates become an integral part in the development of the Governor's Budget. In addition, the Bureau prepares fiscal impact estimates for administrative and policy changes and for various reports transmitted to the Federal Government.</p>
<ul style="list-style-type: none"> Data Systems and Survey Design Bureau 	<p>The Bureau is responsible for the acquisition, review, compilation, and dissemination of timely and accurate data that provides CDSS with vital information on its programs. These data are the basis for budgetary projections, assessment of program policies and evaluation of outcomes. The data also provides information relative to program trends, issues and emerging needs.</p>
<ul style="list-style-type: none"> Research and Evaluation Bureau 	<p>This Bureau's mission is to foster, oversee and interpret social welfare research and evaluation studies, using population-based observational and survey designs, to inform and support CDSS program and public policy decision making.</p>

County Welfare Departments

While the TANF/CaWORKs program is supervised by the state, it is administered by the state's 58 counties. Counties have flexibility to operate their programs within the policies and regulations set by CDSS. The county agencies responsible for administration of TANF/CaWORKs and other welfare programs are referred to as County Welfare Departments (CWD), although most of them have other legal names.

Generally speaking, the roles in the County fall into the following three areas:

- *Executive Management* – Responsible for overall administration of the TANF/CaWORKs program within the county. Responsible for meeting the county's WPR.
- *Supervisor* – Responsible for managing caseworkers.
- *Caseworker* – Responsible for interaction with welfare clients. Responsible for day-to-day operational activities related to TANF/CaWORKs program.

County Welfare Automation Consortia

The Statewide Automated Welfare System (SAWS) consists of four separate and distinct automated public assistance systems.⁹ These systems, operating under a multiple-county consortium platform (with the exception of Los Angeles County) are the foundation of California's strategy for achieving statewide welfare automation. The county welfare automation consortia are as follows:

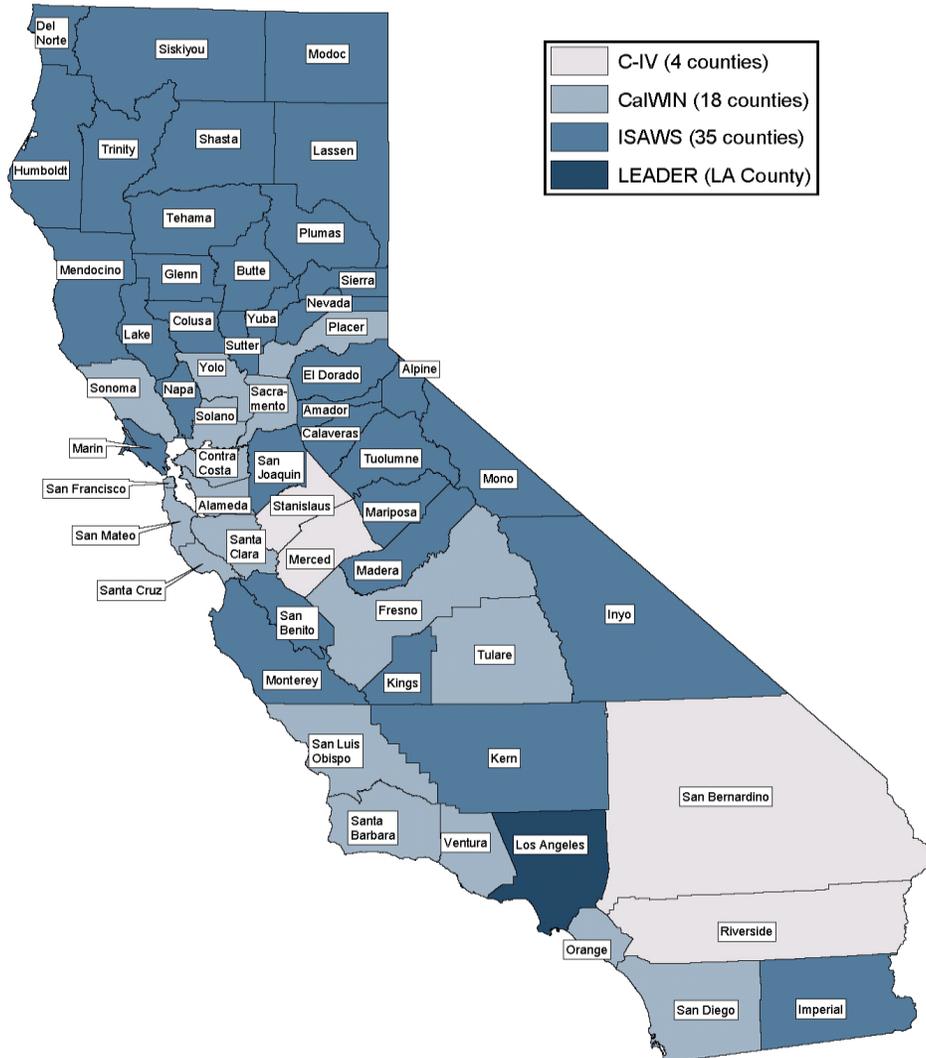
- *CaWORKs Information Network (CALWIN)* consisting of 18 counties representing approximately 39 percent of the caseload.
- *Los Angeles County Automated Determination, Evaluation, and Reporting System (LEADER)* consisting of Los Angeles County representing approximately 31 percent of the state's caseload.
- *Consortium IV (C-IV)* consisting of four counties and representing approximately 15 percent of the caseload.
- *Interim Statewide Automated Welfare System (ISAWS)* consisting of 35 counties and representing approximately 15 percent of the state's caseload. ISAWS counties are being migrated to the C-IV system. The migration is expected to be completed in 2010, at which time the ISAWS system will be decommissioned.

A map showing which counties use which consortia systems is shown in Exhibit 3.4.

While project oversight for the four consortia systems is provided by the California Health and Human Services Agency, Office of Systems Integration, the counties have significant autonomy in the development and maintenance of their systems. Each of the consortia systems must adhere to federal and state laws and regulations, but the methodology used to achieve this compliance is often specific to each consortium, or even to individual counties within a consortium.

⁹ The ISAWS consortium system will be retired after its 35 counties migrate to the Consortium-IV system in 2010.

Exhibit 3.4: County Welfare Automation Consortia, by County



Clients of the TANF/CalWORKs Program

The customers of the TANF/CalWORKs program are the children and families that need temporary cash assistance to meet basic needs and job training and job search assistance for non-exempt adult recipients. The state and counties refer to these children and families as Clients of the program. As of June 2008, there are approximately 460,900 clients (families with adults and children or child-only cases) being served by the TANF/CalWORKs program, including approximately 908,300 children (including child-only cases with no eligible adult).

Overview of the TANF/CalWORKs Process

The TANF/CalWORKs program is operated in all 58 counties in the state and is operated locally by each county welfare department or its contractors. The relationships

between the state, the county welfare departments, the welfare clients, and the county welfare automation consortia are shown in Exhibit 3.5 below.

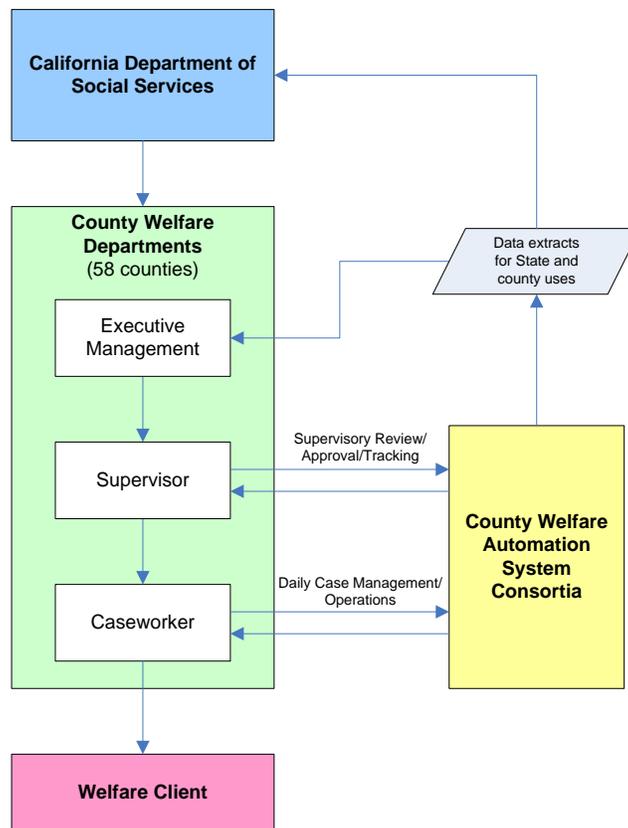
Generally, all TANF/CalWORKs participants receive an orientation to the program and an appraisal of their education and employment background. Initially, most individuals receive job search services (assistance in finding a job). Additional employment-related services are provided based on an individual's education and work history.

Unless exempt, adults authorized to receive CalWORKs are required to participate in Welfare-to-Work (WTW) activities. CalWORKs recipients who are exempt and not required to participate in WTW activities may volunteer to take part in the program.

County caseworkers work directly with the welfare clients. Caseworkers enter case information into the consortia systems. County supervisors review, approve, and track the caseloads of their respective caseworkers using the consortia systems. The state and county executive management use data extracts from the consortia systems for planning, budgeting, and evaluating the program and making course corrections.

Despite the fact that the four consortia systems are part of the Statewide Automated Welfare System, there is no statewide view of the data that they contain. CDSS relies on the consortia or individual counties to provide data, which must then be aggregated to obtain a statewide view of the TANF/CalWORKs program's performance.

Exhibit 3.5: Overview of TANF/CalWORKs Relationships



Users of TANF/CalWORKs Data

Numerous agencies and groups internal and external to CDSS require the information on CalWORKs and/or TANF programs. The stakeholder agencies include:

- US Department of Health and Human Services
- Office of Systems Integration, Health and Human Services Agency (OSI)
- California Health and Human Services Agency
- Department of Health Care Services (DHCS)
- California Department of Finance
- California Legislature
- California Legislative Analyst’s Office
- County Welfare Departments
- County Welfare Directors Association (CWDA)
- Statewide Automated Welfare System (SAWS)
- Work group for the CalWORKs Data Master Plan (counties, advocates, consortia, Legislature staff, CWDA, CDSS)

The groups internal to CDSS that require CalWORKs/TANF data or support others in accessing the data include:

Exhibit 3.6: CDSS Business Units That Use TANF/CalWORKs Data

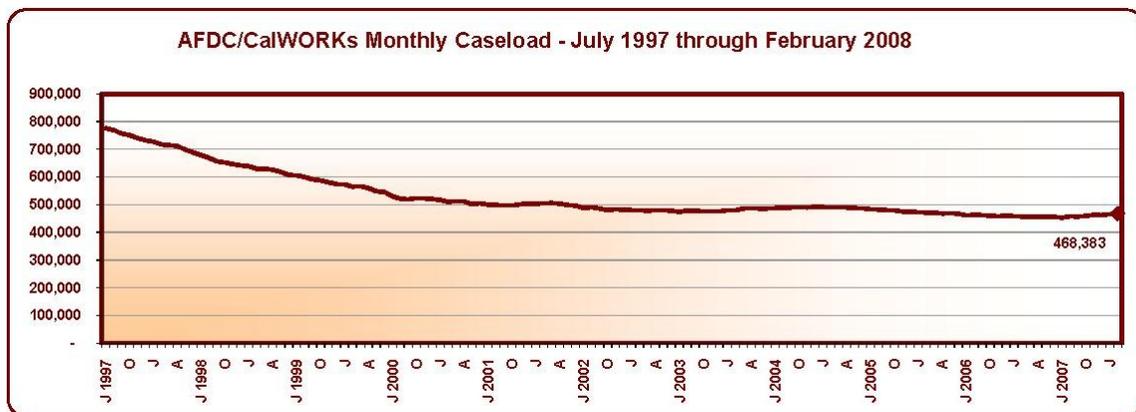
Business Unit	Responsibilities
CDSS Executives	CDSS Executives are ultimately responsible for overall administration of the CalWORKs program, among other CDSS administered programs. CDSS Executives rely upon timely and accurate TANF/CalWORKs data in order to make decisions and respond to legislative and public questions.
Welfare to Work Division	<ul style="list-style-type: none"> • Described in Exhibit 3.3 • Business units within the Welfare to Work Division that use TANF/CalWORKs data include: <ul style="list-style-type: none"> • Employment Bureau • CalWORKs Eligibility Bureau • Program Integrity Branch • Child Care Programs Bureau
Administration Division	<ul style="list-style-type: none"> • Described in Exhibit 3.3 • Business units within the Administration Division that use TANF/CalWORKs data include: <ul style="list-style-type: none"> • Federal Data Reporting and Analysis Bureau • Fiscal Policy Bureau • CalWORKs and Food Stamps Estimates Bureau • Data Systems and Survey Design Bureau • Research and Evaluation Bureau

Business Unit	Responsibilities
Information Systems Division	The Information Systems Division (ISD) develops, implements, and maintains information systems in support of department programs. Within ISD, the Welfare-to-Work Support Bureau has principal responsibility for the automation requirements of welfare-to-work-related bureaus. They work with the bureaus to assess their information technology needs, identify the means to deliver standard information technology services and assume project management responsibility to initiate, monitor, and complete information technology projects. In addition they provide guidance and direction for development, implementation and maintenance of information systems.

Conditions Creating the Problem

California has achieved great success over the years in moving recipients from welfare to work and off the welfare rolls. The assistance caseload is at its lowest point in 26 years. Over the last ten years, the caseload has decreased from nearly 800,000 cases to fewer than 500,000 cases, as shown in the following diagram.

Exhibit 3.7: AFDC*/CalWORKs Monthly Caseload



* Note: The CalWORKs program replaced the welfare program known as Aid to Families with Dependent Children (AFDC) in 1998.

However, the TANF/CalWORKs program does not operate in a vacuum. There have been many changes to the program and its environment since it was initiated in 1998. Several of the more significant conditions that have caused the problems to be addressed by this feasibility study are described below.

TANF Reauthorization

TANF was reauthorized under the Deficit Reduction Act (DRA) of 2005, requiring states to engage more TANF cases in productive work activities leading to self-sufficiency. The DRA strengthens the incentive for states to reduce caseloads, broadens the pool of families subject to the work requirements, and creates a new penalty for failing to comply with work verification procedures. Furthermore, the DRA subjected additional adults to the work participation requirements. For example, previously a sanctioned individual who was in the home and not aided was not counted for the purpose of the work participation rate; and data reporting was limited to characteristics. With DRA, the same

sanctioned individual is counted in the rate. As a consequence, states must report both work participation and characteristics data on these families.

The DRA did not change the original work participation rate, which remained at 50 percent for all families, and 90 percent for two-parent families. However, it did change the base year from which the caseload reduction credit is calculated from 1995 to 2005. As was shown in Exhibit 3.7, caseloads have decreased significantly since 1997, but caseloads have not moved significantly since 2005. Due to the change in the base year from which the caseload reduction credit is calculated, California faces a total potential financial risk of approximately \$330 million for its failure to meet the WPR in FFY 2007. Continued failure to meet federal requirements in subsequent years could result in increased penalties.¹⁰

In response to the DRA the state has undertaken a number of actions to increase participation in Welfare-to-Work activities and to meet federal Work Participation Rates. The state implemented changes to the CalWORKs program that strengthened work requirements and focused counties on engaging recipients in activities sooner (SB 1104 and SB 68). Additional reforms were implemented in 2006 through Assembly Bill (AB) 1808 (Chapter 75, Statutes of 2006) in response to the changes in the federal TANF rules.¹¹

The state passed legislation (Assembly Bill 1808) requiring each county to indicate how it intends to meet program goals and work participation requirements, by amending its CalWORKs plan. This same legislation also strengthens the requirement that counties pay 50 percent of any federal penalties the state might receive for failing to meet federal work participation requirements.

Pool of Clients are More Difficult to Engage in Program Participation.

As noted in the introduction to Exhibit 3.7, California has achieved great success over the years in moving recipients from welfare to work and off the welfare rolls. However, caseloads are no longer declining significantly, and there is a growing concern that those on welfare rolls today may be more difficult to engage in program participation and often face multiple barriers.

Data Master Plan

Accurate, timely and complete data are essential to the operation, oversight and improvement of any program. The state and counties collect extensive data on the TANF/CalWORKs program. The Legislature, however, identified a need for more meaningful program data and a need to share that data with other state and county stakeholders.

Assembly Bill (AB) 1808 was enacted with the purpose of improving the state WPR to comply with the requirements of the federal DRA. The legislation requires CDSS to create a CalWORKs data master plan and a framework for county peer review. The master plan prepared by the state anticipates a new monthly report which tracks hourly participation rates in each county. The Legislature anticipated that this information

¹⁰ California Department of Social Services, *Report to the Legislature: CalWORKs Options for Increasing Work Participation*, January 2008, page 5.

¹¹ California Department of Social Services, *Report to the Legislature: CalWORKs Options for Increasing Work Participation*, January 2008, page 8.

would focus county caseworkers and administrators on the work participation status of their caseloads.

The master plan is mandated to include:

1. An assessment of the state's data needs in light of the CalWORKs program goals. Goals include outcomes related to work participation, poverty status and child well-being.
2. An outline for a new participation report that includes the number of hours of participation, how many recipients are meeting the state CalWORKs and federal participation requirements, the type of activities in which recipients participate, and how many recipients use different support services.
3. Guidelines, requirements, time frames, and cost estimates for county automation improvements to collect participation data that is consistent with the master plan.
4. A plan for longitudinal reports which identify how the participation of cohorts of recipients changes over specified time periods.¹²

The CDSS convened the Data Master Plan Work Group to begin developing the Data Master Plan (DMP). The DMP Work Group includes individuals who represent organizations involved in the operation and oversight of California's CalWORKs program and which are interested in ensuring positive outcomes for persons served by the program. This includes:

- Legislature,
- Legislative Analyst's Office,
- Department of Finance,
- County Welfare Directors Association,
- County Welfare Departments,
- Statewide Automated Welfare System Consortia representatives,
- CDSS, and
- Welfare rights and other interested organizations.

CDSS released the *Report to the Legislature: CalWORKs Data Master Plan* in April 2007. The report describes the activities undertaken to date, and next steps. The report can be accessed on the internet at

<http://www.dss.cahwnet.gov/research/res/pdf/AB1808/DMPapr07.pdf>.

Additional major accomplishments made by CDSS, the counties, and other stakeholders include:

- Publication of program information which had not previously been made public. This data can be found at <http://www.dss.cahwnet.gov/research/PG280.htm>.
- Establishing a work group that represents a cross section of the organizations involved with CalWORKs to be responsible for the Data Master Plan.

¹² California Department of Social Services, *Report to the Legislature: CalWORKs Data Master Plan*, April 2007, page i.

- Design of a prototype for the Federal Engagement Report, which will provide information on client engagement across the entire state, as well as provide the information necessary for the state and counties to better monitor and assess work participation efforts and achievement of WPR targets.

Separate Welfare Automation Systems

In the 1990s, the state was working with certain counties to develop a welfare automation system which came to be known as ISAWS. At the same time, Los Angeles County was pursuing its own system called the Los Angeles Eligibility Automated Determination, Evaluation, and Reporting System (LEADER). Meanwhile other counties came together to pursue their own automated systems. Each group was attempting to demonstrate that its system could be the one statewide system.

Since no single system met all the counties' business needs, the 1995 Budget Act required that there be "no more than four county consortia" systems. The state worked with the counties and mutually decided that there would be two more consortia in addition to ISAWS and LEADER. An existing consortium of counties, which included Bay Area counties, implemented the CalWIN system. The remaining, unaligned counties formed a fourth consortium, named Consortium IV (C-IV), and the four county consortia were formed.

The result is that California has four disparate welfare automation systems. Each consortium has implemented a system that best meets the program and administrative needs of its constituent counties. Therefore, the consortia systems have several differences: different approaches to collecting data, different data architectures, different data formats, and different data definitions.

Efforts to Provide Program Information for Statewide Decision-Making

To obtain a statewide view of any CalWORKs issue, CDSS must consolidate data from the consortia systems. Pulling together and synchronizing this data is technically complex and requires an intimate knowledge of county data collection processes, the consortia systems, and the data they contain. Early on, the state planned the CalServ Middleware Project with the goal of integrating the four consortia systems, providing the state access to county data for program and management evaluation, budgeting, required federal and state reports, and allowing counties to exchange information. The funding for CalServ was not approved and the state had to abandon its data integration strategy in FY 2001/02. As need for data continued to increase, the state and counties have made efforts toward collecting, analyzing, and reporting program data in a variety of ways.

- *Aggregated Reports* – Because the effort involved with consolidating the detailed program data from all 58 counties is so onerous, the state has required the counties to produce aggregated reports, which are easier to consolidate; and they have done so for many years. These aggregated reports include CA 237, WTW 25 and WTW 25A.
- *Detailed Data Sample Collection* – RADEP (Research and Development Division Enterprise Project) is a web-based data collection and reporting system that was implemented in 2007 and provides disaggregated sample data. It is a

replacement for Q5 I,¹³ as Q5 I was not designed to support the level or complexity of information that was required by TANF Reauthorization. RADEP's primary purpose was to be the medium by which the state compiled federally mandated WPR data. It meets that mandate, but because it is a relatively small statewide sample, it provides no reliable county by county information and is only reliable on an annual basis. In addition, the state implemented another web-based-data collection tool called E2Lite for the computation of county-specific work participation rates. Like RADEP, E2Lite is not a good source of data for the management of programs. Both are based on the collection of data for a sample of cases, but the sample changes from month to month. Therefore the data is not statistically valid until 12 months of data have been gathered. The state is unable to determine a statistically sound county or state work participation rate until the end of the year, limiting its ability to react quickly and make changes or provide assistance to reach program goals.

- *Other State Data Systems* – A number of other statewide systems exist that collect data on the CalWORKs case and clients. These systems have been used as a source of data by the state to meet its business needs. This includes the following:
 - *Medi-Cal Eligibility Determination System (MEDS)* – The MEDS is maintained by the Department of Health Care Services in order to identify individuals who are eligible for Medi-Cal. The database contains monthly program eligibility for all CalWORKs, Food Stamp, Foster Care, Refugee Cash Assistance, and Medi-Cal recipients. This data source has county identifiers as well as individual (Social Security Numbers) and case identifiers, but it does not contain any earnings, WTW engagement, or family relational data. The data in MEDS is used to draw the sample of cases for federal and state reporting. Using MEDS is problematic because name, social security number and case number mismatches occur and must be rectified. In addition, the data in MEDS for CalWORKs clients is not always in sync with the data in the consortia eligibility systems due to exceptions and rejections of transactions by the MEDS system and the considerable lag time that exists before data is corrected in MEDS by the county caseworkers.
 - *Welfare Data Tracking Implementation Project (WDTIP)* – The WDTIP system is a state-managed database for counties to record CalWORKs adults' receipt of aid that count toward their 60-month time limit as well as any exemptions or exceptions that may apply. The data in WDTIP may not be in sync with the consortia eligibility systems due to exceptions and rejections of county transactions by WDTIP and is hence not a very reliable source of information.
 - *Longitudinal Database* – The reports and collection tools above do not provide longitudinal data: detailed data of the same case/individual over time. The state's Longitudinal Database tracks all cases, at the detail level, and is used to calculate employment rate of CalWORKs cases and the percentage of

¹³ Q5 I was a web based application that was used to collect Food Stamps Quality Control, TANF data, produce reports and transmit data to federal agencies.

CalWORKs cases that have earnings three months after they leave the program. The primary content of the system is eligibility and earnings data collected indirectly from the Medi-Cal Eligibility Determination System (MEDS) and Employment Development Department (EDD) systems, not directly from the consortia systems. It does not contain data on demographics, work participation, services used to support work activities, out-of-state employment, federal employment, or self-employment.

- *Service Contract for Detailed Data Reporting* – The state and a small number of counties are working with a consulting firm, Exemplar Human Services LLC, to design an engagement report to meet counties’ needs for client engagement information. The Engagement report is intended to help counties better monitor and assess work participation efforts. It is also intended to meet the executive need for current engagement information that provides a “dashboard” status report. The purpose of the report is to provide a means for understanding and tracking progress toward participation goals. These reports are intended to meet a very specific data need. They are not intended to provide all of the detailed data necessary for decision-making, including client demographics, relationships, case assistance, services used to support work activities, eligibility, earnings, and unearned income. Not all counties have contracted with this firm to produce this report; however, all counties are aware of the services provided by this firm and many more are considering using it.

Each of the above systems and reports meets a critical need. However, none of them provides the comprehensive, detailed data over time that the CDSS, Department of Finance, Legislature, Legislative Analyst’s Office, county welfare departments, and other stakeholders need to make program and policy decisions. In addition, due to the varying collection and reporting methodologies of each of these systems, CDSS staff must spend considerable time reconciling the data between them (e.g., between MEDS and the WTW 25).

Summary of Conditions Creating the Problem

Together these changes to the program and its environment have contributed to the problems experienced by CDSS and the counties. To summarize, the conditions creating the problems are:

- There is concern that the population served by the program may have multiple and greater barriers to self-sufficiency than in prior years;
- Changes to the federal TANF program are significantly more challenging for the state and counties to achieve and carry significantly greater risk and probability of penalties;
- There are increased statewide data reporting responsibilities to the federal government, Legislature, counties, and other program stakeholders.

At the same time, the data available to the state and counties to overcome these challenges has the following characteristics:

- Data is stored in separate data silos that have different data architectures;
- Most program data is available only in the aggregated form, limiting its usefulness for detailed analysis of program success factors;

- Detailed data is available only for specific samples, which are not valid for broad uses;
- Data is not available in a timely manner, since RADEP, E2Lite, and other state systems provide data 90 or more days after the period for which it was collected;
- Data is extrapolated from a variety of sources, some related directly to the CalWORKs program and some other sources, to try to compensate for the above limitations.

The resulting patchwork of data is not sufficient to meet the needs of CDSS, the Legislature, the counties, or any of the CalWORKs program's stakeholders. The problems that result from these conditions are described in the following section.

Business Problems

Prior to 2006 and passage of the Deficit Reduction Act (DRA) of 2005, CDSS was able to work around its data gaps by creating strategically focused processes and tools for data collection. Using a patchwork of tools and reports, and drawing from a variety of sources, both county and state inter-departmental, gave CDSS adequate information to run their programs. However, data gaps and inefficiencies existed. The Reauthorization of TANF and the new requirements of AB 1808 have brought these needs into sharp focus. At this time CDSS does not have access to the level of detail and type of data needed to meet the new standards, to effectively and efficiently plan, budget and run its programs and to avoid federal penalties.

Meeting Federal TANF Requirements

Previous to 2007 when the DRA's changes went into effect, California had a good record for meeting its work participation goals. However, between 1996 and 2006 as many families transitioned out of welfare, those who remained appeared to have either multiple or intransigent challenges. Thus, California's ability to meet the WPR has been impacted both by the reset of the base year from which the caseload reduction credit is calculated (from 1995 to 2005) and by the fact that families remaining on aid seem to be those with the most severe issues and are the most difficult to successfully transition from welfare to self-sufficiency.

Problem 1: The state may be penalized up to \$150 million in the first year for not meeting its federal WPR target.

The final WPR for California has not been calculated for 2007, however, in January of 2008, it was projected to be approximately 21.19 percent for all families and approximately 35 percent for two-parent families, representing a considerable shortfall from the federal requirement of 50 percent for all families and 90 percent for two-parent families. For the calendar year 2007 this could represent a penalty of \$150 million. This penalty grows by two percent each year for each year that it is not met, up to 21 percent of the TANF block grant.

Problem 2: The state may be required to provide an additional \$180 million per year in MOE matching funds for not meeting its federal WPR target.

As California will not meet the federally mandated WPR, it must increase its Maintenance of Effort matching funding from 75 to 80 percent of the state's 1994 base year expenditures, amounting to an increased cost to the state of \$180 million.¹⁴

CDSS expects California to be assessed penalties in 2009 for failing to meet the WPR for calendar year 2007. California has already begun paying the additional MOE, and faces a total potential financial risk resulting from these two problems of approximately \$330 million in the first year alone. To reduce these penalties the state may submit a corrective compliance plan for penalty relief, or other actions may be initiated by the federal government, the state, or the U.S. Administration for Children and Families.

¹⁴ California Department of Social Services, *Report to the Legislature: CalWORKs Options for Increasing Work Participation*, January 2008, page 5.

However, *continued failure to meet federal requirements in the following years could result in increased penalties.*

The state is hindered in its ability to make program adjustments during the year that would enable it to address WPR requirements because it does not have adequately detailed data to assess state or county WPR on an interim basis. To provide focused assistance, the state and the counties need a clear picture of clients' work participation, the work and training activities they are involved in, as well as the support services they take advantage of, such as transportation vouchers and child care.

The state currently is dependent on two types of data to meet the new TANF requirements and maintain its 75 percent MOE match. The first is the aggregated data supplied by the counties in standard reports, which the state has used successfully for the past ten years. This data does not have the level of detail needed to meet the new TANF requirements, in particular, work participation hours.

The second type of data comes from the samples captured on a monthly basis. Although the sample data is adequately detailed, it is only a sample, and is statistically valid statewide only when data for all 12 months have been collected. The necessity to wait for 12 months for a valid sample, or to rely on data only from counties with large samples, hinders the ability of the state to meet TANF requirements as well as to reduce its MOE. Absent the needed level of information statewide, it is difficult for the state to provide feedback and assistance to the counties and to support them in identifying the activities that will most benefit a specific client and result in increases to the WPR.

Simply having better CalWORKs program data does not ensure that the state and counties will avoid penalties and increased Maintenance of Effort costs. However more timely, complete, reliable, and detailed data will provide both the counties and the state with better information on how to best use their resources to assist hard to help families. It will also assist the state in better tracking program success and budgeting for future program enhancements.

Meeting CalWORKs Participation Requirements

Problem 3: The state does not know if clients are meeting their participation requirements.

Clients are required to participate in CalWORKs program activities that will lead to self-sufficiency. Client participation is a key indicator of the state's ability to meet the WPR. Counties are responsible for monitoring the participation of clients and for keeping clients engaged in program activities. The state is responsible for monitoring counties' efforts toward increasing participation in program activities. Currently, neither the state nor the counties has statistically valid participation data that can be used to determine if the participation requirements are being met or if participation is having an impact on the overall effort to achieve the state's WPR.

E2Lite is used to collect county-specific participation data, which it does based on a sample of cases. E2Lite is not a good source of data for program management because the sample data set is not statistically valid (and therefore not very useful in making mid-

year adjustments) until 12 months of data have been gathered. The state does not have statistically sound participation data until the end of the year, limiting its ability to react quickly and make changes or provide assistance to reach program goals.

Most CalWORKs program activities qualify for the federal WPR. However, some CalWORKs activities do not qualify for the federal WPR, such as mental health treatment beyond the four- and six-week limit of job search and job readiness activities.

CDSS collects aggregated data on the population that is required to participate from several different aggregated reports (such as the CA 237 and WTW 25/25A). Data about the population required to participate in Fiscal Year 2005 is shown in the following table.

Exhibit 3.8: Population Required to Participate in CalWORKs Program Activities in FY 2005

Participation Description	Population Count
Breakdown of "All Families Required to Participate"	
• Meet Federal Participation Rate	60,148
• Participating in Federal Activities, But Not Meeting Federal Participation Rate	31,566
• Exempt (CalWORKs)	27,350
• Cases With Good Cause (CalWORKs)	9,928
• Non-Compliant (CalWORKs)	22,945
• On Aid Less Than 60 Days	21,490
• Other (No measured participation or participation only in non-federally countable activities)	42,395
TOTAL	215,822

The aggregated information above shows point-in-time counts of recipients in different categories. This data does not show changes in the composition of the clients over time. Information about the clients within each of these categories is necessary in order to determine if program activities are having the desired effect of moving clients toward self-sufficiency. Without the information describing who is participating or not participating, the state is not able to determine if the CalWORKs program is meeting its mandated purpose.

For example, the table above shows 22,945 cases were non-compliant with the participation requirements in FY 2005. For the sake of this example, let us assume that the same number of cases, 22,945, were non-compliant in FY 2004, too. Without further information about the cases to provide context, the state cannot know whether or not this represents poor performance overall or if this represents a significant step toward self-sufficiency. Just based on the aggregated number, the state and counties cannot answer the following questions:

- Are these entirely different cases than were non-compliant last year, representing an efficient process of moving cases into compliance with the program requirements?
- Are these the same cases that were non-compliant last year, representing no progress toward self-sufficiency?

- For those clients who have remained non-compliant for multiple periods:
 - Are there significant barriers to their participation?
 - Have their circumstances changed over this time period?
 - Are counties making an effort to engage them?
 - Are their assigned program activities ineffective?

The state and counties need detailed data about the cases over time in order to answer these questions, assist clients with achieving self-sufficiency, and to improve the program overall. The need to collect and analyze this “longitudinal” data was the impetus for the Engagement Report and the Data Master Plan required by AB 1808.

Information for Decision Making

Problem 4: The state does not have adequate information for budgeting, managing, and evaluating policy and program decisions.

CDSS and the counties are responsible for the overall success of the TANF/CalWORKs programs in moving clients toward self-sufficiency. Consistent with that overall responsibility, the state and counties perform several functions to improve the program. A simplistic list of these functions and of the responsibilities is shown in the table below.

Exhibit 3.9: State and County TANF/CalWORKs Program Responsibilities

Function	State	Counties
• Develop overall CalWORKs policy and budget	X	
• Develop operational procedures within policy and budget constraints		X
• Implement procedures		X
• Monitor day-to-day operations of the procedures		X
• Evaluate the impact of the program	X	X

Each of the functions in the table above requires detailed longitudinal data to achieve meaningful actions. The state and the counties act on these functions today, and have done so since the program’s inception. However, the patchwork of data currently available is not sufficient to act on any of these functions to the level desired by the state, counties, Legislature, and other program stakeholders.

The state is unable to evaluate and improve program outcomes without the data needed to make a complete and accurate assessment. For example, one of the requirements under AB 1808 requires the CalWORKs program to evaluate the program’s impact on families’ poverty status and child well-being. There are several indicators which may be useful to make this evaluation, such as various health indicators or the percentage of

income spent on housing, but this data is not collected or readily accessible to the state. As another example, in order to enhance policy related to the current sanction rules, the state must use research studies performed in other states whose policies are divergent from California's and extrapolate from those studies to determine the effect of any proposed policies on California's welfare population.

Because the detailed longitudinal data is not available, the state and counties must use the patchwork of data currently available to them. This includes using:

- Sample data collected for one purpose to inform decisions relating to another purpose for which it may not be well suited;
- Data from other states, data from large counties, or data from any counties that have relevant data available, and extrapolating to the CaWORKs population;
- Data consolidated from different time frames, such as months, quarters, and years;
- Data collected for cases to develop assumptions for individual clients.

CDSS uses the data available to develop assumptions upon which to base its decisions. CDSS is very up front with its stakeholders about the assumptions it uses and the data they are based upon. The assumptions are known to be limited; but, because better, more comprehensive data is not available, the state, the Legislature, the counties, and other decision-makers base their decisions on those data with the understanding that they do not have a complete picture.

Some of the policy questions that cannot be adequately answered include:

- Which activities are successful at moving clients to self-sufficiency and which activities are not successful?
- Do support programs such as counseling, medical and public health information, parenting skills training, financial planning, and relocation increase engagement?
- If the time to cure a sanction were lengthened, what impact would it have on engagement?
- If the safety net is removed, how many non-participating cases would participate? How many would leave the program? What would be the impact on the budget?
- Are some counties performing better than others? If so, why? And how do we know they are performing better? What lessons learned can be transferred to other counties?

Historically, the state and counties have developed new policies and procedures, developed budget estimates, monitored their implementation, and evaluated their overall effectiveness. Because the data used to perform these functions is only available piecemeal, the state is unable to measure program outcomes or evaluate overall program effectiveness in a timely or meaningful manner that would allow the state to make mid-course corrections or provide technical assistance to counties to help them meet the WPR. Therefore, there are likely many clients who could achieve self-sufficiency if the state and counties had the data necessary to make the program as efficient and effective as possible.

Problem 5: CDSS does not have necessary information for meeting the needs of the Legislature, the LAO, and other external stakeholders.

CDSS must answer a variety of questions from all TANF/CalWORKs stakeholders, including the Legislature, the Legislative Analyst's Office, the press, other state or local agencies, and the public at large. During the Budget Hearings of March 2008, the Legislature asked for information on which to base CalWORKs policy and budgeting decisions. Types of information requested have included the following:

- Length of time in sanction and characteristics of safety net population
- Budgetary impacts to counties of state decisions
- Long-term impacts of CalWORKs on clients
- Average grant levels by specific client sub-group
- Number of hours worked
- Number of clients meeting federal or state work participation requirements

The Legislature, and all TANF/CalWORKs stakeholders, expects to be able to hold CDSS and the counties accountable for the answers they provide. CDSS and the counties work very hard to gather the relevant information and provide answers in a timely manner; but, because there is no single repository of detailed CalWORKs data over time, CDSS must generally offer its answers with significant caveats.

For example, CDSS was recently requested by the Assembly Budget Committee to review policies relevant to the "safety net" population. Currently, after five years of assistance, a family's grant is reduced by the adult portion, and the eligible children continue to receive a child-only grant in the safety net program. The FY 2008-09 budget bill proposed to eliminate the safety net grant for children whose parents fail to comply with the federal work participation requirements as of June 1, 2008. CDSS was asked by the Senate Budget Committee for additional details on the population of 48,500 families with children that would be impacted by this change in policy.

Although CDSS has information on the average cash grants provided based on aggregated data, CDSS cannot create a model for the safety net sub-group because the detailed data is not currently collected. Therefore CDSS is unable to answer specific questions about this sub-group except as based on sample data, and can only use sample data if the sample is large enough (i.e., statewide modeling must be based on large counties that have a large enough sample).

Overall, these business problems hinder the TANF/CalWORKs program's ability to effectively and efficiently achieve its mission of assisting clients to achieve self-sufficiency. The next section will describe the business objectives CDSS wants to meet by mitigating these problems.

Business Objectives

The business objectives of this feasibility study are described below. Each objective relates directly to a business problem described in the Section 3.2.

Exhibit 3.10: Business Objectives

Ref #	Problem	Objectives
1.	The state may be penalized up to \$150 million per year for not meeting its federal WPR target.	<ul style="list-style-type: none"> Obtain timely, accurate WPR data for mid-course corrections and feedback: <ul style="list-style-type: none"> Obtain actual hours of work participation by time period for each work activity for each work-eligible individual from all counties once every week.
2.	The state may be required to provide an additional \$180 million per year in MOE matching funds for not meeting its federal WPR target.	<ul style="list-style-type: none"> Obtain detailed data across all TANF/CalWORKs clients statewide that is necessary to calculate the Federal and county WPR on a monthly/quarterly basis Enable CDSS and counties to evaluate client behaviors and identify trends using longitudinal data Enable CDSS and counties to monitor progress toward increasing work participation
3.	The state does not know if clients are meeting their participation requirements.	<ul style="list-style-type: none"> Provide access to timely, complete, and reliable engagement data Provide access to detailed statewide CalWORKs data needed to show/measure clients moving toward self-sufficiency Establish method and tools for capturing and reporting on longitudinal work participation in the short term, child well-being and poverty data in the long term
4.	The state does not have adequate information for budgeting, managing, and evaluating policy and program decisions.	<ul style="list-style-type: none"> Provide quality, current CalWORKs case and client information, in a timely manner, for decision making, budgeting, ad hoc reporting and performance evaluation Enhance decision making based on real (versus extrapolated) client data and the unique demographic and socioeconomic characteristics of California Provide access to statewide detailed, disaggregated longitudinal data for TANF/CalWORKs clients in a timely manner
5.	CDSS does not have necessary information for meeting the needs of the Legislature, the LAO, and other external stakeholders.	<ul style="list-style-type: none"> Provide access to timely, complete, reliable, and detailed CalWORKs data Reduce reliance on RADEP and E2Lite sample data for responding to external requests Reduce labor intensive data reconciliation Reduce reliance on existing methods of doing ad hoc requests for consortia systems to obtain data needed for responding to external stakeholders, legislature and LAO

Business Functional Requirements

The following table lists the functional and technical requirements for the CalWORKs business analytics and reporting solution to satisfy the business objectives.

Exhibit 3.11: Business Functional Requirements

#	Requirement
1.	Provide a statewide view of the select TANF/CalWORKs case and client information.
2.	Provide drill-down capabilities to allow users to view case specific and/or client specific details.
3.	Provide an ability to review TANF/CalWORKs case and client specific data over time and across counties/consortia systems.
4.	Provide an ability to receive, transform and load TANF/CalWORKs program data from disparate data sources including the separate consortia eligibility systems (CalWIN, LEADER, C-IV). ¹⁵
5.	Provide an ability to do an initial load of twelve months of TANF/CalWORKs case and client data from the consortia systems for all active TANF/CalWORKs cases as of a certain date at the time of go-live.
6.	Provide an ability to allow for weekly additions and updates from the consortia systems for the last three months incorporating updates/changes since the last data load.
7.	Provide consistent and standardized view of TANF/CalWORKs case and client data received from multiple data sources.
8.	Provide easy and quick access to TANF/CalWORKs aggregated and disaggregated information for all users.
9.	Provide dashboard capabilities allowing for key insights into the TANF/CalWORKs program and client population.
10.	Provide aggregated and disaggregated views of the TANF/CalWORKs case and client data that allow the users to observe trends and patterns that will enable them to understand TANF/CalWORKs engagement and work participation.
11.	Provide ad hoc querying and reporting capabilities including what-if analysis to support TANF/CalWORKs program and policy decision making, budget formulation and analysis, responding to LAO and legislature.
12.	Determine work participation rates at both a statewide level as well as at a county level.
13.	Provide an ability for the state to do timely, complete, and accurate Federal TANF Data Reporting on a quarterly basis for Work Participation Rate Determination.
14.	Provide an ability to export TANF/CalWORKs aggregated and disaggregated data that is needed for federal reporting into specific formats including but not limited to XML, flat file, csv.
15.	Provide an ability to produce and publish TANF/CalWORKs reports using PDF and Microsoft file formats that can be shared with other state and county users.
16.	Provide an ability for the TANF/CalWORKs program data to be loaded at pre-determined frequencies.
17.	The TANF/CalWORKs case data at a disaggregated level to be received from the consortia eligibility systems must include at a minimum Case Summary (as described under item #19), Eligibility, Demographics, Supportive Services, Sanctions, Penalties and Assistance Information.
18.	The TANF/CalWORKs individual data at a disaggregated level to be received from disparate data sources must include at a minimum Demographics, Non-financial, Eligibility, Work Participation, Monthly Income.

¹⁵ Assumes that the migration of the 35 ISAWS counties to the Consortium-IV System will be completed in 2010.

#	Requirement
19.	The TANF/CalWORKs case summary information must include at a minimum the Case Number, County, Home Address, Number of individuals in household, Type of family for work participation (Two Parent, Zero Parent, Safety Net, All other families), Work Eligible Indicator, Amount of family's cash resources, Federal Time Limit Exemption Indicator, CalWORKs Time Limit Exemption or Extension, Cash Aid Code, Program Status and Monthly Rent Amount.
20.	The TANF/CalWORKs case assistance information must include at a minimum the Case Number, Cash Assistance Amount, Food Stamps Assistance Amount, Homeless Assistance Amount, Immediate Need Payments, Special Need Payments, Subsidized Housing Indicator and Medi-Cal Assistance Indicator.
21.	The TANF/CalWORKs case supportive services information must include at a minimum the Case Number, Transportation Benefit Amount, Child Care Benefit Amount and Ancillary Services Amount.
22.	The TANF/CalWORKs case eligibility information must include at a minimum the Case Number, Cash Aid Eligibility Begin Date, Cash Aid Eligibility End Date, Reason for Sanction, Amount of Sanction, Compliance with Immunization, Types of Disability Benefits Received, SSI Applicant Indicator, Pregnancy, Citizenship, Basis of Deprivation, Rent Amount, Relationship to other individuals in the household, Vehicle Value, and Cash Aid Termination Reasons.
23.	The TANF/CalWORKs individual demographic information must include at a minimum Date of Birth, Client Index Number, Social Security Number, Race, Ethnicity, Language, Gender, , Relationship to other individuals in the household, School Enrollment and Attendance, Reason for Non-Attendance, Education Level, Citizenship, Child Support Cooperation.
24.	The TANF/CalWORKs individual non-financial information must include at a minimum School Enrollment and Attendance, Reason for Non-Attendance, Education Level, Citizenship, Child Support Cooperation.
25.	The TANF/CalWORKs Individual Eligibility information must include Individual Aid Code, Eligibility Begin Date, Eligibility End Date, and Termination Reasons.
26.	The TANF/CalWORKs Individual Work Participation information must include the Work-Eligible Individual, Exemptions, Reason for Exemption, Work Participation Status, Good Cause reason, Non participation reason, Activity Period, Type of Activity, Hours engaged in Activity.
27.	The TANF/CalWORKs Individual Monthly Income information must include earned and unearned income by source of income.
28.	Provide an architecture that is flexible, scalable and provides high availability to meet the present and future data analytics and reporting needs of the CalWORKs program, other CDSS programs, other HHS Agency departments, and county welfare departments.
29.	Provide answers to the key business needs around work participation, budgeting, ad hoc reporting, responding to stakeholder needs, and program and policy decision making as well as provide indicators around poverty and child well-being.
30.	Comply with CDSS, OSI, and State Office of Information Security & Privacy Protection security and confidentiality requirements.
31.	The solution must be maintainable by OSI and the platform supported by DTS over the long term.
32.	The solution must be hosted by Department of Technology Services.
33.	Allow CDSS users to get access to statewide data.
34.	Provide ability to view point in time data as well as data over time for TANF/CalWORKs cases and clients.
35.	The TANF/CalWORKs clients' individual income information must include the monthly employment earnings, monthly self employment earnings and monthly unearned income.

4 Baseline Analysis

The purpose of this section is to provide an understanding of the business and technical environment that currently supports the TANF/CalWORKs Program.

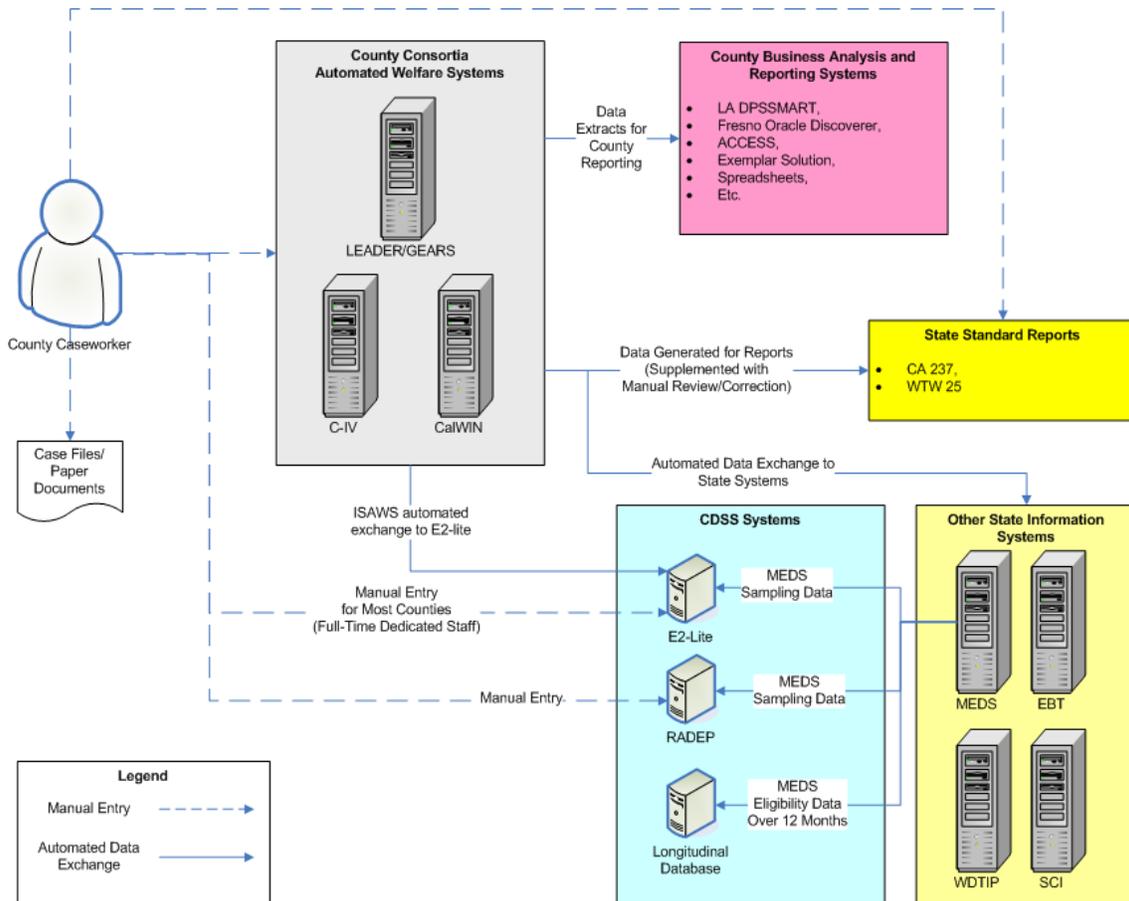
Exhibit 4.1: Baseline Analysis Contents

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4.2 Technical Environment
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Current Methods

This section discusses the current sources of information for TANF/CaWORKs, and tools used for data collection and analysis. The general relationship among the major systems is shown in Exhibit 4.2: Current TANF/CaWORKs Information Systems.

Exhibit 4.2: Current TANF/CaWORKs Information Systems



As shown in the diagram above, all CaWORKs information originates with the County Caseworker. The major CaWORKs systems receive their data either directly from the Caseworker's data entry or indirectly from other intermediary systems. This section of the FSR describes these major systems and is organized as follows:

- County Consortia Automated Welfare Systems
- State Standard Reports
- CDSS Systems
- Other State Information Systems
- County Business Analysis and Reporting Systems

County Consortia Automated Welfare Systems

Each county administers its own programs and, through their consortium, maintains their own eligibility system. However, the counties have standardized to some degree, in that four systems are used: one system by Los Angeles County, and three other systems by consortia of the remaining counties. The four systems together are referred to as the Statewide Automated Welfare System (SAWS)—despite being separate systems—and consist of: Los Angeles Eligibility, Automated Determination, Evaluation and Reporting (LEADER)¹⁶; Interim Statewide Automated Welfare System (ISAWS); CaWORKs Information Network (CaWIN); and Consortium IV (C-IV). These systems are stand-alone and do not exchange data with one another.

These Automated Welfare Systems perform complex eligibility determinations, benefit calculations, provide integrated case management, and are integral to the counties' ability to provide timely and accurate services and benefits. These four systems provide CDSS with the bulk of their CaWORKs data.

These information systems were not created specifically to manage TANF/CaWORKs caseloads. While the TANF program was mandated by the federal government in 1996, the ISAWS and LEADER systems had been used to manage cases for the prior welfare programs (Assistance for Families with Dependent Children (AFDC)). The technology used to develop large automated systems has changed significantly over the past 20 years. Systems of the size and complexity of the consortia take years to complete and cannot be redesigned midstream in order to take advantage of evolving technology. Therefore, the technology employed to develop each consortia system reflects the time period during which the system was designed. The older systems are not as easy to modify, maintain, and support as systems developed using more current technology.

A brief description of the technology used to develop each consortia system is described in the paragraphs that follow.¹⁷ The conclusion to be drawn from these paragraphs is that any solution intended to resolve the business problems described in Section 3.2 must be able to work with these very different systems.

- *ISAWS* – The ISAWS was designed in the late 1980s. The programmers needed to support the software are not readily available because the programming language (BIS, formerly MAPPER) is not commonly used today. ISAWS is the oldest of the four systems; a project is underway to migrate the 35 ISAWS counties to the C-IV system.
- *LEADER* – The Los Angeles County LEADER system is similar to ISAWS. The hardware is nearing the end of vendor support. LEADER has a client/server architecture. With this technology, the data is stored in a database on a large mainframe. This data interacts with an application on the desktop personal computer (PC). To address the long term issues inherent in the current architecture, Los Angeles County is in the process of procuring a new state of the

¹⁶ Los Angeles County uses a separate system called GEARS to administer Employment Services for the CaWORKs participants through their Greater Avenues for Independence (GAIN) program.

¹⁷ Legislative Analyst's Office, *Analysis of the 2008-2009 Budget Bill*, "Health and Social Services Chapter," February 2008, page C-156.

art case management system that is web enabled and built using service oriented technologies.

- *Ca/WIN.* – CalWIN was implemented in 2005. The CalWIN architecture is client/server, which is similar to the LEADER architecture. This architecture requires client software on the users’ workstation to interact with a centralized database.
- *C-IV* – The C-IV system was implemented in 2004 and is “web enabled,” which allows users to access it using a web browser. Web enabled applications do not require special software on a PC to access the application like client/server applications. At the time C-IV was being formulated, vendors also changed the way they develop large systems. The C-IV system takes advantage of technologies that were current at that time.

State Standard Reports

Each individual county provides aggregated data to the state in standard report format. These standard reports have been the mainstay for state-level decision-making for some time. These standard reports include the following:

- *WTW 25, 25 A: CalWORKs Welfare-to-Work Monthly Activity Report All (Other Families) and Two Parent Families* – The monthly WTW 25 report contains statistical information on the number of All (Other Families) who are enrolled in mandatory WTW employment-preparation activities. It also includes those enrollees who have been exempted from these employment requirements, those who have been sanctioned for failure to comply with these mandates and those who have been terminated due to time limits and due to employment obtained during the month.
- *CA 237: CalWORKs Cash Grant Caseload Movement Report* – The monthly CA 237 CW report contains statistical information on CalWORKs caseload movement for Two-Parent Families, Zero Parent Families, All Other Families, Temporary Assistance for Needy Families (TANF) Timed-Out Cases, and Safety Net Cases. This report includes data on the number of applications requested or restored, cases added, cases exiting, and cases transferred from other counties during the month.

Issues: These reports have been used successfully to guide the CalWORKs programs, but with the greater demands of the TANF Reauthorization and AB1808, disaggregated data is required to meet business needs. All these reports have aggregated data and do not have the disaggregated data behind them. Some of the issues include:

- Aggregated information that is not adequate for program, policy and budget decisions. For example, it does not provide adequate detail on subgroups of client populations and programs and cannot be used for “what-if” scenarios.
- Federal Data Reporting requires disaggregated data and cannot be based on these reports.

- Actual Hours of Participation for calculating Work Participation Rates is not captured on the WTW 25 or 25A.
- Reports include duplicate information (individuals are counted against multiple activities).
- The CA 237 report collects data at the case level, while the WTW 25 and 25A collect data at the individual level.
- Finally, due to differing data sources these reports cannot effectively be compared to the aggregated and disaggregated information collected using other CDSS data collection and reporting tools, therefore the state cannot have confidence that the information that they glean from the detail data will confirm the information from the aggregated data. The CDSS systems that serve as data collection and reporting tools are described in the following subsection.

CDSS Systems

CDSS currently uses and maintains three information systems that are related to the CalWORKs program. Two of these systems—RADEP and E2Lite—are used to collect data directly from the county caseworkers. The third system stores longitudinal data from the past 15 years. These information systems are described below.

Research and Development Enterprise Project (RADEP)

This web-based collection tool was implemented by the state in October 2007 for gathering the data needed to meet the federal TANF reporting requirements, determine statewide Work Participation Rates and gather case characteristics. RADEP has replaced the previous tool, Q5i, and has helped improve the timeliness and accuracy of TANF data reporting. This system is used to collect a sample of about 3,000 active cases and 800 closed cases annually, of detailed data from the counties, over the course of a year. The sample is statistically valid to meet requirements for calculating federal work participation rates on a *yearly* basis and is valid at the *statewide* level only. The RADEP system is built using Microsoft .NET and SQL Server technologies and is hosted at the Department of Technology Services (DTS).

RADEP also supports the Quality Control process for the Food Stamp program.

Process: The process for collecting RADEP data begins with a data sampling plan, created by the state in accordance with the federal guidelines and agreed to by the federal government. Based on the sampling criteria and methodology, the universe of cases are identified from the MEDS Monthly Extract File (MMEF) and loaded into SAS. Sample cases are drawn from the universe of cases using SAS and loaded into RADEP. The minimum annual sample size is about 3,000 active cases comprised of 600 ongoing two-parent families, 1800 ongoing non-two parent families, 600 new approved cases and 800 closed cases. The counties have 90 days to provide the details on the sample cases to the state. More than 100 data elements are required per case/individual in the sample. The state Field Operations Bureau staff complete the data collection for the sample cases in Los Angeles and 39 other smallest counties. The county district offices for the 19 largest counties excluding Los Angeles are responsible for their own data collection. Counties have stated that between the data entry and verification tasks required, each case takes about two hours of data entry. RADEP does provide business rules that assist with identifying inconsistent information during the data entry process

and also offers a question based data collection that collects only required data based on the nature of the case. Once the data is collected in RADEP it is downloaded to a desktop PC where PC-based programs are used for analysis and reporting.

Disaggregated data is transmitted to the Assistance for Children and Families (ACF) monthly for Food Stamps and quarterly for TANF. In addition there is quarterly transmission of aggregated TANF data from the Data Systems and Survey Design Bureau.

Issues: This system meets the federal requirements for TANF data reporting that is used by the Federal Office of Family Assistance to calculate WPR, as intended. RADEP was developed to meet federal data reporting requirements for TANF (and Food Stamps) data. It works well and the counties have indicated that RADEP works better than the Q5i system. However, it is not a good source of data for managing programs for a number of reasons. These include:

- The data is a sample of all cases.
 - The sample changes from month to month, so that the same cases are not followed over a year, limiting the ability of any trend analysis using longitudinal data.
 - The sample is not statistically valid until the samples have been generated for the whole year and thus a statistically sound work participation rate cannot be determined until the end of the year. This limits the state's ability to proactively provide guidance and direction to the counties to help with any course corrections.
 - Counties have 90 days to provide the data for their sample; thus, the data for a given month is sometimes not available to the state for 90 days or more. Counties do, however, have an opportunity to provide updated information throughout the year (for RADEP and E2L).
 - RADEP is not always the best source of data for managing programs depending upon the type of data being analyzed.
- Analysis of data is performed in a SAS database which exists on the desktops of CDSS staff in the Estimates and Research Services Branch. This severely limits the accessibility of the data.

E2Lite

This is a data collection system for county-specific work participation data, specifically to calculate county-specific work participation rates (based on TANF federal data reporting requirements). It is web-based and was implemented in late 2007. Like RADEP, this tool collects detailed data but is based on a larger sample of 137,000 TANF cases annually with about 100-2400 cases per county that is based on the size of the county and the proportion of two-parent families. E2Lite allows consistent and reliable measurement of county participation performance by using the same data elements for all counties. E2Lite system was built using Microsoft .NET and SQL Server technologies.

In addition, a limited number of CalWORKs data elements were added to E2Lite to quantify Pay-for-Performance program outcome measure 2 that is based on the county CalWORKs cases, excluding individuals who are exempt and including sanctioned

cases and cases participating in mental health, substance abuse, and/or domestic abuse activities.

Process: Like RADEP, the samples are pulled monthly from MEDS MMEF. They are combined with each county's RADEP cases in order to reduce the level of data entry for the counties. The counties have 75 days from the end of the report month to provide the work participation information on the sample cases to the state. Some counties use the web-based interface that allows for the assignment and collection of data. County supervisors log on to E2Lite and access their county samples. Supervisors assign cases to workers who are guided through the intelligent collection process by what is basically a survey and data collection system. Once the sample is complete, it is routed back to the supervisor for approval.

Some counties take advantage of a semi-automated data collection process in which they download the sample from E2Lite and integrate it into their county data collection and tracking system. These counties have written programs to download the data electronically from the consortia eligibility systems into their county data collection and tracking system. The work participation data tracked in the consortia eligibility systems is supplemented with the work participation data from the hard copy case files or gathered by other means for sample cases. The completed case files are then uploaded into E2Lite. A third method is in development and will be a fully automated data collection system for nineteen of the 35 ISAWS counties. Once the data is collected in E2Lite it is downloaded to a desktop PC where PC-based program are used for analysis and reporting. This permits all required analysis to be completed on a generic desktop PC.

Issues: Similar to RADEP this system was designed to meet a specific reporting need, and it does so. However, it is used as a source for other data needs, which is not always appropriate.

- It faces the same issues as RADEP in that it captures a different sample each month and is not statistically valid until 12 months of data can be compiled.
- The data suffers from a 90- day lag between the time the sample is drawn to when the work participation data is available in the system. E2Lite does not lend a great deal of help with the state's need to monitor the progress of county efforts toward improving participation in a timely manner, understanding and assessing the barriers.
- E2Lite is not able to provide all of the case and client data for CalWORKs clients statewide that is mandated by AB 1808 including poverty and child well-being because it does not capture the needed data elements for all cases.
- Data in E2Lite is limited to work participation data and is inadequate for program planning, budgeting, and ad hoc reporting to the Legislature, LAO and other external stakeholders.
- The reporting capabilities in E2Lite are very limited.
- Counties sometimes attempt to calculate Work Participation Rate using E2Lite and they come up with different results than the state. The state has provided additional clarification to the counties that have helped with the overall understanding of the data collection and reporting process and address any anomalies with the Work Participation Rate.

Longitudinal Database

The state only has one system that provides statewide business analysis capabilities: the Longitudinal Database. The LDB contains Medi-Cal and welfare monthly enrollment from January 1987 to the present of all AFDC, TANF and CalWORKs recipients and is used for ad hoc analysis or special reporting efforts. This system was first developed in 1992 and had been continuously refined to improve data quality and coverage. The state has no other systems with statewide business analysis capabilities, with the exception of unofficial spreadsheets or desktop databases used and stored by individual users.

As specified in AB 1808, the state needs select data on the universe of clients, which is tracked over time. The data in the longitudinal database is currently used to determine employment rate of county CalWORKs cases and the percentage of county CalWORKs cases that have earnings three months after they leave the program, which are two of the measures of the County Pay for Performance program. The longitudinal database is a set of flat files that are uploaded into a PC-resident version of SAS for analysis and reporting. Like E2Lite and RADEP, all required analysis can be done on a generic desktop PC. The data in the longitudinal database is currently limited to client eligibility and earnings.

Process: The LDB is constructed from the Medi-Cal Eligibility Data System (MEDS) Monthly Extract File and the MEDS cross-reference file. The file is updated quarterly. On a regular basis the LDB is matched with the Employment Development Department's (EDD) Base Wage file to acquire a ten-year history of recipient quarterly earnings and employment information. Periodically the LDB is matched with both the EDD Unemployment and Disability Insurance Base Wage File and Quarterly Census of Employment and Wages to examine Unemployment Insurance (UI) benefits or Disability Insurance (DI) benefits receipt and employer information. On an ad hoc basis, the LDB is matched with other statewide files maintained by CDSS to add key current and historical information.

Issues: The Longitudinal Database does not pull data from the same primary source (the county consortia systems) that the other reporting tools use. It is based on data from the MEDS (similar to E2Lite and RADEP) and Employment Development Department (EDD) systems. The primary content of these systems is very basic eligibility and earnings data, respectively. The LDB does not contain any information on welfare-to-work participation, federal participation data, exemption or sanction status, receipt of work support services, detailed eligibility information or grant amounts. In addition, the earnings information from EDD does not include self employment related earnings. The longitudinal database provides a very limited set of data and very limited ability to assist with budget planning, program and policy decision making.

Other State Information Systems

CDSS receives information from several other state systems. Some of these systems provide data from the county consortia systems indirectly to CDSS. Some of these systems provide other program-related data that is not available from other sources. These systems include:

- Medi-Cal Eligibility Data System
- Employment Development Department Systems
- Welfare Data Tracking Implementation Project
- Electronic Benefits Transfer System

These systems are described below.

Medi-Cal Eligibility Data System (MEDS)

MEDS is managed by the California Department of Health Care Services and contains high-level eligibility information on all current and past welfare recipients in California. The database contains monthly program eligibility for TANF/CalWORKs recipients. This data source has county identifiers as well as individual (Social Security Numbers) and case identifiers. This permits the construction of CalWORKs case counts for each county.

TANF/CalWORKs reporting for the state and for the US Department of Health and Human Services uses a representative sample of cases, rather than the entire caseload. A random sampling of TANF eligible cases is drawn from the MEDS Monthly Extract File (MMEF) on a monthly basis. The MMEF is an extract from MEDS that is compiled on a monthly basis and contains up to 13 months of historical Medi-Cal and TANF eligibility information for recipients in California. The MMEF data is used to create both the TANF active and TANF closed case universe from which random samples are drawn using a stratified random sampling design. The counties then provide disaggregated demographic and activity information on cases in those samples. The resulting data are used to meet the monthly and quarterly TANF disaggregated reporting requirements, and are used by the federal Administration for Children and Families to calculate the state's federal work participation rates for All Family and Two Parent cases on an annual basis.¹⁸ Using MEDS to define the data sample is problematic because name, social security number and case number mismatches occur and must be rectified. In addition, the data in MEDS for CalWORKs clients is not always in sync with the data in the consortia eligibility systems due to exceptions and rejections of transactions by the MEDS system. The "mismatches" are due to inaccurate reporting and/or lags in updating the information by counties. Furthermore, in many instances the MEDS rejections and exceptions and rejections are not resolved in a timely manner by the county caseworkers.

¹⁸ California Department of Social Services, *Federal Participation Rate Statewide*, January 2008, <http://www.cdss.ca.gov/research/res/pdf/AB1808/PrelimWP/PrelimWPmethod.pdf>.

Employment Development Department (EDD) Systems

The Employment Development Department base wage file contains employer-reported earnings for nearly 95 percent of all California employment. The significant exceptions are self-employment, federal government employment and some casual employment. Employers are required to report total quarterly earnings for all employees with quarterly earnings over \$50. A Social Security Number match is made with the Base Wage file to acquire the earnings. The earnings data are available approximately five months after the end of the quarter.

Welfare Data Tracking Implementation Project (WDTIP)

The WDTIP system is a state-managed database for counties to record CalWORKs adults' receipt of aid that count towards their 60-month time limit, as well as any exemptions or exceptions that may apply. WDTIP tracks time on aid on a statewide basis (federal TANF requirement). WDTIP provides counties with statewide time-on-aid data. This information enhances the counties' ability to determine initial and ongoing TANF and CalWORKs eligibility for applicants and recipients. The WDTIP system is written in CICS/COBOL. In addition to the time-on-aid data, WDTIP also stores the program participation information, exceptions, sanctions, supportive services and diversion information. The data in WDTIP may not be in sync with the consortia eligibility systems due to exceptions and rejections of transactions by WDTIP, which may not be resolved in a timely manner. Furthermore, the WDTIP system has very limited reporting capabilities.

Electronic Benefits Transfer (EBT) System

The statewide Electronic Benefit Transfer system is used for distributing food stamp benefits and, at the option of individual counties, CalWORKs assistance and other cash benefits. The EBT system automates the delivery, redemption, and reconciliation of issued benefits. The EBT system has host-to-host and batch interfaces with the consortia eligibility systems that are used to add and maintain case and client demographic information and issuance information. The EBT system has the CalWORKs issuance information for 54 of the 58 counties in California. The CalWORKs information in the EBT system is limited to client demographic and issuance information. In addition, counties also issue benefits using Electronic Funds Transfer (EFT)/Direct Deposit that are not tracked in the EBT System.

County Business Analysis and Reporting Systems

Since the counties are experiencing similar data analysis and reporting problems as the state, several of them have developed or are in the process of developing individual solutions. These solutions generally fall into one of two categories: reporting and analysis systems developed by the individual counties; or reporting and analysis services provided by contracting with an application service provider.

- *County Developed Systems* – The analysis and reporting systems developed, maintained, and operated by the counties include:
 - Los Angeles County's DPSS DATAMART;
 - Fresno County's Oracle Discoverer Solution
 - Other County Reporting Tools

These systems provide the counties with canned reporting and ad hoc reporting capabilities that are primarily used to meet county management and operational reporting needs. For instance, the Los Angeles County's DPSS DATAMART collects data from LEADER, the employment services system called GAIN Employment Activity and Reporting System (GEARS), and the statewide system for administering the In-Home Supportive Services program and produces reports in the areas of Intake, Caseload, Providers, Welfare to Work (WTW) and Staffing.

- *Application Service Provider Contract* – Several counties are working with a consulting firm, Exemplar Human Services LLC, and actively using a set of web-based reports including the Engagement Status, various case list, and longitudinal tracking (Matrix) reports. In addition, Exemplar is designing an Engagement Performance report to meet the state and counties' need for client participation information. The Engagement Performance report is intended to help counties better monitor and assess work participation efforts. The other reports meet the executive need for current engagement information, including the provision of a dashboard status report. The Engagement Performance report is in the testing phase; however, the purpose of the report is to provide a means for understanding and tracking progress toward participation goals. The report is expected to summarize the participation and other engagement experience of TANF/CaWORKs clients over given measurement periods. Exemplar Human Services LLC is currently working with Sonoma, San Bernardino, Kern, Alameda, Stanislaus, and Sacramento counties and is producing the web-based reports mentioned above. Exemplar Human Services LLC has a service-based contract with most of these counties; in addition, San Bernardino and Alameda counties have signed subscription agreements to provide the reports to all of the Welfare to Work management and front-line supervisory staff.

Process: Exemplar Human Services LLC gets an extract file of the specific county's TANF/CaWORKs client engagement information from the consortia eligibility systems via the county on a periodic basis. The extract files are then processed and data is transformed into a standard, consistent format for view by the county. Authorized county users can log into a secure web application that is hosted by Exemplar Services LLC and run queries that enable them to get summary and detailed views of the engagement information. The reports are geared to identify quickly the locus of participation problems and subpopulations of cases requiring attention. The counties currently using the Exemplar services have achieved great success in improving the engagement of their clients.

Issues: While the data collected by Exemplar is very useful toward understanding the engagement information of clients by county, many counties do not capture the actual hours of participation for each activity in their automated systems. Exemplar is in the process of testing the receipt and processing of activity hours data with a CaWIN county (Sonoma), a C-IV county (San Bernardino), and then an ISAWS county (Kern). This will enable the depiction of participation data, though not allow for computation of the Federal Participation Report until additional data from the eligibility systems is made available to Exemplar. .

Some of the other issues include:

- Exemplar currently does not have data from all 58 counties.
- Data is limited to work participation and activities that clients are engaged in. It does not have all of the detailed data including client demographics, relationships, case assistance, services used to support work activities, eligibility, earnings, and unearned income.
- Currently does not collect actual hours of participation by activity and so limits the ability to compute a federal or state work participation rate.
- State currently does not have access to the raw data as Exemplar provides a service-based contract.

Summary of TANF/CalWORKs Data Sources

The following table provides an overview of the primary data sources currently used by CDSS. It makes clear many of the reasons why it is so difficult for the state to create a clear picture of welfare clients and the programs that help them.

Exhibit 4.3: Summary of TANF/CalWORKs Data Sources

System	Technology	Frequency	Age of Data	Reporting and Analytical Capability	Data Source	Data Detail
WDTIP	Mainframe CICS/ COBOL	Daily	Current	Limited	Consortia Eligibility Systems	Limited Disaggregated data - Time-on-Aid - Eligibility - Sanctions
EDD	Mainframe	Quarterly	9 months (5 months after the end of the quarter)	None	EDD	Limited Disaggregated Data - Earnings - Unemploy- ment Insurance Benefits - Disability Insurance Benefits
MEDS	Mainframe	Monthly	Current	None	Consortia Eligibility Systems	Limited Disaggregated Data - Client Demographics - Eligibility



System	Technology	Frequency	Age of Data	Reporting and Analytical Capability	Data Source	Data Detail
RADEP	.NET and SQL Server	Monthly	90 days	TANF disaggregated	MEDS, County Case files	Disaggregated Data - Case Summary - Case Assistance - Sanctions - Exemptions - Supportive Services Client Demographics - Eligibility - Engagement - Participation - Non-financial
E2Lite	.NET and SQL Server	Monthly	90 days – 75 days from end of sample months	Limited	MEDS, County Case files	Disaggregated Data, Case Summary, Client Engagement and Client Participation
Engagement Report from Exemplar Human Services LLC	Excel and PDF	Monthly	TBD	NA	Consortia Eligibility Systems	Disaggregated Data Client Engagement, Case Sanctions, County Caseload and Worker Information
Standard Reports such as WTW 25, WTW 25A, and CW 237	Excel and PDF	Monthly	At least 30 days	CalWORKs participation (WTW 25) – CalWORKs caseload (CW 237)	Counties	Aggregated
Longitudinal Database	Mainframe and SAS	Monthly/Quarterly	At least 30 days old	Yes	EDD and MEDS	Disaggregated Eligibility and Earnings

Technical Environment

This section provides a detailed description of the technical environment supporting CDSS in which the proposed solution will operate, including the proposed solution's expected operational life; state and CDSS policies; and financial, legal and public policy constraints. A description of the technical resources and staffing required to support the system is also provided.

Expected Life of Proposed Solution

The proposed solution must be scalable and flexible enough to accommodate future changes, including the addition of the counties as users of this data, changes in the Department's or counties' data needs, changes in statute or law, and/or changes in the technology environment.

No fixed end date exists at which a proposed solution would be discontinued. CDSS assumes that the solution will be operational for at least ten years.

Interfaces to Other Systems

The proposed solution will receive data from the consortia systems that comprise the Statewide Automated Welfare System on a weekly basis. In the long term, this solution will have the capability to accept data from systems owned by other departments such as Employment Development Department and Department of Education.

State-Level Information Processing Policies

The solution must comply with state policy governing information systems including equipment standards, security measures, and policies. The solution will be hosted at DTS using DTS's application hosting service.

Financial Constraints

Financial constraints are significant for the CDSS TANF/CalWORKs Business Analytics and Reporting Solution. The current budget climate requires all agencies to make the most cost-effective use of funds. The proposed solution must consider the costs associated with the full system life cycle, including design, implementation, deployment and ongoing enhancements – not to mention training for users and support staff.

Legal and Public Policy Constraints

The proposed solution will be implemented to help meet the federal TANF and state CalWORKs mandates, in particular the WPR requirements. In addition the proposed solution will help meet data collection, analysis, and reporting mandates such as AB 1808.

The proposed solution must be scalable and flexible enough to accommodate future legislative changes or program objectives that may impact the data collected, analyzed, and reported or the users/stakeholders of the system. Future changes in legislation and

department policies may impact the scope of this effort; additional legislative changes that may impact the program (and the proposed system) are currently before the Legislature.

The new solution must adhere to CDSS and DTS security and privacy policies. It must comply with the Information Practices Act and the California Public Records Act. It must also meet the State Administrative Manual requirements as outlined at <http://sam.dgs.ca.gov/TOC/5300/default.htm>. Applicability of specific policies to this solution will be determined in cooperation with the Information Security Officer and Privacy Officer and documented as requirements in the RFP.

Agency Information Management Policies and Procedures

This project is in compliance with both the Health and Human Service Agency's Office of Systems Integration (OSI) and CDSS's agency information management strategies. Both agencies have adopted formal IT policies and procedures within which the proposed system must operate. Many of OSI's best practices can be viewed online at <http://www.bestpractices.osi.ca.gov>.

Policies and procedures that specifically impact the proposed system will be identified during the requirements definition activity and included in the procurement document.

Anticipated Changes in Equipment, Software, or the Operating Environment

No changes to the IT environment are anticipated to impact the implementation of the proposed solution. The solution will be hosted at DTS. Server and network equipment upgrades and refreshes at DTS will be dictated by DTS policies for infrastructure refreshes. Workstation hardware and software are expected to be upgraded based on regularly scheduled refreshes for the duration of the operational life of the system.

Staffing Availability

The OSI will provide primary IT support for this application. Services that will be required include application maintenance, testing, database support and maintenance, troubleshooting, and security. Since this is a new solution, additional resources will be required. These needs are addressed in Section 5.

Existing Infrastructure

This section provides a broader view of the CDSS and OSI information technology infrastructure to convey key elements of the environment in which the proposed solution must reside. This section begins with a description of the standard workstation configuration and follows with additional infrastructure details to provide the technical landscape of the CDSS and OSI organizations.

Desktop Workstations

A standardized platform of desktop and portable systems is necessary for CDSS to continue its day-to-day business operations. CDSS's desktop, workstation, and laptop standards are compliant with the hardware available through the California Strategic Sourcing Initiative (CSSI). Common desktop, workstation, and laptop configurations available through the CSSI can be viewed at:

<http://www.pd.dgs.ca.gov/StratSourcing/Commonconfiguration-IT.htm>.

IT hardware standards are also published internally on CDSS's intranet at:

<http://www.dss.ca.gov/cdss/infosystems/productstandards.asp>.

CDSS is also currently revising its standard for desktop workstation purchases to be compliant with the federal Electronic Product Environmental Assessment Tool (EPEAT) standards. The CSSI specified devices that CDSS currently purchases are EPEAT rated Gold (18 points).

LAN Servers

Servers on the CDSS LAN support file and print services, user authentication, group scheduling, Internet access, applications, network monitoring, security, and SMS. ISD also supports SAN and blade servers in addition to PC servers. Server hardware must be compliant with the hardware available through the California Strategic Sourcing Initiative (CSSI). If any of the basic PC server configurations (including optional upgrades) fail to meet the minimum system requirements, then an exemption must be submitted. Common server configurations available through the CSSI can be viewed at:

<http://www.pd.dgs.ca.gov/StratSourcing/Commonconfiguration-IT.htm>.

Microsoft Windows Server 2003 is the network operating system for LAN. There are 107 LAN servers located throughout the CDSS as of June 2008. Support and maintenance of CDSS' internal LAN's onsite wiring, routers, DSU/CSUs, LAN switches, and Intranet are functions currently performed by the CDSS ISD.

Every server that has shared files and mail passing through has virus protection. Servers are continually being refreshed as their useful life expires. Other servers are being added to support new functions and processes.

CDSS email services are provided by the DTS.

Network Protocols

The CDSS Wide Area Network (WAN) is managed and maintained by the Department of Technology Services (DTS) and provides multi-protocol statewide access to and from CDSS' private LAN environment. CDSS and its regional offices are connected to the DTS over a mix of T1, T2, T3, and OPT-E-MAN lines. The DTS provides CDSS's Internet service. Network protocols are TCP/IP.

The physical components of the WAN include a combination of managed firewalls and routers that controls security and access for:

- DTS hosted e-mail transactions and servers;
- Connections to mainframe systems hosted by DTS;
- Public access to any Internet services, such as the CDSS homepage;
- Access by public agencies, such as the County Welfare Departments or the federal government; and
- Any other external connection to the private CDSS LAN.

WAN connectivity is defined on a case-by-case basis based on specific application requirements. The service agreement between DTS and CDSS does not specifically describe the network topology used throughout the connection, only the mutually agreed upon level of service.

The WAN service provided by DTS includes all WAN management functions including real time network monitoring, software and hardware support, configuration management, performance analysis and physical access control to equipment. The CDSS headquarters building has a 100MB Ethernet interface connecting it to DTS.

Users requiring wireless access to the CDSS network from laptop devices use the Verizon PC Broadband Aircard.

Application Development Software

New applications are developed using Microsoft software and are Web-based. All Web development takes place on a common IIS server. Web applications are developed using Visual Studio VB.Net and ASP.Net 2.0.

Personal Productivity Software

The Network Client Services Section (NCSS) within the ISD develops and supports a standard software image to set up or restore a complete IT Standard network client device configuration. The CDSS' personal productivity and business productivity software standards include the following:

Exhibit 4.4: CDSS Personal Productivity Software Standards

Software Category	Standard
Business Suite	MS Office 2007, SP1: Word, Excel, PowerPoint, Outlook
File Compression	PKZIP 9.0
Network Access	MS Windows XP Professional, SP2
Operating System	MS Windows XP Professional, SP2
Virus Protection	Symantec Security Client 3.1.7
Web Browser	MS Internet Explorer 7.0
Encryption	Encryption Plus Hard Drive

Exhibit 4.5: CDSS Business Productivity Software Standards

Software Category	Standard
Desktop Publishing	MS Publisher 2007
Database	MS Access 2007, SP1
Database Reports	Crystal Reports
FTP, Telnet, 3270 Emulation	OnWeb (Rumba) Web-to-Host 5.3.1
Internet Document Tools	Adobe Acrobat Reader 8.1.2 Adobe Acrobat 8.1.2
PC Software Loads	Symantec Ghost Corporate Edition 8.2 (mandatory when CDSS Gold Load is used to image the hard drive for software loading)
Project Management	MS Project 2007
Development Tool	Microsoft .NET 2.0
Workflow/Charts	MS Visio 2007

Software standards are also published internally on CDSS's intranet at:

<http://www.dss.ca.gov/cdss/infosystems/productstandards.asp>.

Operating System Software

The application server operating system is Windows Enterprise Server 2003. On the desktop, PCs run on Microsoft Windows XP Professional.

Database Management Software

The CDSS utilizes a variety of database technologies within its environment. The main application database platform for new development is MS SQL Server 2005.

Application Development Methodology

OSI uses a standard System Development Lifecycle (SDLC) application development methodology. The implementation of the proposed solution will be consistent with OSI's methodologies or based on an industry accepted application development methodology proposed by the vendor and subject to OSI approval. OSI's best practices with regard to project management and application development can be viewed online at <http://www.bestpractices.osi.ca.gov>.

Project Management Methodology

OSI has created project management policies and practices for implementing IT projects, based on the Project Management Institute (PMI) and Institute for Electrical and Electronics Engineers (IEEE) project management policies and practices. These project management methodologies are consistent with the Office of the State Chief Information Officer (OCIO) guidelines in Section 200 of the State Information Management Manual (SIMM) for initiating IT projects. OSI's best practices with regard to project management can be viewed online at <http://www.bestpractices.osi.ca.gov>.

5 Proposed Solution

The section describes the recommended solution from a number of perspectives, including the rationale for its selection and the other alternatives considered. The section includes discussions of the costs and resources required for the system, as well as technical impacts and interfaces, approaches to development and integration, and a recommended procurement approach. The contents of this section are outlined in Exhibit 5.1 below.

Exhibit 5.1: Proposed Solution Contents

5.1 Solution Description
5.1.1 Hardware
5.1.2 Software
5.1.3 Technical Platform
5.1.4 Development Approach
5.1.5 Integration Issues
5.1.6 Procurement Approach
5.1.7 Technical Interfaces
5.1.8 Testing Plan
5.1.9 Resource Requirements
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5.1.12 Information Security
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5.1.14 Impact on End-Users
5.1.15 Impact on Existing Systems
5.1.16 Consistency with Overall Strategies
5.1.17 Impact on Current Infrastructure
5.1.18 Impact on Data Centers
5.1.19 Data Center Consolidation
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5.1.21 Public Access
5.1.22 Costs and Benefits
5.1.23 Sources of Funding
5.2 Rationale for Selection
5.3 Other Alternatives Considered

Solution Description

The proposed solution is the implementation of a business analytics and reporting (BAR) system that will provide CDSS with timely and user-friendly access to information about the CalWORKs program's business metrics (e.g., WPR), county progress and potential problem areas, and provide the ability to share more timely, complete, and reliable data with stakeholders. This solution, the CalWORKs Business Analytics and Reporting System (CBARS), will leverage proven technology to use the extensive welfare data currently stored in the county consortia systems. The solution will require the procurement of commercial off-the-shelf software products, system integration services, training, and hardware that best meet the business objectives and the functional and technical requirements presented in this document.

BAR is a broad spectrum of applications and technologies for gathering, storing, analyzing, and providing timely access to better data to support decision making. BAR applications include the functions of decision support systems, query and reporting, proactively alerting users to information based on events and established criteria, statistical analysis, forecasting, and data mining. To help ensure a best value product is selected for CDSS, the proposed solution does not attempt to select a specific BAR software product, but rather presents the proposed solution as a concept that is currently met by numerous vendor products.

Organizations that serve large populations, such as CDSS and the county welfare departments, accumulate huge amounts of data as part of their day-to-day operations. However, gathering this data and sifting through it have become increasingly difficult tasks. Organizations have realized that vast data stores are not useful if the data they contain are inaccessible. BAR tools, therefore, seek to gather and organize data from disparate data stores, define context for that data, and assist users in deriving meaning from it so it can be used to help organizations better manage themselves. BAR technology has seen significant advances in the past ten years. BAR encapsulates a broad range of technologies, software applications and business practices that allow businesses to distill data into useful information that can be shared with large stakeholder groups.

The primary goal of BAR tools is to help people make better decisions faster. CBARS will support CDSS's management information needs by providing a portal to easily access CalWORKs program data in an efficient and effective manner, rather than cobbling together data from disparate sources. CBARS will provide an easy to understand user interface that can be easily customized for individual users or work groups.

In addition, by implementing a flexible and scalable solution with BAR tools, the project will lay the architectural foundation for incorporating additional data relevant to other CDSS programs, other HHS Agency departments, and the county welfare departments as part of future projects. The solution is consistent with the OCIO's vision of "shared services providing the essential foundation for collaboration and efficient, secure data

sharing among agencies”¹⁹ by providing a flexible and scalable architecture that can incorporate additional data relevant to other HHS Agency programs.

An organization can use BAR and portal tools to gather data relative to its objectives and reflect on how events and actions may impact those objectives. Through continuous analysis, an organization can tune its data collection process and, if necessary, adjust actions to improve outcomes. As the cyclical process of data collection and analysis improves and the feedback loop between cause and effect shortens, organizations are able to make better decisions in a timelier manner.

Good decisions depend on good information and BAR tools can assist organizations in acquiring good information by bridging the so-called "analysis gap" between the information that decision makers require and the slew of data that businesses collect every day. The county consortia automated welfare systems store vast amounts of CalWORKs program data. CBARS will leverage BAR tools to support the decision making process and maximize the value of data currently collected.

BAR tools provide access to huge stores of data, but filter and aggregate that data into information that is relevant to decision makers. BAR tools also provide the capabilities to drill down to analyze data in detail, to develop and test analytical models, They also allow users to view the data from a variety of different perspectives in a variety of different formats including tables, charts and graphs. By providing users with a flexible and condensed view of program data, decisions makers can apply key performance indicators for their particular areas of interest and track them accordingly.

BAR tools can help an organization achieve the following through technology:

- Consolidate and analyze data from disparate sources;
- Apply measurable, quantitative facts to measure progress and outcomes;
- Use a systematic methodology for analyzing those facts;
- Develop models to explain the cause and effect relationship between actions and effect.

BAR tools have been successfully implemented in other State of California agencies as well as local government agencies in California, and have helped to achieve improved business objectives with better access to data across the enterprise. Several examples of State of California agencies and local government agencies that have implemented BAR solutions are listed below:

- State of California Agencies
 - Administrative Office of the Courts
 - California Public Employees' Retirement System
 - Department of Corrections
 - Department of Forestry and Fire Protection
 - Department of Health Care Services
 - Department of Industrial Relations

¹⁹ Office of the State Chief Information Officer, *California Information Technology Program*, accessed on June 1, 2008, <http://www.cio.ca.gov/About/calIT.html>.

- Department of Insurance
- Department of Transportation
- Department of Water Resources
- Employment Development Department
- Prison Industries Authority

- Local Government Agencies
 - City and County of San Francisco
 - Fresno County Human Services System
 - Los Angeles County Sheriff’s Department
 - Los Angeles Police Department
 - Los Angeles County Department of Public Social Services
 - Los Angeles County Auditor
 - Los Angeles County Department of Mental Health
 - Los Angeles County Probation Department
 - Metropolitan Water District of Southern California
 - San Francisco Public Utility Commission
 - Santa Barbara County (all county departments)
 - Santa Clara County Finance Agency
 - Santa Clara County Public Health Department
 - Santa Clara County Probation Department

Some California county welfare departments, such as Los Angeles and Fresno counties, have implemented BAR systems to analyze and report on data from their respective automated welfare systems. CDSS, like other organizations, would benefit from implementing BAR tools to support its efforts related to administering the CalWORKs program.

Solution Conceptual Architecture

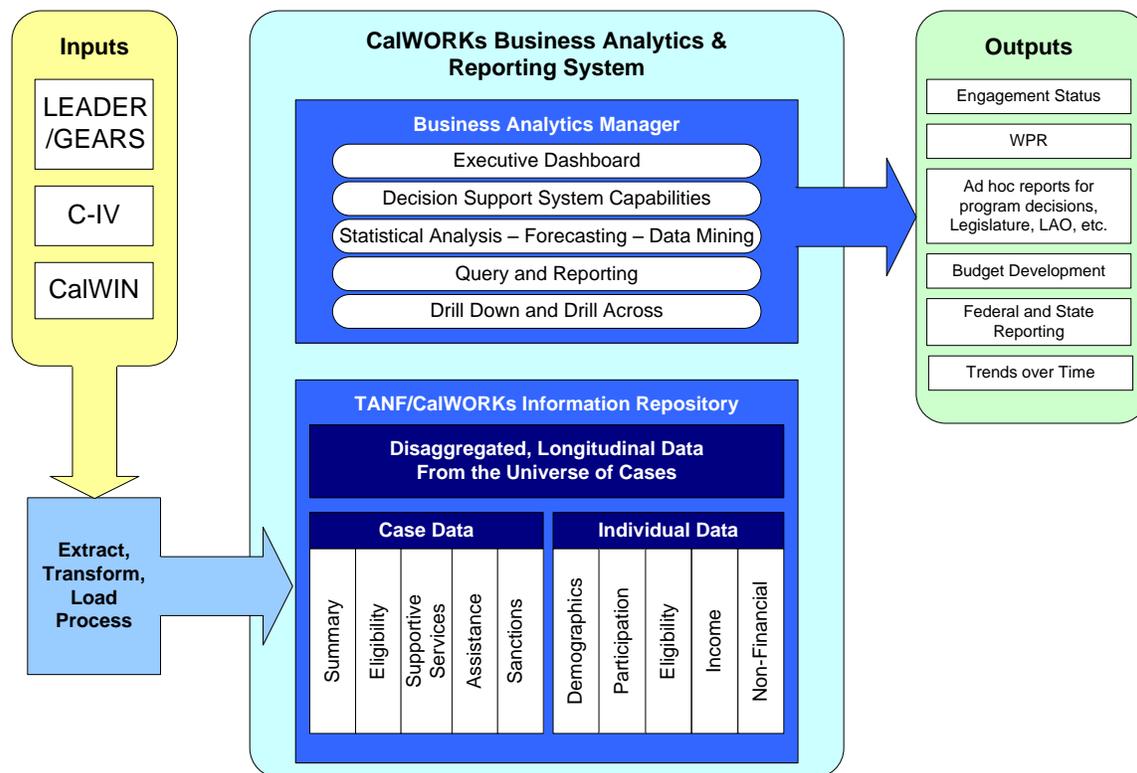
While the bidding vendors will determine the detailed structure of the actual solution, the diagram in Exhibit 5.2 on the next page illustrates the conceptual architecture of the proposed solution.

Some of the key features of the proposed CBARS solution are:

- The solution will provide statewide and county-by-county views of TANF/CalWORKs case and individual data.
- Users can drill down for detailed data, or drill across to view the same data details for multiple counties, or clients.
- The solution will store point-in-time data, as well as data-over-time (longitudinal) data.
- Users can perform statistical analysis, trending and forecasting.
- Data will be consolidated from primary source systems, rather than intermediary systems, so the data is as reliable, accurate, and as timely as possible.
- Executive management will be able to view key indicators on a “dashboard” and quickly and efficiently drill down into detailed information.

- Web-based architecture promotes a cost effective support and maintenance environment by eliminating the need to maintain thick client applications that are loaded on CDSS desktop computers.
- Flexible architecture can support additional data sources and can be scaled up to support child well being and poverty, which are mandated under AB 1808, as well as additional CDSS programs (Food Stamps, Child Welfare Services, etc.), HHS Agency programs, and county welfare departments as new business needs are identified.

Exhibit 5.2: Solution Conceptual Architecture



This solution will help CDSS better assist clients in achieving self-sufficiency, will help mitigate the risk of federal penalties and cost increases, and will enable CDSS and counties to more effectively understand and proactively manage its program. This solution will also provide a foundation upon which the department and counties can build in future projects, enhancing the counties’ efforts to increase the participation of CalWORKs adults in allowable welfare-to-work activities that lead to self-sufficiency.

Partnership with OSI and OCIO

CDSS has partnered with the Health and Human Services Agency’s Office of Systems Integration (OSI) to successfully deliver this project. OSI provides information technology project management services to its clients in the Health and Human Services Agency (HHS). The highly relevant experience of its managers and staff make it an obvious choice to manage this critical information technology project for CDSS. Over the course of more than 12 years, OSI has identified and improved upon effective project management standards, processes and tools. These best practices are derived from a

broad range of sources including HHS experience, consultant staff expertise, and recognized industry standards such as those developed by the Institute of Electrical and Electronic Engineers (IEEE) and the Project Management Institute (PMI).

OSI will provide the staff to fulfill the Project Director role, as well as all technical roles. CDSS will provide overall project sponsorship, program and business expertise, and project funding.

In addition, CDSS and OSI have jointly requested the involvement of the Office of the State Chief Information Officer in this critical project. The role of the OCIO will be to advise the Executive Steering Committee throughout the project to ensure that the proposed solution successfully provides the architectural foundation for shared services to other CDSS programs, HHS Agency programs, and other stakeholders. The OCIO will also provide guidance to the Executive Steering Committee to ensure that the proposed solution adheres to the goals, objectives, and strategies of the State's IT Strategic Plan.

The following sections have been completed in accordance with the FSR Guidelines. Since specific software and a systems integrator have not yet been selected, certain information cannot be provided at this time. However, assumptions and expectations are described that will be validated during the procurement process.

Hardware

The new CDSS CBARS will be housed at the Department of Technology Services (DTS) Data Center. DTS will be responsible for the procurement, installation, provisioning, and maintenance of server hardware. The maintenance of the server hardware; operating system software upgrades and maintenance; operating system security administration; and back up and recovery, including offsite storage are included as part of the base services.

DTS supports the AIX, Solaris, and Windows server platforms. Market research of BAR software and a review of similar solution implementations has confirmed that the hardware platforms and server options supported by DTS will meet the needs of the solution. CBARS will require a combination of midrange servers that are built for maximum scalability and high availability. The solution will require both a production environment and a development/test/training environment. The county welfare automation consortia will send data extracts via secure file transport protocol (SFTP) to the database server, where the extraction, transformation, and load process will be performed. After loading into the CBARS database, the original consortia extracts will be archived and removed from the database server.

It is estimated that the following four servers will be required:

- Production
 - 1 Database Server – 4 dual core processors, Sun Solaris or Windows Operating Systems, 8 GB RAM, 120 GB of external storage
 - 1 BAR and Web Portal Server – 4 dual core processors, Sun Solaris or Windows Operating Systems, 8 GB RAM, 120 GB of external storage

- Development, Test and Training
 - 1 Database Server – 2 dual core processors, Sun Solaris or Windows Operating Systems, 4 GB RAM, 60 GB of external storage
 - 1 BAR and Web Portal Server – 2 dual core processors, Sun Solaris or Windows Operating Systems, 4 GB RAM, 60 GB of external storage

Software

The software required to implement the CDSS CBARS includes the following:

- Extract, Transformation and Load (ETL) software, e.g., Ascentia, Informatica
- Relational Database Management software, e.g., Oracle, Microsoft
- Business Analytics and Reporting software, e.g., Cognos, Business Objects, SAS

System-level software (operating system, security software) will be provided and maintained by DTS. The OSI team will be responsible for upgrades, patches and application support of the selected software products that will be selected through the procurement process.

Technical Platform

The technical platform must be based on industry standard servers and will comply with the DTS technical environment. Based on market research, it was determined that all top-tier BAR solutions support platforms that are based on the major UNIX variants and/or Microsoft Windows. Through the procurement process, the system integrator will be required to propose the specific technical platform including operating system, specific hardware specifications, and software for all components of the solution.

Development Approach

A systems integrator will be procured to design, develop, and implement the CDSS CBARS solution. The specific development approach will be proposed by the system integrator, but is expected to follow existing CDSS development standards (which will be documented in the RFP, as appropriate), including a structured methodology for the entire development life cycle from design through maintenance.

A phased approach (described in Section 6) will be used to mitigate risk and provide a structured method for the complexity associated with extraction, transformation and loading of similar data from three different consortia systems. The phased approach will enable CDSS to reap benefits at the implementation of each phase and quickly address the most pressing business needs.

Integration Issues

CBARS will interface with each of the county consortia automated welfare systems. In addition to a one-time load consisting of one year's data, each of the consortia systems will send extracts to CBARS on a weekly basis, consisting of three months of CalWORKs case and individual data. The three months of data provided on a weekly basis is necessary in order to capture changes in the data since the last extract and to account for quarterly reporting by clients for the CalWORKS program. The success of the CBARS solution is heavily reliant on the ability to successfully extract this data and transform it into a standard format that is consistent across all consortia. During the Requirements and Interface Design Phase of the project, CDSS and OSI will work with the SAWS consortia project managers and the county welfare departments to complete the development of detailed interface, data requirements and translation rules.

Procurement Approach

Procurement of the BAR solution and integration services to implement CBARS will follow the Department of General Services's (DGS) policies and procedures. A Request for Proposal (RFP) will be issued to solicit vendor proposals for the new CBARS. The proposed product(s) will be required to meet the business objectives and the functional and technical requirements, and the potential integration vendors will be evaluated by their relevant experience with implementing BAR solutions of similar size and scope. A contract will be awarded to a vendor that is determined best able to provide the products and services to successfully and cost effectively implement CBARS. The overall strategy for procuring the software system integrator will be described in more detail in the Information Technology Procurement Plan.

In addition to the contract for the software product(s) and integration services, CDSS will also contract with a third-party vendor to develop interface/extract specifications, data definitions and data transformation rules, and assist with the development of the Request for Proposal. This vendor's services will be procured using CMAS or IT MSA contract vehicles.

DTS services for hardware, system software, network connectivity, system backup and recovery, and system security and monitoring support services will be provided within the scope of a service agreement.

The current estimated procurement schedule is outlined as part of the Project Management Plan presented in Section 6 of this report. Additional detail for the procurement solicitation for the software vendor and systems integrator will be provided in the ITPP.

Technical Interfaces

The CBARS solution must interface with all of the county consortia welfare automation systems including C-IV, CalWIN, LEADER and GEARS. The CBARS solution will receive TANF/CalWORKs data from the consortia systems as part of an initial load (one year of data) at go-live, as well as on an a weekly basis. As part of the ongoing load, the consortia systems will include point in time data for the last three months to account for

any retroactive changes. In addition, on an as needed basis, the state may require a reconciliation to be done if the data in the consortia eligibility systems have changed retroactively due to program, policy or system changes. CBARS solution will have an extract, transformation and load process that will be used to transform the data received from the consortia systems into a standardized format that is better optimized for reporting and analytics.

The state will release a solicitation through CMAS to procure services of a consultant who, at the direction of the Project Director, will work with the state's subject matter experts, SAWS consortia project managers and the counties to develop interface/extract specifications for the data definitions and transformation rules. These interface specifications will be included as requirements in the procurement for the system integrator who will be required to conform to these interface specifications that are needed to meet the state's business and technical requirements.

The data contained in the consortia systems will need to be standardized in order to consolidate it for statewide reporting. The consortia systems contain data that meets the specific needs of the TANF/CalWORKs program as applied in their respective counties. For example, individual counties have the ability to define and maintain their own work related activities in the consortia systems. All of these activities will need to be mapped to the standard work activities that are defined by the federal government and the state. Mapping related data for all 58 counties will be a very complex undertaking requiring the state to work collaboratively with the individual counties and the consortia. This mapping is vital to the success of the overall CBARS interface development and solution. On an ongoing basis, OSI will assign a Reference Table Manager and Consortia Coordinator with knowledge of CalWORKs program data that will be responsible for maintaining these data mappings.

Testing Plan

The overall objective of the testing process is to validate that the production system, both functionally and technically, meets and/or exceeds the requirements and expectations of the State of California. The integration vendor will be required to propose, plan, execute and complete both functional and technical testing that meets CDSS standards, with input from CDSS and the project oversight/IV&V team. Acceptance testing plans will be developed by CDSS with the assistance of the integration vendor.

The scope of testing broadly covers the functional and technical aspects of CBARS and will be carried out during the entire course of the solution development and implementation. Test cases, scenarios, and test scripts will be completed for each type of test and will be executed during the corresponding test phase. All test cases and test scripts will be mapped to the functional and technical requirements to measure the completeness of the testing efforts. Test results will be documented and archived for all testing that is conducted. All test results will be verified and validated by CDSS prior to final approval.

The different testing levels related to the CBARS project are described in the sections that follow.

Functional Test Strategy

Functional testing will be performed to validate that the data received from the consortia systems is complete, conforms to the specifications and the data is transformed per the business rules to meet the business and system requirements. A key aspect of the functional testing will be focused on the ability of the solution to accurately provide all of the TANF/CalWORKs reporting and business analytics that is vital to meet the state and county business needs. TANF and CalWORKs have different policies and rules and will require additional testing.

Functional testing will be structured in a building block approach. The testing will start at the lowest level of dependency (unit test) to make sure the application and programs function as required. The different levels of functional testing include the following:

- *Unit testing* is focused on confirming that each individual module or component works in accordance with the specifications. This testing will be performed by the developers within each functional area. The Unit testing will be focused on the consortia extracts, the transformation and loading of the data per the business rules and the generation of the report components.
- *Integration testing* confirms that the CBARS solution is built to meet the system requirements. All canned and ad hoc reports, Extractions and Transformation will be tested as part of Integration testing performed on a separate integration test platform.
- *System testing* is focused on ensuring that the whole system works together and is the final testing done by the Systems integrator before the software is handed over to the state for user acceptance testing to be performed on hardware closely resembling the production environment.
- *Pilot testing* confirms the behavior of the system in the users' actual environment. The Pilot testing for CBARS will be focused on verifying that the ETL, Reporting and Business Analytic components all work in conjunction to meet the business needs. Pilot testing will allow the state an opportunity to identify and resolve major system and process issues prior to implementing the remainder of the modules. It is envisioned that the Pilot testing will be done with the counties in one of the consortia systems before the solution is implemented statewide with the remainder of the consortia systems. The Pilot Testing will help ensure that the Reporting Modules work for all consortia and only the ETL logic will need to be changed as each consortium is different.
- *User acceptance testing* confirms that the system fulfills the state's user requirements and is accepted. This is the final functional test of the system. The state will execute this test and will be performed in the test environment. Final sign-off by the state will be required prior to implementation of the system. The state user acceptance testing team will be comprised of staff from the eligibility bureau, employment bureau, CalWORKs and Food Stamps Estimates Bureau, fiscal policy bureau, federal data reporting and analysis bureau and staff from OSI. In addition, select subject matter experts from the counties and consortia will be involved to validate the reports being produced by the system. This testing will be conducted in an environment closely resembling the production environment.

Technical Test Strategy

The integration vendor, with input from OSI and CDSS, will perform technical testing to confirm that the hardware and standard software perform adequately and meet the state's technical requirements. The different levels of technical testing and their purposes are as follows:

- *Performance testing* determines how well the system performs in relation to the performance objectives. The application characteristics that can be measured during performance testing include response time, throughput, resource utilization and system behavior under varying degrees of load. This testing would be performed by the system integrator in parallel with system testing.
- *Security testing* confirms that the application, network and system security functions meet the requirements of CBARS. This testing would be performed by the technical team in coordination with DTS resources and would be done in parallel with the functional system and user acceptance testing.
- *Regression testing* confirms that any new designs, changed designs, or added functionality does not negatively impact the production system functionality. Regression testing occurs at each point in the project where new or modified functionality is released to production.

Resource Requirements

The proposed solution will require the participation of staff from both CDSS and OSI. Internal PY estimates that represent the various CDSS employees involved in the project were made across phases based on prior CDSS and OSI projects, information from other State of California implementations, and market research. The estimates, by fiscal year:

Exhibit 5.3: One-Time State Staffing Requirements

Role	Org	Term	FY 09-10	FY 10-11	FY 11-12
Project Director	OSI	Temp	0.83	1.00	1.00
Technical Lead	OSI	Perm	0.83	1.00	1.00
Project Controller	OSI	Temp	0.83	1.00	1.00
Database Administrator	OSI	Temp	0.00	0.33	0.92
System Developer	OSI	Perm	0.83	1.00	0.92
Tester/ Subject Matter Expert	OSI	Temp	0.00	0.33	0.92
Reference Table Mgr	OSI	Perm	0.00	0.33	0.92
Information Security Officer	OSI	Redirect	0.08	0.10	0.07
Procurement Analyst	OSI	Perm	0.83	1.00	0.00
Administrative Support	OSI	Redirect	0.00	0.33	0.92
Program Lead	CDSS	Temp	0.83	1.00	1.00
Program SME's	CDSS	Temp	0.83	1.00	1.00
Admin SME's	CDSS	Temp	1.67	2.00	2.00
Independent Project Oversight	CDSS	Perm	0.83	1.00	1.00
Independent Verification & Validation	OCIO	Temp	0.83	1.00	1.00
Totals			9.25	12.43	13.65

The roles and responsibilities of each of these staff are described in Section 6.7 Roles and Responsibilities. Workload analyses for the new positions are included in Appendix B – Workload Analysis for New Positions.

With regard to the new CDSS positions, The Program SME's and Admin SME are new full-time, limited term positions that must have CalWORKs subject matter expertise. CDSS expects to be able to find retired annuitants with CalWORKs program knowledge who can provide their expertise on a temporary basis. If retired annuitants with CalWORKs knowledge are unavailable, CDSS will provide current staff with CalWORKs knowledge and backfill their positions with the new temporary PY's.

The Independent Project Oversight role requires a new full-time position, as well. The Oversight role cannot be funded through redirection, as the existing ISD Oversight PY's are overseeing eight IT projects. Of the eight projects, five are high criticality, statewide integration projects and three are medium criticality. One of the three projects is being overseen by an OSO staff, not a contractor. In order to meet the Oversight needs of these projects, CDSS has already temporarily redirected resources to supplement the Office of Systems Oversight's budgeted positions. Further redirection is not possible, and therefore additional staff is required so that appropriate oversight can be provided for CBARS. The workload analysis to justify a full-time IPO position for the CBARS project has been added to Appendix B.

The Independent Verification and Validation role requires an SSS III position to be transferred from the OCIO to the CBARS project. The cost of the IV&V role to the project is included in the economic analysis worksheets in Section 6 and in the workload analysis in Appendix B. Upon completion of the project, the position will transfer back to the OCIO and be reassigned to other projects.

The Information Security Officer and Administrative Support roles are being funded through redirection.

On-going state staff will be required beginning in FY 2011-2012. It is envisioned that the CBARS system will need 3.5 on-going PYs for continuing operations, enhancement and support. The estimates, by fiscal year:

Exhibit 5.4: Ongoing State Staffing Requirements

Role	Org	Term	FY 11-12	FY 12-13
Technical Lead	OSI	Perm	0.08	1.0
System Administrator	OSI	Perm	0.08	1.0
Reference Table Mgr	OSI	Perm	0.08	1.0
Super User Report Developer	CDSS	Perm	0.04	0.5

In addition to state staff, required contractor resources include:

- Vendor to develop interface/extract specifications, data definitions and transformation rules, and assist with the development of the Request for Proposal.
- Integration services vendor to provide system integration services, software and tools to develop and deliver the CBARS solution.

Descriptions of vendor and state staff roles and responsibilities are detailed in Section 6, Project Management Plan. Costs for all of the proposed resource requirements are detailed in Section 8, Economic Analysis Worksheets. Workload analyses for the new positions are included in Appendix B – Workload Analysis for New Positions.

Training Plan

The implementation of a new CBARS will require training for the end users, super users, technical staff supporting the new system, and for the project team. The super users are the users who will be using the enhanced reporting capabilities of CBARS and will be running ad hoc queries to meet stakeholder and program requests. The end users who would constitute the vast majority will be trained to use the basic functions that are needed to view, sort and interpret the canned reports from CBARS.

The state envisions using a comprehensive approach to training for the above user groups. Super users, Technical and project team staff will be trained by the selected integration vendors through a combination of training classes, technical guides, computer based training and hands-on-observation/participation. The observation/participation component is of critical importance so that state staff can take

on all responsibilities for technical support, maintenance and most modifications and enhancements of the system after vendor disengagement.

The numbers of users of each type that will receive training are:

- 10 super users
- 90 normal users
- 3 information technology managers and staff

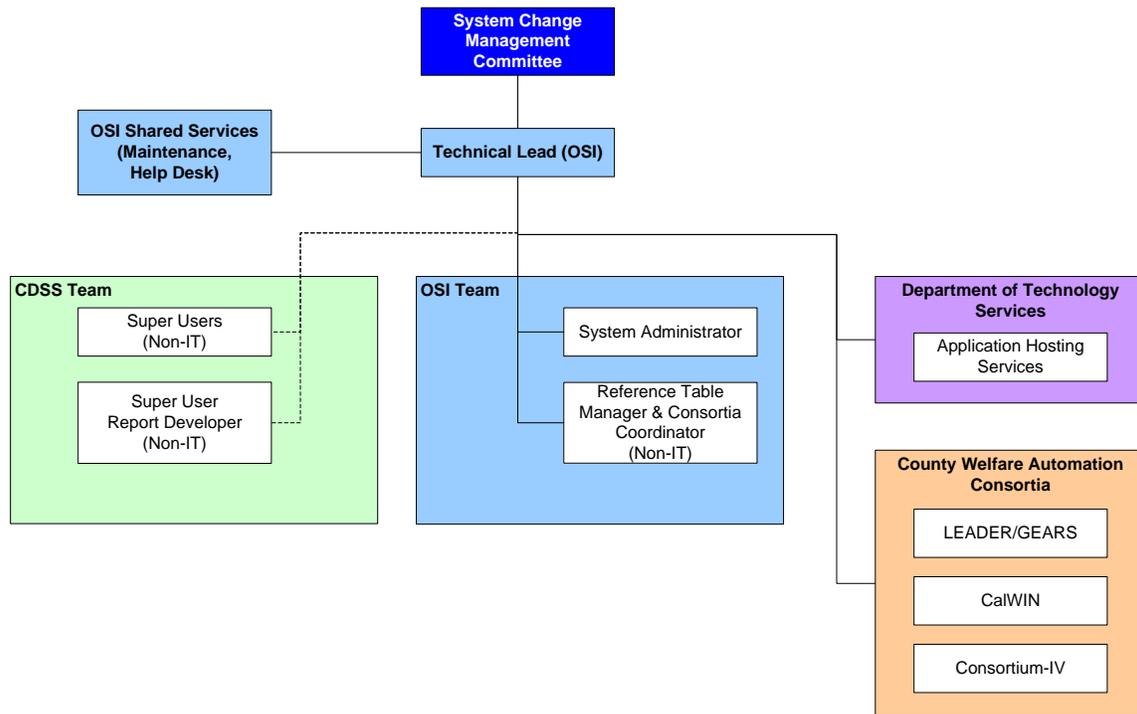
The system integration vendor will be responsible for developing a training plan. End user training will initially be provided through a vendor-led, train-the-trainer approach. Documentation, training materials and tools will be developed and utilized as part of the vendor contract. Subsequently, the state “super users,” comprised of staff from the Employment and Eligibility Branch and Estimates and Research Services Branch, will be responsible for the training of new users as they begin to use the new system.

Section 6.6.4 Project Phasing describes the phased approach for design, development, and implementation of the CBARS system. Data from the three consortia systems will be incorporated into CBARS sequentially. User training will take place in Phase 4 prior to implementation of the first consortium’s data. Training will not be required prior to the implementation of the remaining two consortia’s data (Phases 5 and 6) because the same users will continue using the system. There will not be any new users added in subsequent phases. The only change will be the addition of more counties’ data; the reports and system functionality will remain the same. End user support will be provided by Super Users within each business.

Ongoing Maintenance

Ongoing maintenance of the proposed solution will be provided by several parties. The ongoing organizational structure is shown in the diagram below.

Exhibit 5.5: Ongoing Organizational Structure



Responsibilities for ongoing maintenance are described below:

- *OSI Shared Services* – OSI will have overall responsibility for maintaining the CBARS system. In addition to the specific maintenance activities performed by the OSI IT staff assigned to the CBARS system, OSI will provide its ongoing support infrastructure, including help desk services, to support the CBARS system.
- *OSI IT staff* – OSI will be responsible for operating, maintaining, and patching applications, databases, and interfaces and providing guidance for requirements, design and architecture of the solution over time. OSI will also be responsible for ongoing training of IT staff. OSI’s Reference Table Manager and Consortia Coordinator will also be responsible for coordinating and maintaining the data relationships between the consortia systems and the CBARS system.
- *CDSS Super Users* – The super users are non-IT staff who are TANF/CalWORKs data experts and expert users of the CBARS system. The super users will provide first level support to the average CDSS users of the system. End-user training will be performed by super users. The Super User Report Developer is a non-IT staff that will be responsible for developing complex reports that are beyond the capabilities of the other super users.

- *DTS* – On-going technology refreshes, operating system upgrades and patches, server administration, server and network monitoring and management, back up and recovery, capacity planning and on-going management of storage and other server and network related services will be managed by DTS. DTS facilities, equipment, and support costs are reflected in the Economic Analysis Worksheets.
- *County Welfare Automation Consortia* – The consortia will be required to send electronic data extracts of three months of TANF/CalWORKs data from the consortia systems on a weekly basis. The consortia will also work with the OSI Reference Table Manager and Consortia Coordinator to ensure that changes to the data structures in the consortia systems are reflected in the CBARS system.

In addition to ongoing maintenance, warranty support will be provided by the system integration vendor and product vendor(s), as described below:

- *System integration vendor* – As described in Section 6.6.4 Project Phasing, the systems integrator for the CBARS project will be required to provide three months for transition, knowledge transfer, and post-implementation support following the go live of the final consortia. The systems integrator will be the primary contact for all maintenance issues, questions, and problems, except for hardware and software managed by Department of Technology Services. During this post implementation support period, the contractor will re-perform any work not in compliance with the requirements of the contract at no charge to the state. The requirements for final CBARS solution acceptance will be defined in the procurement solicitation document.

In addition, the system integration vendor will be responsible for warranty support in compliance with the state’s IT General Provisions and the relevant IT Contract Modules. Additional warranty requirements that the integration vendor must meet will be defined during the requirements gathering phase of the project.

- *Product vendor(s)* – Product vendors for the BAR, ETL, and database software will provide upgrades and patches to the COTS products that are used in the solution. The cost of the annual software maintenance fees are included in Section 8 Economic Analysis Worksheets.

Information Security

The approach for Information Security will be consistent with the state’s information security program guide developed by the State Office of Information Security and Privacy Protection. The security requirements for the CBARS project have been developed by reviewing all of the information assets for CBARS that need to be protected from unauthorized access. These information assets include physical assets (hardware, storage), software assets (BAR software, database, etc.) and CalWORKs case and individual data resident in CBARS. The systems integrator will implement a solution that incorporates system security and data integrity as part of its overall solution and technical architecture.

To protect the confidentiality, sensitivity and privacy of the CBARS case and client data, security will be enforced at the application, system and network layer. The following are the major application security requirements.

- All users must be authenticated before granting access to application resources and functions.
- All sensitive data including passwords must be encrypted and stored in the system.
- Passwords must meet minimum length and complexity requirements.
- Users must be required to change passwords after a specified period.
- All unsuccessful attempts to log in to the application will be logged; the system administrator can set the maximum number of unsuccessful attempts that are allowed.
- Sensitive or classified data sent over the public internet and to external systems must be encrypted using Secure Sockets Layer.
- As sensitive, confidential, and personally identifiable information will be stored in the database, this information must be encrypted at rest or at least in the backup tapes that will be taken offsite.
- All access to data and reports will be audited and logged.

The system and network security will be implemented by DTS consistent with the security requirements and policies for all enterprise-wide systems at DTS. DTS employs a number of security methods using firewalls, routers, and intrusion prevention systems. DTS will use a Demilitarized Zone (DMZ) to provide controlled access to external users and increased protection to the state’s internal network.

Confidentiality

The techniques employed to ensure system security and integrity, as well as control access to data, are discussed in Section 5.1.12, Information Security. These techniques ensure the required confidentiality of the solution. The solution will adhere to the confidentiality requirements as stated in the State Administrative Manual. The solution will also comply with the confidentiality requirements of CDSS. The confidentiality requirements for CDSS pertain to confidential data that is defined as information, the disclosure of which is restricted or prohibited by law. Examples of confidential information include, but are not limited to, public social services client information described in California and Welfare Institutions Code Section 10850 and “personal information” about individuals as defined in California Civil Code Section 1798.3 of the Information Practices Act (IPA). In addition, all data that is transmitted from the consortia systems to CDSS shall be encrypted if the disclosure of the “personal information” is not allowed by the IPA. Confidential data includes personal identifiers and this includes data such as name, social security number, address and date of birth.

Impact on End Users

This project will have a significant impact on the end users by mitigating the problems described in Section 3.2. In order to have the desired impact, users will need to be trained not only how to use the new system, but also what its capabilities are and what data it contains. As described in Section 7 – Risk Management Plan, acceptance by users is not anticipated to be a significant risk, because the end user group, from the

executive level to the staff level, are uniformly anxious for as much detailed information about the CalWORKs program as the system can provide. Rather, the most significant impact on end users that must be accounted for is training them about the data that is available in the system and the system's analytical capabilities in order to ensure the full benefit of the new system is received.

This system is not expected to have a significant negative impact on users' workload. The work being performed will remain largely unchanged. However, users will perform their work using more timely, complete, reliable, and detailed data.

The approaches to Training and Change Management are described in their respective sections, 5.1.10 and 6.11.

Impact on Existing Systems

Existing systems that will be impacted by the CBARS solution consist of the three remaining County Welfare Automation Consortia Systems (LEADER, CaWIN, and C-IV) and the CDSS Longitudinal Database. The impact to the consortia systems will be limited to extracting TANF/CalWORKs data (12 months of data initially, followed by three months of data on a weekly basis). This will require each of the county consortia to develop and test data extract scripts, to run the scripts at pre-defined intervals, and to submit the resulting data extracts to the state. No data will be returned by CBARS to the consortia systems.

The Longitudinal Database contains Medi-Cal welfare monthly enrollment data from January 1987 to the present of all AFDC, TANF and CalWORKs recipients. This repository of twelve years' data will continue to be valuable to the TANF/CalWORKs program and will continue to be maintained. The Longitudinal Database, consisting of a set of flat files that are uploaded into a PC-resident version of SAS, will take additional relevant data from the CBARS system.

With the implementation of CBARS, the existing state systems will continue to be used for the purposes for which they were developed. However the state will examine opportunities to retire these systems in the long term and expand CBARS to include the same functionality and historical data. In the long term, the state would also look at the existing reports such as CA 237, WTW 25 and WTW 25A being produced by the counties to determine if any of these reports can be eliminated.

Consistency with Overall Strategies

From a business perspective the CBARS project is in compliance with the CDSS Strategic Planning Goal Six: To seek opportunities to develop better programs and services by partnering with state and local service agencies. This project not only requires participation with county welfare departments and welfare automation consortia to meet the project's immediate objectives, but the project will lay the architectural foundation for incorporating additional data relevant to other CDSS programs, other HHS Agency departments, and the county welfare departments.

The proposed CBARS solution will be compatible and consistent with the overall technology standards and direction of the OCIO. The solution is consistent with the

OCIO's vision of "shared services providing the essential foundation for collaboration and efficient, secure data sharing among agencies"²⁰ by providing a flexible and scalable architecture that can incorporate additional data relevant to other HHS Agency programs. From a tactical perspective, this consistency is also reflected in the partnership with the HHS Agency's Office of Systems Integration for its project management expertise and by the use of DTS data center facilities, equipment, and services.

The CBARS project is also in compliance with the department's IT strategies as documented in the 2007 Agency Information Management Strategy. Goal 4 states: "Maintain an IT infrastructure that has the flexibility to support today's service needs and evolve successfully as the service needs change in the future." The CBARS solution is designed in such a way as to ensure flexibility to meet changing needs and scalability to accommodate additional users and data.

In addition, the CBARS Steering Committee identified the following principles to guide the planning and development of the proposed solution:

- The solution must be based on a flexible, scalable, and reliable technology platform to accommodate the current and future business needs of the state and counties.
- The solution must be under state control in order to minimize dependence upon external agencies or service providers.
- The solution must be maintainable by CDSS and OSI in the long-term.
- The solution must comply with CDSS and OSI confidentiality and security requirements.
- The solution must comply with the State of California Information Technology Strategic Plan and California Enterprise Architecture Program.
- The solution's hardware and software components should be hosted at DTS.
- The solution should utilize the system of record as the primary data source for input.
- The solution should leverage existing state and county investments to the extent reasonable.
- The solution must support the Director's vision to better prepare California to meet federal WPR requirements and increase statewide WPR.
- Use enterprise-wide reporting tools as the base software to meet the reporting capabilities
- The solution must be cost-effective.

²⁰ Office of the State Chief Information Officer, *California Information Technology Program*, accessed on June 1, 2008, <http://www.cio.ca.gov/About/calIT.html>.

Impact on Current Infrastructure

The proposed solution and associated costs assume that all hardware will be physically housed at DTS and the application will be thin client (browser based). Assuming that an estimated 10 percent of the system's users perform a query or view a report at any given time, with a maximum file size of 50kb to 100kb for each query/report, the solution will not significantly impact the CDSS's 100MB network. No modifications to CDSS or state local area network or other existing infrastructure are expected to be necessary.

Impact on Data Centers

The necessary hardware, system software, network connectivity, and data center expertise will be supplied by DTS. It is estimated that data center costs will amount to \$754,696 during the project; there will be \$565,356 per year in ongoing data center costs to support the new solution.

Data Center Consolidation

As noted earlier, the proposed solution for CBARS will be housed at the DTS in a manner consistent with state requirements. The project will abide by the requirements, policies, and procedures of DTS.

Backup and Operational Recovery

CBARS backup and operational recovery strategies will be in compliance with the state's Operational Recovery Plan standards (as defined in SIMM 65A). CBARS's backup and recovery needs will be developed to reflect the criticality of the data it contains. In the event of a data center disaster, the state will leverage standard backup and recovery capabilities of DTS.

Public Access

The public will not have direct access to state databases, nor will any private sector organizations. Consistent with Section 27.6 of AB 1808, CDSS on a periodic basis, but no less frequently than a quarterly basis, may publish available TANF/CalWORKs reports by counties regarding caseload characteristics, welfare-to-work performance outcomes, engagement rates, and other outcomes.

Costs and Benefits

As detailed in Section 8, Economic Analysis Worksheets, the estimated total one-time cost for procurement, development, and implementation of the proposed solution is approximately \$12.3 million over three years as shown in Exhibit 5.6. The annual continuing maintenance cost of the new system is estimated at approximately \$1.1 million and will begin in FY 2011-2012. A more detailed analysis of these costs is provided in Section 8, Economic Analysis Worksheets.

Exhibit 5.6 Project Cost Estimates

Project Costs	2009-2010	2010-2011	2011-2012	2012-2013	TOTAL
One-time	1,819,638	4,227,837	6,241,594	-	12,289,069
Continuing	-	-	93,641	1,123,688	1,217,329
Total Project Cost	1,819,638	4,227,837	6,335,235	1,123,688	13,506,398

These cost estimates are based on costs provided by the vendor community, costs from other similar implementations, and team members' expertise and empirical experiences. The CBARS Project will be managed to contain those factors that can impact cost and that are under the control of the project staff. These factors include project scope and complexity, business functionality, and project timelines. There are certain impacts to project cost that are beyond the control of the project staff, including inflation, software and consulting market trends, and state fiscal considerations.

Benefits

Benefits accruing to CDSS, the county welfare departments, and other stakeholders from implementing the CBARS solution include:

- Quick and easy access to TANF/CalWORKs aggregated and disaggregated data, including case specific and/or client specific details over time.
- The ability to accurately assess the counties' performance in meeting the TANF work participation rates in time to make proactive decisions about the direction of the state's program or to provide technical assistance to counties that are at-risk of not meeting their WPR.
- Enabling CDSS to provide timely technical assistance to those counties which are facing challenges in keeping clients engaged in allowable WTW activities or in meeting their WPR.
- Mitigating the risk of missing WPR targets and incurring federal penalties and cost increases.
- Evaluating program effectiveness and making mid-course corrections to CalWORKs program and/or policies and procedures, thereby assisting many more TANF/CalWORKs clients in achieving self-sufficiency.
- Collecting and publishing data as required in AB 1808 for the CalWORKs Data Master Plan.
- Improving the ability to estimate the CalWORKs budget and the fiscal impacts of new proposals using universal data rather than piecemeal data obtained from various sources.

- Responding more effectively and timely to inquiries from the Legislature, the Legislative Analyst's Office, Department of Finance, Health and Human Services Agency, the federal government, and a host of other interested stakeholders.
- Replace county-prepared monthly data reports (WTW 25/25A) with a central reporting system.

Sources of Funding

The proposed solution will be funded through a complementary Budget Change Proposal. Refer to Section 8, Economic Analysis Worksheets for funding specifics and associated assumptions.

Rationale for Selection

The proposed COTS business analysis and reporting solution is the most complete solution that meets current needs and is consistent with the long-term vision of the state. The proposed solution satisfies all of the solution objectives and the technical and functional requirements described in this feasibility study report. The criteria used to select this alternative over the others can be summarized as follows:

- *Capabilities* – The proposed solution meets the functional requirements necessary to reduce CDSS’s business problems and meet its business objectives.
- *Scalability* – The proposed solution can be scaled up to gather data from additional data sources; to provide analysis and reporting tools for additional CDSS programs (Food Stamps, Child Welfare, In Home Supportive Services); and can be used by additional CDSS, other state agency, and county users.
- *Flexibility* – The proposed solution will provide standardized reports for day-to-day uses, as well as ad hoc reporting capabilities to answer ever-changing questions, plus the detailed analytical tools necessary to determine cause and effect and make informed program decisions.
- *Access to and Timeliness of Data* – The proposed solution will be able to provide relevant CalWORKs program data—detailed, longitudinal, timely and accurate—to meet the needs of a variety of program stakeholders.
- *Ease of Use* – Provides easy-to-use reporting tools for information requests and decision-making activities.
- *Cost Efficiency* – The proposed solution provides the most cost-efficient solution for the state and counties by leveraging existing data extracts from the consortia systems (extracts from LEADER and GEARS for DPSSMART; the ISAWS data extracts/interface layout for E2Lite; ad hoc extracts from CalWIN used by Exemplar).
- *Minimizes Redundancy* – The proposed solution will pull data directly from source systems (consortia systems), reducing reliance on secondary sources, and reducing duplicate data entry. The solution will be able to replace E2Lite, the Longitudinal Database, and several of the existing WTW-related reports (WTW 25, WTW 25A).
- *Timing* – The solution can be fully implemented by Feb of 2012, with transition support continuing through May 2012.
- *Risk Mitigation* – The proposed solution has been proven to be technologically sound over time, as it has been implemented in other State of California agencies and county welfare departments. In addition, the CBARS project will be able to leverage the “lessons learned” from those other projects. Office of Systems Integration (OSI) demonstrated a prototype that was built using BAR technology for the Electronics Benefit Transfer Project to the CDSS Executives and this helped confirm the BAR solution that is being recommended.
- *Independence* – The state will own the solution, giving the state the ability to maintain and enhance the system over time and reducing the risks associated with relying upon third parties.

- *County Partnership* – The solution supports the CDSS Director’s vision of engaging in a programmatic partnership with the counties that enhances the counties’ efforts to increase the participation of CalWORKs adults in work activities and reduces the risk for federal penalties.

Other Alternatives Considered

CDSS analyzed the most viable alternatives in order to select the best alternative for the state and counties to meet their requirements and objectives. CDSS did not include a “do nothing” alternative in its analysis, since the unsuitability of that alternative has already been documented in the Business Problems section of this FSR. The other alternatives that were analyzed were:

- Custom Develop a Reporting System
- Expand RADEP
- Expand E2Lite
- Expand WDTIP
- Expand Use of Data Analysis and Reporting Service Contracts

Each of these alternatives is discussed in the sections that follow.

Rejected Alternative 1 – Custom Develop a Reporting System

This alternative would be to create a centralized repository of TANF/CalWORKs data and custom develop reports for all reporting needs, without the COTS business analytics capabilities. The solution would provide standard fixed reports that would meet many CDSS needs. As the need for additional standard reports are identified by users, they would be developed by the ongoing maintenance support team comprised of the OSI staff and CDSS staff. Some limited query capability would be available to super users for ad hoc requests. Most ad hoc requests would be answered using the current toolset (Access, Excel etc) by CDSS super users; more sophisticated ad hoc reports would be developed by OSI’s technical staff.

This solution would include all of the same information from the consortia systems as in the preferred solution. The processes, tools, and software necessary to extract the data from the consortia systems, transform and combine them, and load them into the centralized information repository work the same. The difference is in the analysis and reporting capabilities of the two solutions.

Exhibit 5.7: Comparison of Preferred Alternative to Rejected Alternative 1

Capability	Preferred Alternative (COTS BAR Software)	Rejected Alternative 1 (Custom Develop Reports)
Data Extracts from Consortia Systems	Case Data Individual Data	Case Data Individual Data
ETL to Combine Extracts into Single Repository	Yes	Yes
Standard Reports	Yes	Yes
Drill Down	Yes	Limited
Ad Hoc Query	Yes	Super Users Only
Executive Dashboard	Yes	No
Statistical Analysis	Yes	No
Data Mining	Yes	No

The tasks, responsibilities, and costs of this alternative are similar to the proposed solution through the development of a centralized repository of TANF/CalWORKs data. Data extracts from the consortia systems would still be defined; there would be a significant data analysis effort in order to integrate the different counties' data.

The cost savings from not implementing the BAR tools would be directed toward developing standard reports from reporting tools. The reports would be deployed on the CDSS intranet for internal users and on the Internet for external stakeholders. The application would use CDSS standard web application front-end access method; a menu with button selection; ability to navigate to sub-menus for information category reports and the standard reports.

Exhibit 5.8: Rejected Alternative 1 – Implement Data Repository without BAR Tools

Advantages	Disadvantages
<ul style="list-style-type: none"> • It would meet some of the business objectives documented in Section 3. • It would meet some of the functional and technical requirements documented in Section 3. • Standard, repetitive reporting would be in place and easily accessible. • As more standard queries and reports are developed and deployed, less staff time will be needed to produce and maintain them. • Several existing reports provided by the counties could be provided centrally (WTW 25, WTW 25A). 	<ul style="list-style-type: none"> • Cost is slightly more expensive than the proposed solution, yet provides significantly less functionality (limited drill down, limited ad hoc query, no dashboard, no statistical analysis, no data mining) because the BAR tools are not available. • It would not provide the flexibility required for users to create focused ad hoc queries and reports independently using program-wide information, which is one of the main drivers of this initiative. • Users would be dependent upon CDSS staff having very strong technical skills for the development of additional standard reports, and for complex ad hoc reporting. • Implementation of new standard reports would require significantly more resources, time and cost as compared to the recommended solution. • It would not provide the required level of information access sophistication. • It does not meet the stated business objectives documented in Section 3. • It does not meet the functional and technical requirements documented in Section 3.

Recommendation: CDSS does not support this solution. This alternative's cost is slightly more expensive than the proposed solution, yet provides significantly less functionality and meets fewer business needs because the BAR tools are not available for users to analyze data and create ad hoc reports.

Rejected Alternative 2 – Expand RADEP

One alternative is to expand the existing RADEP system to collect the remaining TANF/CalWORKs data. There are two major objections to expanding the RADEP system to meet the requirements identified in Section 3.4

1. RADEP was designed to be a data collection tool for samples of the TANF/CalWORKs population, not for the entire TANF/CalWORKs population. With this approach, the sample for federal reporting would continue to be valid only at the end of the year and the state would be unable to determine the work participation rate on a more frequent basis. Additional samples would need to be defined and data sets gathered (or sent electronically) for each business need.
2. RADEP does not have longitudinal data and the existing sampling methodologies will have to be modified to collect data on clients over time.
3. The issue of timely access to reliable and accurate data will still not be resolved as there is a likelihood of delays due to counties having to reenter data into RADEP.
4. RADEP is a transactional database, built for collecting data. It was not designed to be an analytical or reporting tool. While reports can be produced from RADEP, detailed analysis of the data can only be performed by removing it from the RADEP system and analyzing it using SAS, Access or Excel.
5. Expanding RADEP will result in increased implementation risk as technology is not well suited to meet key characteristics of solution (dashboard, drill down, statewide view, trend analysis, what if scenarios, etc).

While this approach leverages the existing state investment in RADEP, meets current federal reporting requirements, currently collects a majority of the data *elements* for WTW participation and for program evaluation and budgeting, it is still based on sample data and the state will not get a statewide integrated view of case and client information unless the data is extrapolated based on samples. The sampling methodology while adequate for federal reporting does not provide enough of a base set of cases for different subgroups of cases that are needed for meeting other program needs. Additional samples will need to be defined as new business needs are identified even if the base data needed to answer them have not changed. This could cause a significant delay in responding to legislature, LAO and other stakeholders.

Exhibit 5.9: Rejected Alternative 2 – Expand RADEP

Advantages	Disadvantages
<ul style="list-style-type: none"> • Leverages existing state investment • Meets current federal reporting requirements • Currently collects a majority of the WTW participation and data required for CalWORKs program evaluation and budgeting 	<ul style="list-style-type: none"> • RADEP was built to be a transaction-oriented data collection and verification tool and not a business analytics and reporting tool. • RADEP has reporting capabilities, but it does not have drill down, dashboard, statistical analysis, data mining capabilities because the BAR

Advantages	Disadvantages
	<p>tools are not available.</p> <ul style="list-style-type: none"> • Current sample is only valid at the end of the year and may not help the state to monitor the progress of county efforts towards improving participation, understanding and assessing the barriers. While this problem can be resolved by increasing the size of the sample, it would result in increased workload to the counties for recording the additional data into RADEP. • Additional samples (or larger sample sizes) would have to be defined for each business problem to be solved, creating a significant delay in answering questions from stakeholders. • No longitudinal data unless sampling methodology is modified to get data over time for some clients • Will require a much more robust sampling methodology and many different samples to answer all of the state needs. This could be problematic as the state is trying to get more timely access to data. • The issue of timely access to data will still not be resolved by using RADEP. • Ad hoc analysis may be more difficult for some questions, because additional samples would need to be defined and data collected for each ad hoc question. • Data may be error prone due to redundant data entry • Increased implementation risk as technology may not be well suited to meet key characteristics of solution (dashboard, drill down, statewide view, trend analysis, what if scenarios etc)

Recommendation: CDSS does not support this solution. This approach only solves a few of the key business problems for the state and does not meet its business objectives. A solution based on a sampling methodology, while adequate for federal reporting, does not provide enough detailed information to be used for other program needs.

Rejected Alternative 3 – Expand E2Lite

Similar to the previous solution, the state could expand E2Lite to collect remaining CalWORKs data and use different samples for different business needs. Alternately the state can get consortia systems and other data sources to send information to E2Lite via an interface. The state can also build reporting capabilities into E2Lite.

Exhibit 5.10: Rejected Alternative 3 – Expand E2Lite

Advantages	Disadvantages
<ul style="list-style-type: none"> • Leverages existing state investment • Majority of the WTW participation rate data is currently being collected by E2Lite 	<ul style="list-style-type: none"> • E2Lite was built to be a transaction-oriented data collection and verification tool and not a business analytics and reporting tool . • E2Lite has reporting capabilities, but it does not have drill down, dashboard, statistical analysis, data mining capabilities because the BAR tools are not available. • No statewide view unless extrapolated based on samples. • Current sample is only valid at the end of the year and may not help with the state need to monitor the progress of county efforts towards improving participation, understanding and assessing the barriers. • Additional samples (or larger sample sizes) would have to be defined for each business problem to be solved, creating a significant delay in answering questions from stakeholders. • No longitudinal data unless sampling methodology is tweaked to get data over time for some clients • Will require a much more robust sampling methodology and many different samples to answer all of the state needs. This could be problematic as the state is trying to get more timely access to data. • Will require a lot of other CalWORKs program data for child well being, poverty, CalWORKs engagement, budgeting, policy and decision making • Data may be error prone due to redundant data entry • Increased implementation risk as

Advantages	Disadvantages
	technology may not be well suited to meet key characteristics of solution (dashboard, drill down, statewide view, trend analysis, what if scenarios etc).

Recommendation: CDSS does not support this solution. While this option allows the state to use an existing investment and make some additional enhancements for enhanced reporting capabilities the state will continue to use a sampling methodology that will only be good for the purpose for which the sample is created and does not solve the key business problems and identified business objectives unless all consortia systems can send all of the data in an electronic form.

Rejected Alternative 4 – Expand WDTIP

This alternative would expand upon the existing WDTIP system to collect the remaining CalWORKs data. This alternative would also include adding reporting capabilities to WDTIP.

Exhibit 5.11: Rejected Alternative 4 – Expand WDTIP

Advantages	Disadvantages
<ul style="list-style-type: none"> • Leverages existing investment in WDTIP • WDTIP has longitudinal data including eligibility, time on aid, welfare to work plan information for all CalWORKs cases and clients statewide • Leverages existing electronic interface with consortia systems 	<ul style="list-style-type: none"> • WDTIP was built to collect and store transaction-oriented data from the consortia systems, not to be a business analytics and reporting tool. • WDTIP was built primarily to collect time on aid information and hence has limited CalWORKs program information. It would need to be modified to receive significantly more data from the consortia systems. • WDTIP only receives <i>changes</i> to data in the consortia system, rather than receiving <i>all data for a specified period</i>, as in the proposed solution. This methodology requires greater finesse in defining the data extracts for WDTIP, increasing the risk of data differences between WDTIP and the consortia systems. • Existing interfaces with consortia systems have to be greatly expanded to capture additional CalWORKs data that is needed for the state • Will require a lot of other CalWORKs program data for work participation rate, CalWORKs engagement, child well being, poverty, budgeting, policy and decision making • Increased implementation risk as technology may not be well suited to meet key characteristics of solution (dashboard, drill down, statewide view, trend analysis, what if scenarios etc). • Cost of making changes to WDTIP would be expensive as the technology is outdated • Lack of availability statewide of resources skilled in developing and maintaining mainframe applications.

Recommendation: CDSS does not support this solution. While WDTIP has longitudinal data on CalWORKs clients, it collects very limited data and would have to be significantly enhanced to start collecting the other CalWORKs program information. Significant costs could be incurred in adding a reporting component to WDTIP as the existing reporting capabilities are inadequate. The same would be true for using any of the secondary data sources (not the system of record) as a base system for the solution.

Rejected Alternative 5 – Expand Use of Data Analysis and Reporting Service Contracts

The state can expand the use of service contracts to meet its data analysis and reporting needs. Several counties currently contract with Exemplar Human Services to collect and report on CalWORKs engagement program data. This report has not been implemented statewide. The state could contract with Exemplar to collect and report on the remaining CalWORKs data and also establish a mechanism for Exemplar to receive case and client data from all counties. The state can work with Exemplar to produce the reporting and analytical capabilities.

Exhibit 5.12: Rejected Alternative 5 – Expand Use of Data Analysis and Reporting Service Contracts

Advantages	Disadvantages
<ul style="list-style-type: none"> • Data for the CalWORKs engagement is currently collected by Exemplar • Exemplar by virtue of existing contracts with three of the four consortia systems has standardized the format and structure for the CalWORKs engagement data requiring reduced consortia costs for modifications • Shorter timeframe for getting work participation data as Exemplar has existing contracts with several of the large California counties • Addresses the counties’ need for engagement and work participation information 	<ul style="list-style-type: none"> • Disaggregated data limited to engagement information; it does not collect actual hours of participation and individual demographics; hence cannot be used to determine a work participation rate unless modified to collect additional participation data • Will require other CalWORKs program data for budgeting, policy and decision making • The methodology and business rules for extracting, transforming, and loading data into Exemplar is considered proprietary by Exemplar Human Services LLC. The state will not be able to own the solution and will be tied to a vendor if it enters into a service contract with Exemplar • A custom solution designed primarily for performance management of CalWORKs Engagement and does not use enterprise reporting and analytics software as a base. This would result in high costs to expand Exemplar as reporting and analytical capabilities are limited when compared to other market leading tools

Advantages	Disadvantages
	<ul style="list-style-type: none"> • Is not consistent with state overall strategies • Lack of competition for solution; proprietary. • Solution will not be under state control • State will be tied to a vendor as state will not own the data • Solution architecture will not provide shared services to other HHS Agency programs • The cost of the Exemplar-based solution with its limited data set could be significantly higher than the recommended solution with the full complement of CaWORKs data to meet the state's needs • Risk of using a small vendor

Recommendation: CDSS does not support this solution. While Exemplar by virtue of its existing contracts with the counties could serve as a stop gap solution by providing the state with CaWORKs engagement data in the short term, it is a custom solution with very limited enterprise reporting and analytic capabilities when compared to other BAR technologies. This coupled with the proprietary nature of its extraction, transformation and loading rules does not lend itself to the state owning the solution. The state would be tied to a vendor in a service based contract that could be significantly more expensive in the long term.

6 Project Management Plan

This section describes the project management methodology, the project organization, and the project monitoring and quality assurance processes that will be utilized during the implementation of the CBARS project. CDSS recognizes that a structured approach to project management is required to ensure the success of the project and to achieving the Department’s objectives.

Following project approval, OSI, with input from CDSS, will develop a detailed project management plan that addresses the project schedule; change and issue management; quality management; human resources management; and risk management. Exhibit 6.1 provides an outline of the Project Management Plan components to be described in this section.

Exhibit 6.1: Project Management Plan Contents

6.1 Office of Systems Integration
6.2 Project Director Qualifications
6.3 Project Management Methodology
6.4 Project Organization
6.5 Project Priorities
6.6 Project Plan
6.6.1 Project Scope
6.6.2 WPR and County Business Processes
6.6.3 Project Assumptions
6.6.4 Project Phasing
6.6.5 Roles and Responsibilities
6.6.6 Project Schedule
6.7 Project Monitoring
6.8 Project Quality
6.9 Change Management
6.10 Authorization Required

Office of Systems Integration

CDSS has partnered with the Health and Human Services Agency's Office of Systems Integration (OSI) to successfully deliver this project. OSI provides information technology project management services to its clients in the Health and Human Services Agency (HHS). The highly relevant experience of its managers and staff make it an obvious choice to manage this critical information technology project for CDSS. Over the course of more than 12 years, OSI has identified and improved upon effective project management standards, processes and tools. These best practices are derived from a broad range of sources including HHS experience, consultant staff expertise, and recognized industry standards such as those developed by the Institute of Electrical and Electronic Engineers (IEEE) and the Project Management Institute (PMI).

The best practices contain standards for each of the following throughout all project lifecycle phases:

- Administrative Management
- Budget/Cost Management
- Communication Management
- Configuration Management
- Contract Management
- Human Resource Management
- Implementation Support
- Maintenance & Operations Support
- Procurement Management
- Project Management
- Quality Assurance Management
- Requirements Management
- Risk Management
- Schedule/Work Plan Management

OSI will provide the staff to fulfill the Project Director role, as well as all technical roles. CDSS will provide overall project sponsorship, program and business expertise, project oversight, and project funding.

Project Director Qualifications

The Project Director for this project has not yet been assigned. Because of the breadth of project management experience of the HHS Agency's Office of Systems Integration (OSI), CDSS will partner with OSI for a highly qualified Project Director to manage the overall project. The Project Director shall possess the ability to apply knowledge, skills, tools, and techniques necessary to successfully complete this project. The Project Director will manage the overall project, including providing direction to the System Integration Vendor. In addition, CDSS will assign a Program Lead from the CalWORKs program to manage the program and business staff assigned to the project.

The Project Director must possess the following knowledge, education, and experience:

- Data Processing Manager III level
- Understanding and experience with the Project Management Institute's Project Management Body of Knowledge (PMBOK), OCIO and CDSS's project management methodologies.
- Experience managing at least one project of similar size and complexity.
- Understands CDSS business objectives and their relation to the project's objectives.
- Understands the CBARS business requirements and their relation to the project's objectives.
- Skilled in communicating, both written and oral, on goals, objectives and status with management, stakeholders, and staff.
- Skilled in resolving conflicts with stakeholders, vendors, and program staff.
- Experienced in working with vendors to accomplish IT and business process change goals.
- Familiarity with the CalWORKs program's business functions, stakeholders, and information technology is desirable.
- Project Management Professional (PMP) certification from the Project Management Institute is desirable.

The Program Lead (from CDSS) must possess the following knowledge, education, and experience:

- Staff Services Manager II level.
- Familiarity with the CalWORKs program's business functions, stakeholders, and information technology.
- Understands CDSS business objectives and their relation to the project's objectives.
- Understands the CBARS business requirements and their relation to the project's objectives.
- Skilled in communicating, both written and oral, on goals, objectives and status with management, stakeholders, and staff.
- Skilled in resolving conflicts with stakeholders, vendors, and program staff.

The Technical Lead (from OSI) must possess the following knowledge, education, and experience:

- Senior information systems staff level.
- Understanding and experience with the Project Management Institute's Project Management Body of Knowledge (PMBOK), OCIO and CDSS's project management methodologies.
- Experience managing at least one project of similar size and complexity.

- Experienced in managing large information technology (IT)-related projects, including IT project management and application development methodologies.
- Knowledgeable of the state and CDSS's information technology policies, processes, and standards
- Understands the CBARS business requirements and their relation to the project's objectives.
- Skilled in communicating, both written and oral, on goals, objectives and status with management, stakeholders, and staff.
- Experienced in working with vendors to accomplish IT and business process change goals.
- Experience implementing and/or managing BAR solutions is desirable.
- Familiarity with the CalWORKs program's business functions, stakeholders, and information technology is desirable.
- Project Management Professional (PMP) certification from the Project Management Institute is desirable.

Project Management Methodology

This project will employ OSI's Project Management methodology, which is compliant with statewide IT policies, procedures and standards as promulgated by control agencies. The OSI methodology is based on the PMBOK and IEEE project management policies and practices. These project management methodologies conform to the Project Management Methodology guidelines for implementing IT projects as described in SIMM Section 200.

Project management activities for this project will include:

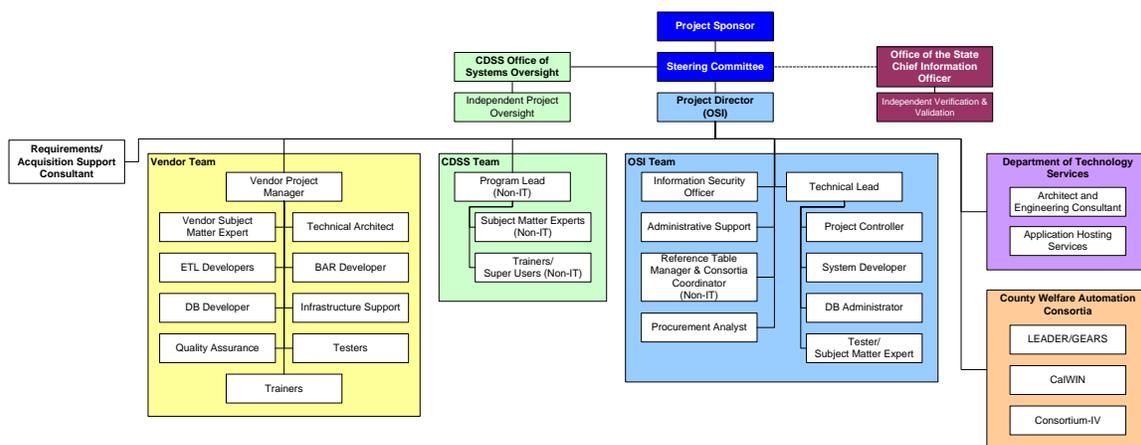
- Developing a project charter including the goals, objectives, scope boundaries, and the project roles and responsibilities.
- Developing a project management plan, including a communication plan, issue resolution process, risk management process, change management process, and escalation process.
- Developing and maintaining a project schedule and detailed task work plan which includes all tasks, resource allocations, start and end dates, and critical dependencies.
- Communicating project status and updates to the project sponsor, users, and various stakeholders.
- Identifying and managing potential risks, issues, and changes.
- Conducting ongoing performance reviews, corrective actions, and project plan updates.
- Monitoring planned versus actual performance against the baselined quality standards, schedule, and budget.
- Reviewing, collecting comments, and approving vendor project deliverables.

- Participating in user reviews and acceptance activities.
- Post-implementation evaluation, lessons learned identification, and other closeout activities.

Project Organization

Following is a proposed project organization chart. It will be necessary to refine the project structure once a vendor is selected and project phasing is defined. The proposed organization chart also assumes that CDSS and OSI staff representatives will work as an integrated team with vendor staff throughout the project.

Exhibit 6.2: CBARS Project Organization Chart



Project Priorities

All projects have three components that must be managed: schedule, scope and resources. For this project, resources are the constraining factor. The project has been organized in such a way as to plan for a larger (i.e., scalable) CalWORKs program vision, while committing fewer resources by rolling out the initial phase with a smaller data set and to a smaller user community. The project’s schedule is “accepted;” that is, the project schedule may be slightly adjusted to accommodate the project scope and resources available. Finally, the scope is “improved,” meaning that the scope may be modified depending upon the circumstance. Exhibit 6.3 summarizes the assessments for project priorities.

Exhibit 6.3: Project Priorities

Schedule	Scope	Resources
Accepted	Improved	Constrained

Project Plan

The following section provides an overview of critical project planning elements, including project scope, project phasing and an initial schedule estimate

Project Scope

The scope of the CBARS Project is to implement a technological solution that will consolidate data from several non-state systems and provide business analysis and reporting capabilities to CDSS users. As part of the analysis of the project scope, CDSS conducted a data needs analysis and prioritized its data needs. A detailed prioritization of the data needs is included in Appendix A. A summary of the data needs assessment is as follows:

Exhibit 6.4: Summary of Data Needs Assessment

Data Category	WPR	Engage-ment	Federal and State Reporting	Poverty	Child Well Being	Policy and Decision Making
Case Summary	Yes	Yes	Yes	Yes	Yes	Yes
Case Assistance	No	Yes	Yes	Yes	Yes	Yes
Case Sanctions	Yes	Yes	Yes	No	No	Yes
Case Eligibility	Yes	Yes	Yes	Yes	Yes	Yes
Case Supportive Services	Yes	Yes	Yes	No	Yes*	Yes
Individual Demographics	Yes	Yes	Yes	Yes* (subset)	Yes* (subset)	Yes
Individual Work Participation**	Yes	Yes	Yes	No	No	Yes
Individual Income	No	Yes	Yes	Yes	Yes	Yes
Individual Eligibility	Yes	Yes	Yes	Yes	Yes	Yes
Individual Non-Financial	Yes	Yes	Yes	Yes	Yes	Yes

* Some of the data is needed to address business questions in this category.

** Not all counties are currently recording actual participation hours. See Section 6.6.2 WPR and County Business Processes for additional details.

The scope of the project is constrained in terms of data, users, and project tasks. The specific items that are “in scope” and “out of scope” for this project are described below.

Exhibit 6.5: Summary of Project Scope

Constraint	In Scope	Out of Scope
Data	<ul style="list-style-type: none"> Priority 1 and 2 data (see Appendix A) 	<ul style="list-style-type: none"> County by county worker-specific reports Some of the poverty and child wellbeing indicators will not be answered in the initial system
Users	<ul style="list-style-type: none"> 100 users within CDSS’s CalWORKs business units <ul style="list-style-type: none"> 10 super users 90 normal users 	<ul style="list-style-type: none"> County welfare department users and the general public will not have direct access to the system
Project Tasks	<ul style="list-style-type: none"> Definition of data extracts from consortia systems Development of centralized repository Development of BAR tools Development of reports Training users 	<ul style="list-style-type: none"> County business process changes necessary to collect and enter data that is not currently recorded in consortia systems (see Section 6.6.2 WPR and County Business Processes)

As the table above makes clear, the CBARS project will not provide analysis and reporting capabilities to county welfare departments. A separate project will be initiated by the state, building upon the CBARS architecture, which will meet county needs and requires a separate needs assessment to be conducted exclusively for the counties.

WPR and County Business Processes

Not all counties are currently recording actual work participation hours in the consortia systems. Many counties are only recording scheduled participation hours. The proposed CBARS system cannot calculate WPR until counties record actual hours in their automated welfare systems.

The federally required TANF Work Verification Plan requires the documentation and verification of actual work participation hours for all cases submitted for the federal sample. Counties are also required to document hours of participation for the E2Lite sample used by CDSS to calculate county-specific work participation rates. Recently, approximately eight counties have begun to input actual hours of participation into their automated systems out of necessity in order to measure and monitor the county-specific work participation rate. CDSS anticipates that once county-specific rates are published and the 50 percent county share of the penalty is passed on, counties will recognize that the only way to truly get a handle on the participation of all of its clients is to input hours of participation. At this time CDSS is also contemplating additional incentives for counties to input actual work participation hours.

Project Assumptions

The section below sets forth the assumptions on which the project plan is based, the external events the project is dependent upon, and the constraints under which the project is to be conducted.

- Funding for the project will be available for the time period specified in this FSR.
- Appropriate CDSS, OSI, county welfare department, and consortia system resources will be available and allocated to this effort.
- There will be timely review and feedback on all project deliverables by reviewers.
- Problems, issues, and changes within and between project phases and stakeholders will be handled on a timely basis.
- Proactive risk management strategies will be employed to minimize risk and ensure timely completion of the project.
- OSI's standard project management methodology will be utilized to manage the project.
- Oversight will be managed by the Office of Systems Oversight pursuant to CDSS's standard procedures.
- All procurements and vendor contracts will be completed within the time periods specified in this FSR.
- Technical staff and end users will receive training to support the new system.
- CDSS program and OSI technical staff are involved consistently and continuously throughout the project to enhance knowledge transfer from the integration vendor.
- CDSS will utilize existing CDSS and DTS infrastructure where appropriate
- DTS facilities, equipment, and services will be used to host the application.
- The proposed solution will meet state and CDSS security requirements.
- The project will adhere to a formal schedule.
- The rollout of functionality to additional user groups will not be proposed until this project is completed and a Post-Implementation Evaluation Report (PIER) is completed.
- The ISAWS system will no longer be in use by the consortium's 35 counties. If the ISAWS counties do not migrate to C-IV, the cost to add ISAWS data will increase CBARS project costs by about \$1.7 million.
- Requirements definition activity must produce *detailed* documentation of requirements; bidders must know detailed requirements so that they can minimize their proposed costs.
- Requirements and Interface Design will be completed on time so as not to delay completion of the RFP.

- Consortia data to be loaded into the CBARS system consists of one year of historical data (one-time) and then three-months of data on a weekly basis (ongoing).
- COTS business analysis and reporting software is used, not custom developed.
- After implementation of CBARS with data from the first consortium, implementation of subsequent consortia will use the same base data structure and reports. The emphasis during the implementation of subsequent consortia will be on ETL processes and functionality and testing.
- Not all counties currently record actual hours of participation in the consortia systems. Counties are planning to record this data, but procedures, timelines and costs have not yet been developed for this policy. The current sampling methodology and E2Lite system will be retained until all counties record this data in the consortia systems and the CBARS WPR reports have been positively compared to the E2Lite WPR reports.
- The cost of county process reengineering, data collection, and data entry are not included in this FSR.

Project Phasing

The technological solution selected to meet the requirements of the CBARS Project will be implemented in a phased approach. Design, development and implementation of the ETL and reports will be rolled out on a consortium-by-consortium basis—incorporating each consortium’s counties’ data in a “big bang”—rather than on a county-by-county basis. This will provide flexibility in scheduling the project around the consortia’s resource availability, and will also allow lessons learned in one phase to be applied in subsequent phases, essentially allowing each consortium phase to act as a “pilot” prior to implementing the final consortium. It will also be phased into CDSS operations according to the project deployment schedule.

Exhibit 6.6: Project Phases

Project Phase	Phase Deliverables
Phase 1 Requirements and Interface Design	<ul style="list-style-type: none"> • Develop and issue RFO for requirements definition, interface design, and acquisition support services. • Hire/assign staff to perform oversight: <ul style="list-style-type: none"> • Independent project oversight (IPO) staff • Independent verification and validation (IV&V) staff • Define data and interface requirements necessary to procure solution and integration services <ul style="list-style-type: none"> • Identify data needs • Map data needs to county automated welfare system consortia data fields • Document data volume requirements • Document detailed requirements for standard reports • Business process requirements for data ETL • User access requirements • Network infrastructure requirements • Architectural requirements • Performance requirements
Phase 2 Solution Software and Integration Services Procurement	<ul style="list-style-type: none"> • Develop and issue RFP for solution software and integration services. • Evaluate proposals • Agency approvals and contract award • DTS hardware/software procurement
Phase 3 Design, Install and Configure BAR Infrastructure	<ul style="list-style-type: none"> • Design Technical Architecture • Setup Hardware and system software (DTS) • Install Development/Test Environment (BAR, ETL and database software) • Install Production Environment (BAR, ETL and database software) • Configure Development/Test environment • Train OSI IT Staff • Production Support Process Document • Implement Production Support Process (Help Desk, Technical Support) • Detailed Design Document

Project Phase	Phase Deliverables
Phase 4 Design, Development, & Implementation – Consortium A	<ul style="list-style-type: none"> • Analyze Requirements and Design Solution <ul style="list-style-type: none"> ○ Design data extract ○ Design ETL ○ Design reports • Build Solution <ul style="list-style-type: none"> ○ Build data extract ○ Build ETL ○ Build reports • Conduct Testing <ul style="list-style-type: none"> ○ System configuration in test environment ○ Create test plan ○ Create test scripts ○ Execute Unit Testing ○ Execute Integration Testing ○ Execute System Testing ○ User Acceptance Testing • Conduct Training <ul style="list-style-type: none"> ○ System configuration in production ○ Develop training plan ○ Develop training curriculum ○ Training of CDSS program staff • Deploy to User Community • Document lessons learned
Phase 5 Design, Development, & Implementation – Consortium B	<ul style="list-style-type: none"> • Analyze Requirements and Design Solution • Build Solution • Conduct Testing • Deploy to User Community • Document lessons learned
Phase 6 Design, Development, & Implementation – Consortium C	<ul style="list-style-type: none"> • Analyze Requirements and Design Solution • Build Solution • Conduct Testing • Deploy to User Community • Document lessons learned
Phase 7 Transition Support	<ul style="list-style-type: none"> • Ensure knowledge transfer from vendor staff to state staff has taken place
Phase 8 Project Closeout	<ul style="list-style-type: none"> • OSI staff take over system support and 2nd-level help desk role • Conduct an assessment of process changes • Document lessons learned • Develop Post Implementation Evaluation Report (PIER)

Roles and Responsibilities

The following table summarizes the roles and responsibilities for the project participants.

Exhibit 6.7: Summary of Roles and Responsibilities

Project Team Role	Responsible Party	Can be Staffed by Vendor?
Project Sponsor	CDSS	No
Steering Committee	CDSS	No
Office of the State Chief Information Officer	OCIO	No
Project Director	OSI	No
Project Controller	OSI	No
Technical Lead	OSI	No
Program Lead (Non-IT)	CDSS	No
CDSS Team <ul style="list-style-type: none"> • Subject Matter Experts/Non-IT Staff • Trainers • Oversight 	CDSS	No
OSI Team <ul style="list-style-type: none"> • System Developer • Database Administrator • Tester • Information Security Officer • Reference Table Manager & Consortia Coordinator • Acquisition/Requirements Analyst • Administrative Support 	OSI	No
Procurement Consultant	Vendor	Yes
Vendor Project Manager	Vendor	Yes
Vendor Team <ul style="list-style-type: none"> • Vendor Subject Matter Expert • Technical Architect • ETL Developers • BAR Developer • Database Administrator • Infrastructure Support • Quality Assurance • Testers • Trainers 	Vendor	Yes
Independent Project Oversight	CDSS	No
Independent Verification and Validation	OCIO	No
County Welfare Automation Consortia	Consortia	No
Department of Technology Services	DTS	No

The following are the project team roles and responsibilities of the CBARS Project. The roles may be filled by one or more individuals; and a single team member may participate in multiple project roles.

Exhibit 6.8: Project Roles and Responsibilities

Project Team Role	Responsibility
Project Sponsor	<ul style="list-style-type: none"> • The Project Sponsor should be an executive with management responsibilities over all of the business units impacted by the project. • Provide executive guidance and sponsorship for the project. • Resolve policy, budget and resource allocation issues • Chair the Steering Committee
Steering Committee	<ul style="list-style-type: none"> • The Steering Committee will consist of the Project Sponsor and management level representatives from the business units impacted by the project. Representatives should be managers who can make decisions and implement policies within their business units. • Provide guidance to the project, ensuring that project goals and objectives are met. • Direct policy and procedure changes when needed. • Review and adopt/reject project director recommendations • Review progress and resolve outstanding issues • Provide final decision making on decisions that could not or should not be made at lower levels. • Resolve critical issues which could not or should not be resolved at lower levels. • Ensure consistency with CDSS Strategic Plan and IT strategies and policies. • Ensure consistency with other IT projects and non-IT activities in CDSS. • Approve all adjustments to CBARS project schedule.
Office of the State Chief Information Officer	<ul style="list-style-type: none"> • Advise the Executive Steering Committee throughout the project to ensure that the proposed solution successfully provides the architectural foundation for shared services. • Provide guidance to the Executive Steering Committee to ensure that the proposed solution adheres to the goals, objectives, and strategies of the State's IT Strategic Plan.
Project Director (OSI)	<ul style="list-style-type: none"> • Responsible for overall project process and deliverable quality. • Responsible for implementing the processes and reviewing/approving the deliverables defined in the state's IT Project Oversight Framework • Serve as central point of communication and coordination for the project. • Serve as the customer advocate for CBARS. • Facilitate CBARS project planning. • Facilitate project status meetings with managers and team leads. • Identify project risks and issues, determine which should be elevated and facilitate their resolution. • Communicate project progress to Project Executive Steering committee and Control Agencies. • Ensure timely communication with internal and external stakeholders, sponsors, and CDSS management team. • Manage the development of business requirements, interface specifications, technical requirements, and implementation

Project Team Role	Responsibility
	<p>requirements with vendor and consortia support.</p> <ul style="list-style-type: none"> • Review and approve the business requirements, interface specifications, technical requirements, and implementation requirements. • Assist in obtaining and managing resources assigned to CBARS Project. • Review and approve project schedule and project management plan. • Review and approve key project deliverables. • Manage CBARS external contracts. • Participate in risk identification, evaluation, strategy, action planning, and mitigation activities. • Approve risk mitigation strategy and action. • Ensure that project process and deliverables concur with CDSS project management standards. • Review and approving deliverables. • Work with vendor team to correct deliverable deficiencies. • Facilitates timely response to IPO and IV&V findings.
Project Controller (OSI)	<ul style="list-style-type: none"> • Provide project and contract management support to the OSI Project Director. • Establish processes and procedures for contract management, including the development and maintenance of a comprehensive Contract Management Plan. • Establish procedures and tools to review and approve contract deliverables. • Establish a process to audit contract invoices, including ensuring schedules, budgets, performance, and products are consistent with the contract. • Receive, log, track, route, and review all contract deliverables. • Perform administrative and contractual oversight of consultants. • Coordinate notification and resolution of any deliverable deficiencies. • Assist in monitoring and resolving issues and risks associated with the consultant contracts. • Oversee the development and maintenance of project work-plans, monitor project progress against work-plans, monitor prime contractor performance to ensure milestones are completed timely. • Prepare and distribute routine and periodic project status reports for management and stakeholders; • Monitor and track project issues and record their impact upon the schedules. • Help prepare the following project plans and procedures: <ul style="list-style-type: none"> ○ Master Project Plan ○ Work Plan ○ Communications Plan ○ Governance Plan ○ Issue Management Procedures ○ Document Management Procedures ○ Risk Management Procedures ○ Requirements Management Procedures ○ Quality Assurance Plan ○ Proposal Evaluation Plan ○ Contract Management Plan ○ System Acceptance Plan

Project Team Role	Responsibility
	<ul style="list-style-type: none"> ○ Implementation Plan ● Coordinate and communicate work-plan with all stakeholders ● Participate in post-implementation evaluation, lessons learned identification, and other closeout activities.
Technical Lead (OSI)	<ul style="list-style-type: none"> ● Provide the IT policies, planning, processes, coordination, tracking, reporting and communications requirements to the CBARS project team. ● Ensure consistency with CDSS IT policies, strategies and architecture. ● Manage OSI Technical Staff ● Provide support and direction to project team members regarding technical and process matters. ● Identify technical skills needed by project and acquire those skills. ● Assist in obtaining project resources. ● Facilitate interactions with DTS. ● Facilitate security matters with CDSS Information Security Officer.
System Developer (OSI)	<ul style="list-style-type: none"> ● Assist in the development of CBARS functional and technical requirements to ensure that business and technical objectives are met. ● Ensure that the proposed solution complies with state policy governing information systems include equipment standards, security measures, and policies. ● Ensure that the proposed solution is scalable and flexible enough to accommodate future changes for data needs, changes in statute or law and/or changes in the technology environment. ● Ensure the proposed solution fulfills the requirement for 'ease of use' by the user. ● Work with vendor, CDSS and the SAWS Consortia to complete the development of detailed interface, data requirements and translation rules. ● Research and prepare technical portions of the System Integrator RFP. ● Provide periodic status to State project management. ● Assist with configuration and customization of the software, interfaces, and databases. ● Review and provide feedback on vendor deliverables. ● Monitor and report on system and performance testing. ● Monitor and provide support to users during acceptance testing. ● Identify and document issues. ● Participate in risk management activities, including identifying risks and assisting with the development and implementation of mitigation strategies. ● Participate in change management activities. ● Assist the vendor in the analysis and resolution of system problems and anomalies. ● Provide 2nd level Help Desk support during the maintenance phase of the project. ● Provide ongoing technical support, maintenance, modification and enhancements after vendor disengagement. ● Provide guidance for requirements, design, and architecture of the CBARS system. ● Participate with the vendor in the design, development and implementation of the Extraction, Transformation, and Load processes.

Project Team Role	Responsibility
	<ul style="list-style-type: none"> • Participate in design of the technical architecture. • Participate in the installation and configuration of the development, test, and production environments. • Participate in the development of the production support process. • Ensure knowledge transfer from the vendor has taken place. • Version and Production Control of configured items. • Evaluate vendor's proposed test procedures, scenarios, and data sets.
Database Administrator (OSI)	<ul style="list-style-type: none"> • Assist with configuration and customization of the database • Assist with review of vendor deliverables • Participate as needed in performance testing • Participate as needed in user acceptance testing • Participate in risk management activities, including identifying risks and assisting with the development and implementation of mitigation strategies. • Assist the vendor in the analysis and resolution of system problems and anomalies
Tester/ Subject Matter Expert (OSI)	<ul style="list-style-type: none"> • Participate in all testing phases. • Identify issues as they arise. • Assist with critical problem solving.
Reference Table Manager & Consortia Coordinator (OSI)	<ul style="list-style-type: none"> • Manage the overall data relationships between the consortia systems and CBARS. • Coordinate interface changes, including data structure and content changes, with the consortia representatives. • Help develop the Statement of Work for the System Integration RFP • Help define implementation plans • Coordinate with the CDSS and vendor staff for change management, site preparation, training, and system rollout. • Plan and coordinate with the CDSS Program Lead on customer communications. • Serve as liaison with CDSS on training and implementation issues • Work with vendor, CDSS and the SAWS Consortia to complete the development of detailed interface, data requirements and translation rules. • Maintenance of Data Mappings between California counties' data and CBARS system • Provide 2nd level Help Desk support during the maintenance phase of the project • Participate in the development of the production support process • Ensure knowledge transfer from the vendor has taken place • Assist in development of and review user documentation • Manage requirement changes

Project Team Role	Responsibility
Information Security Officer (OSI)	<ul style="list-style-type: none"> Attend Steering Committee meetings, as needed. Participate in and oversee all activities regarding information security and confidentiality. Provide final approval of all CBARS security requirements. Provide input to project team pertaining to CDSS and OSI security and confidentiality requirements. Participate in and provide guidance to activities regarding information privacy and confidentiality. Provide input to requirements related to data privacy and confidentiality.
Acquisition/Requirements Analyst (OSI)	<ul style="list-style-type: none"> Provide procurement subject matter expertise Assist with the development of the Request for Offer Assist with the development of the Request for Proposal for software and integration services Assist with requirements development
Procurement Consultant	<ul style="list-style-type: none"> Provide Business Analytics and Reporting System software and integration services subject matter expertise Assist with the development of the Request for Proposal for software and integration services Provide knowledge transfer to OSI acquisition and technical staff.
Administrative Support (OSI)	<ul style="list-style-type: none"> Provide administrative support throughout all project phases
Program Lead (CDSS)	<ul style="list-style-type: none"> Coordinate project participation of CDSS program (non-IT) staff Provide support and direction to project team members regarding program, business, and process matters. Identify program skills and knowledge needed by project and acquire them. Assist in obtaining project resources.
Subject Matter Experts/Non-IT Staff (CDSS)	<ul style="list-style-type: none"> Represent the primary users of the system. Assist with requirements definition. Participate in the design of the system. Provide input on screen and report designs. Identify issues as they arise. Assist with critical problem solving. Participate in user acceptance testing. Participate in super user training. Provide final approval of the system.
CDSS Office of Systems Oversight (CDSS)	<ul style="list-style-type: none"> Participate in reporting requirements and validating project artifacts. Facilitates escalation of issues and risks to appropriate parties. Ensures IPO and IV&V are fulfilling their project responsibilities.
Independent Project Oversight	<ul style="list-style-type: none"> Validate that the project is being managed in compliance with OSI's Project Management Methodology. Meet the requirements of the OCIO's Information Technology Project Oversight Framework. Help detect risks and variations that may occur during the project Recommend corrective action

Project Team Role	Responsibility
Independent Verification and Validation	<ul style="list-style-type: none"> • Validate documentation of project plans for alignment with industry standards and best practices, and CDSS's standard project management approach. • Verify project processes for adherence to documented project plans. • Verify project artifacts for completeness and ability to meet dependent project processes and work products.
Integration Vendor Project Manager	<ul style="list-style-type: none"> • Work with the Project Director to successfully deliver and implement the new system • Establish and manage the project schedule in coordination with the Project Director, Technical Lead, and Program Lead. • Report progress and communicate with the Project Director on a daily basis • Manage the efforts of vendor staff and any subcontractors
Integration Vendor Team	<ul style="list-style-type: none"> • Validate the RFP requirements, and complete requirements decomposition. • Develop the technical and data design • Install software in development/test environment and production environment • Administer software in development/test environment and production environment • Perform configuration and customization of the software • Develop any necessary custom software, such as interfaces and reports • Perform unit, integration, system, and performance testing • Assist the project team in conducting user acceptance testing • Perform training for CDSS end users and IT staff • Analyze and resolve system problems and anomalies • Develop all required deliverable documentation • Participate in project issue resolution and risk mitigation/contingency planning and execution
County Welfare Automation Consortia	<ul style="list-style-type: none"> • Assist with requirements definition. • Participate in the design of the system. • Provide input on data extract designs. • Identify issues as they arise. • Assist with critical problem solving. • Participate in testing and implementation. • Provide ongoing support.

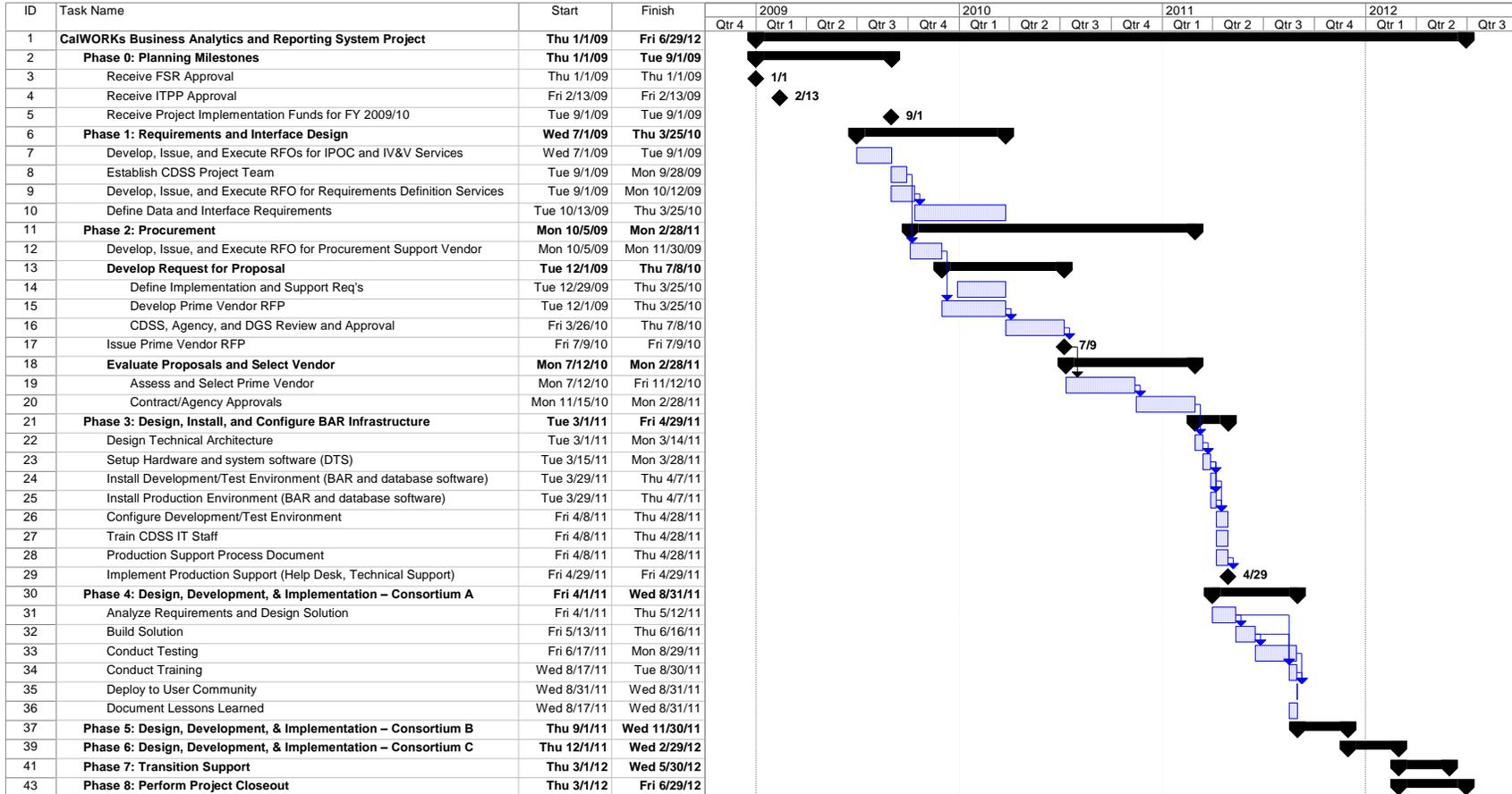
Project Team Role	Responsibility
Department of Technology Services Solutions Architect and Engineering Consultant	<ul style="list-style-type: none"> • Provide expertise throughout project related to DTS's technology environment, its services, and their relation to the solution architecture. • Provide application hosting services, including: <ul style="list-style-type: none"> • Server operating system software • Server hardware • Data storage • 100 Mbps network connection • IP addresses • Software licensing and vendor contract administration • Operating system upgrades and maintenance (patches) • Operating system security administration • File system creation and maintenance • System administration including user account and disk management • Delegation to customer of user access administration • Anti-virus protection • Backup and Recovery including off-site storage • Monitoring and management • Technology Refresh on a four year cycle • Provide file transport services (volume to be determined during requirements definition activity)

Project Management Schedule

The proposed project schedule for the project is shown in Exhibit 6.9 on the next page. Upon approval of the FSR, the schedule will be revised to reflect additional detail and will be baselined for tracking purposes.

After contract award, the Project Director and Vendor Project Manager will create a detailed project plan, using a tool such as MS Project, which will list all the project phases and subordinate tasks and activities, including task inter-dependencies. The project plan is subject to approval of the Project Director

Exhibit 6.9: High-Level Project Schedule



Project Monitoring

The process to be used for tracking and reporting on the status of project, schedule and budget is defined in CDSS' IT Project Management methodology, which complies with OCIO's oversight framework requirements. The Project Director will be responsible for coordinating and communicating project status and progress against objectives to the Project Sponsor, Steering Committee and all appropriate stakeholders. Status reports will include a discussion of the following topics:

- Planned vs. actual activities
- Planned vs. actual expenditures
- Summary of performance and quality measures and trends
- Summary and status of critical issues
- Summary and status of risk mitigation and contingency efforts
- Upcoming activities, resource needs and commitments

The Project Director will provide monthly reports and briefings on project progress to the Steering Committee. The Steering Committee may review key project deliverables and will be responsible for resolving any escalated issues or risks.

ISD, through the Office of Systems Oversight (OSO), will protect CDSS's interests by providing independent oversight of the project. Monthly project status reports will be submitted to the OSO and the OCIO in the specified format on a timely basis. The OSO will review key project deliverables. Additionally, the OSO will coordinate monthly Independent Project Oversight Report (IPOR) meetings with the project sponsor(s) and steering committee to provide updates on information being reported to control agencies.

IPO/IV&V will be provided by state staff through regular audits of project progress against stated objectives and deliverables in accordance with OCIO's IT Project Oversight Framework. The IPO and IV&V will provide these reports to the OCIO on a monthly basis.

Project Quality

The process to be used for assuring phase results will meet business and technical objectives and requirements, as well as applicable state and/or CDSS standards, is defined in the CDSS IT Project Management policy. The system integration vendor is required to implement a quality assurance process on all tasks and project deliverables to ensure they will meet stated business requirements and technology standards.

The project's specific approach to quality management will be described in the Project Management Plan and will include descriptions of the following elements:

- Software development/configuration standards
- Interface standards
- Unit, integration, system and acceptance testing, including appropriate test documentation

- Performance measures
- Deliverable reviews
- Phase/milestone reviews
- Establishment of the measures for process quality control both during the project and for ongoing operations.

Quality of major deliverables and work products will be managed through a variety of project management activities that include:

- Adequate supervision of project activities (i.e., the Project Director will attend work sessions and meetings to periodically monitor progress and/or contribute to analysis).
- Appropriately skilled state and vendor resources will be assigned to the project.
- All deliverables will have a comprehensive quality review cycle. Deliverables will be reviewed by the Project Director (and optionally, Project Oversight Consultant), Project Sponsor, and Subject Matter Experts from the program area and the Information Services Division as assigned.
- An open feedback mechanism will be in place to make course corrections as appropriate.

The quality management sections of the Project Management Plan will be reviewed and updated as necessary throughout the course of the project to reflect specific quality management activities related to application development activities.

Change Management

Every project experiences changes from the original plan, whether minor or major, as well as creating change as a direct result of the project. Establishing the change management approach in advance helps keep the project in control and prepares the impacted end users for changes in their work environment and processes.

Project and configuration changes will adhere to CDSS's IT Project Management Policies on project change management and configuration management. All proposed changes will be documented and analyzed for impacts to the project baseline, project quality, and project goals. A Change Control Board – consisting of program and technical staff with the necessary understanding of how changes will impact the project's scope, schedule, cost, and objectives – will be responsible for approving or denying project changes.

The project's specific approach will be described in the Project Management Plan and will include a description of the following processes:

- Management of the Project Baseline (Scope, Schedule, Resources)
- Management of Project Requirements
- Management of System Changes (e.g., correction of defects, incorporation of new functionality)

- Management of Version Upgrades and Patches

In addition, the project will manage organizational change impacts by including users and stakeholders in the requirements, design and testing processes, providing status reports to the user community, and implementing a user feedback forum to allow users to ask questions and receive updates regarding the project. The project's specific approach to organizational change management will be described in the Change Management Plan, which will include the following elements:

- Identification of the stakeholders
- Identification of critical change management issues and mitigation strategies
- Leadership action strategy
- Communication Plan
- Training Plan

Authorization Required

Approval of this FSR is required from CDSS's Director, the Chief Information Officer, and the Budget Officer. The FSR must also be approved by the Health and Human Services Agency Secretary.

IT project approval is required from OCIO. After the IT project has been approved, copies of the approved FSR will be provided to Department of Finance with the budget action proposal and to the Department of General Services with the Information Technology Procurement Plan. A copy of the approved FSR will also be provided to the Legislative Analyst's Office.

7 Risk Management Plan

The project’s Risk Management Plan is summarized in this section along with the current list of project risks. The plan is based on State Information Management Manual (SIMM) guidelines, as well as CDSS’s IT risk management standards, and includes the components listed in the table below.

Exhibit 7.1: Risk Management Plan Contents

7.1 Risk Management Approach
7.1.1 Responsible Parties
7.1.2 Risk Management Process
7.2 Risk Assessment
7.2.1 Identification
7.2.2 Analysis and Quantification
7.2.3 Prioritization
7.2.4 Response
7.3 Risk Tracking and Control
7.3.1 Risk Tracking
7.3.2 Risk Control
7.4 Risk Management Worksheet

Risk Management Approach

Given the scope, activities and resources required to plan for, procure, design and implement this project, CDSS has developed a Risk Management Plan that adheres to its IT risk management standards while factoring in the risks specific to this effort. The resulting methodology for the Risk Management Plan is consistent with the State of California's Project Management Methodology, the Department of Finance's Information Technology Project Oversight Framework, and OSI's IT Project Management Methodology and Standards. The following sub-section details the parties who will be responsible for risk management for this project and the process that they will follow.

Responsible Parties

CDSS realizes that risk management is a dynamic process that occurs throughout the project life cycle. Therefore, several parties will be responsible for developing and implementing the Risk Management Plan. The Project Director will have primary responsibility for managing the risk management process. The specific roles of parties to the Risk Management Process are described below.

- *Steering Committee* — The Steering Committee will ensure that project goals and objectives are being met, and will resolve escalated issues as they arise. For more information on the responsibilities of the Steering Committee, refer to Section 6, Project Management Plan.
- *Project Director* — The Project Director will have overall responsibility for the implementation of the project. As part of this role, the Project Director will approve the Risk Management Plan and will work with the Steering Committee, OSI, ISD, Project Team Members, Independent Project Oversight (IPO) staff, and the Independent Verification and Validation (IV&V) staff, to develop the process for tracking and managing issues and risk factors. The Project Director will also be responsible for elevating risks to the Steering Committee, when appropriate, consistent with this plan.
- *The Office of Systems Oversight (OSO)* — The OSO will be responsible for managing the Independent Project Oversight (IPO) staff. IPO will independently identify, monitor, and report on project risks and issues and will work with the project team to implement successful remediation of issues and risks. Additionally, the OSO may identify findings independent of the project team and IPO. The OSO will report directly to the Project Sponsor and the Project Steering Committee on a monthly basis. Additionally, the OSO will be responsible for escalation of risks and issues identified by the IPO pursuant to the OSO Communication Plan.
- *Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V)* — The IPO and IV&V will ensure compliance with the Information Technology Project Oversight Framework (ITPOF) by issuing the Independent Project Oversight Reports and Checklists. IPO and IV&V will ensure that an independent assessment is done on both product development and the processes used by the project using industry standards and best practices. The additional review of project processes and deliverables by these resources is intended to provide a third-party, independent assessment of project risk areas

with appropriate findings, recommendations and proposed corrective actions. The IPO and IV&V will provide reports to the OCIO and to the Steering Committee. The IPO will be managed by the OSO pursuant to CDSS standard procedure. IV&V will be managed by the OCIO.

- *Project Team* — Members of the project team will be involved in identifying potential risks and will work with the Project Director and Project Leads to carry out mitigation actions and/or contingency plans.

Risk Management Process

The risk management process includes development and continuous maintenance of this Risk Management Plan in accordance with the OSI Project Management Methodology. The plan will be used on an ongoing basis to identify risks, quantify the potential impact of each identified risk, present mitigation plans for each identified risk, and enact appropriate risk responses. Mitigation measures and contingency plans will be developed and implemented as high-priority risks are identified and monitored. Project reserves (i.e., time, personnel, funding) will be allocated at the discretion of the Project Director with Steering Committee approval.

Controlling risk will require an established risk management process that is tailored to the specific needs of this project. This process will begin—indeed, has begun—as part of project planning and will be current until project closeout. The key elements of the CDSS IT project risk management process are:

- Creating a central repository for risk information and associated documentation of risk items and resolution strategies.
- Summarizing information on a risk form or similar construct.
- Assigning risk management tasks to the appropriate responsible parties.
- Including a risk summary in the regular status meetings.
- Providing a consistent and ongoing evaluation of risk items and development of risk strategies using the following procedure:
 - Identify the risk.
 - Evaluate the risk.
 - Define a resolution strategy.
- Compliance with the OSO Communication Plan which includes interaction and response to IPO and IV&V identified risks and issues.

Risk Assessment

Risk assessment involves identifying and evaluating risks, as well as risk interactions, to assess the range of possible impacts on the project. CDSS performed a risk assessment of the proposed solution, project scope, implementation methodology, and funding strategy. A preliminary assessment of the primary risk areas is presented in Exhibit 7.2 below. The detailed risk assessment is documented in Section 7.4, Risk Management Worksheet.

Exhibit 7.2: Primary Risk Areas

Project Area/Element	Risk Level
Approval Risk	High
Budget Risk	High
Project Management Risk	Medium
Technology Risk	High
User change Management Risk	Low
Contract Management Risk	Low

- *Approval risk* is high because the solution requires significant financial commitment, yet does not provide a direct financial payoff during the economic analysis period.
- *Budget risk* is high because the necessary funds may not be available during the planned fiscal years.
- *Project management risk* is medium due to staffing and schedule risks that should be monitored to ensure the project remains on schedule and on budget, and be supported effectively by CDSS resources. Project management risk is somewhat higher than on other BAR projects due to the need to coordinate resources and schedules with non-state participants (county welfare departments and consortia systems).
- *Technology risk* is high due to the need to procure a solution with components that are compatible with each other and meet the long term technology needs of the CalWORKs program.
- *User change management risk* is low due to providing users a new data analysis tool. Users are anxious for the new data and tools, which is likely to reduce the risk. Key stakeholders will be incorporated into all phases of project implementation in order to facilitate change management processes.
- *Contract management risk* is low due to following DGS and OSI procurement guidelines.

The sections that follow describe the activities CDSS and OSI performed to document the risks in the Risk Management Worksheet.

Identification

Risks for this project were identified through the use of project team risk discussions, industry and peer organization best practices, management interviews, and prior CDSS project experience. The Project Director, Technical Lead, Program Lead and the other responsible parties involved in the risk management process identified in Section 7.1.2 will meet regularly to review new risk assessments as well as ongoing risk efforts to:

- Evaluate and determine the risk exposure and severity.
- Identify appropriate action to avoid or mitigate the risk.
- When appropriate, elevate the risk assessment and response to the Project Director and/or Steering Committee.

The Project Management Team will meet with the OSO, IPO and IV&V to review and modify the Risk Management Plan at the beginning of each project phase. The OSO, IPO and IV&V will be included in all risk management meetings which will take place at a minimum on a monthly basis. The format for these meetings will follow the CDSS IT project management and OSO standards and methodologies. These standards and methodologies outline the following guidelines for conducting risk meetings.

Each meeting should be open and interactive to facilitate a wide consideration of risk areas. The group should be provided with “ground rules” in terms of the degree of risks that will be tracked and ways to eliminate or include risk items. Criteria for risk tracking include time frame (when it would possibly occur) and value (what would be the cost if it occurred). The Project Director should provide this information to the group. Current problems are not to be considered, as these are issues for the change and issue management process.

At a minimum, each meeting will require a meeting leader, and a scribe to record the decisions made by the participants. Larger meetings may require the services of a dedicated facilitator. These meetings assist in the process of prioritizing the risks by determining the probability of their occurrence and the impact the risk could have on the project. A standard output of each meeting will be an updated list of risks for the Project Director. Specific procedures for risk management are defined by the Project Director and OSI.

Risk Analysis and Quantification

Project risks will be tracked and analyzed on an ongoing basis, and discussed as part of regular project management meetings. Risks will be analyzed based on the type of risk, probability of the risk occurring, the ability to mitigate the risk and the potential effect of the risk. Quantification efforts will focus on probability and impact of identified risks according to the scale utilized for the Risk Management Worksheet.

IPO and IV&V will develop risk analysis and quantification independent of the project; however, the Project Director will be kept apprised of all information they develop.

Prioritization

Based on the risk analysis, each risk will be prioritized and ranked. Those risks with high priority will receive the most attention from the project team. Low priority risks will be monitored on a regular basis.

The IPO and IV&V will prioritize risks using the OCIO Information Technology Project Oversight Framework and report to the OCIO and Project Steering Committee on all risks categorized as “critical”.

Response

The CBARS project team has developed a response for each risk in the Risk Management Worksheet. Risk response defines the project team's response to threats and determines how to respond to a recognized risk at a level that merits response. The proposed preventive or contingency responses for each risk generally falls into one of the following response types:

- *Avoidance* – The project team can control this element. The team cannot eliminate all risk, but specific risk events can often be eliminated.
- *Acceptance* – The project team has no control over this risk and therefore accepts the consequences. However, the team proactively develops and uses the contingency plan should the risk occur.
- *Mitigation* – The project team can control mitigation. Mitigation reduces the expected impact of a risk by reducing the probability of occurrence. An example is using a proven technology to lessen the probability that the product will not work.
- *Sharing* – The project team can partially control risk sharing. Involves shifting some of the risk or risky activities to others, such as contractors, and accepting the remainder. Shifting risk usually requires other tradeoffs, such as additional compensation to the person or organization that accepted the risk.

As the project proceeds and risk events occur, the appropriate risk response actions will be implemented.

The Project Director will be responsible for responding to risks and issues identified by the OSO, IPO and IV&V. Acceptable response to independently identified risks and issues shall include: 1) Risk Mitigation, 2) Contingency Plans or 3) Acceptance of risk. Acceptance of the risk will require approval of the Project Sponsor and/or Steering Committee.

Risk Tracking and Control

To ensure project risks are monitored and responded to effectively, the project team will use a variety of methods to track and control potential risks. A description of these methods is outlined below.

Risk Tracking

Risk tracking will occur through regular project status reports. Project status reports will identify tasks accomplished, outstanding issues/risks to be resolved, new issues to be tracked and next steps for the project. Particular emphasis will be paid to providing accurate and timely information to the project management team to enable risk management and help prevent risks from adversely affecting the projects. To facilitate the risk tracking process, a database that includes information on all significant risks will be developed and maintained for the life of the project. In addition, metrics for measuring performance and progress toward resolving risks should be established and maintained.

Risk Control

Risk control is necessary to help prevent failure on a project. The project team will ensure the Risk Management Plan is executed so that it can respond to risk events before they become serious problems. As risk events occur, the project team will implement the appropriate contingency plans to ensure the success of the project. The Risk Management Plan will be updated as anticipated risk events occur or are surpassed, and as actual risk events are evaluated and resolved.

Risk Management Worksheet

The following table summarizes the project’s risks, based on current information. The table contains the following information:

- *Risk Event* is a concise statement of the risk and its consequence(s).
- *Probability* is defined as the likelihood of a risk occurring and is expressed as a decimal value between 0.0 (low probability) to 1.0 (high probability).
- *Affected Area* indicates the areas affected should the risk occur.
- *Preventative Measures* describe the mitigations and/or contingency actions to be taken to reduce the probability of the risk occurring and/or the severity of the risk should it occur.

Exhibit 7.3. Risk Management Worksheet

ID	Risk Event	Probability	Affected Area	Preventive Measures
1.	The project as conceived is not approved for implementation.	0.7	Approval	<ul style="list-style-type: none"> • None possible.
2.	Project budget is not approved for the planned fiscal years.	0.7	Budget	<ul style="list-style-type: none"> • Postpone project implementation until following fiscal year and write Special Project Report (SPR) to postpone project start.
3.	The project experiences cost overruns.	0.5	Budget	<ul style="list-style-type: none"> • Implement rigorous scope control through the review of project financials on a monthly basis.
4.	Project sponsorship is inadequate or not visible.	0.3	Project Management	<ul style="list-style-type: none"> • Engage project sponsor and executive management via periodic status reports and steering committee meetings. • Document responsibilities of project sponsor and executive management roles in communication plan.
5.	The procurement of a prime vendor is delayed due to DGS concerns.	0.7	Schedule	<ul style="list-style-type: none"> • Work proactively with DGS and complete all necessary procurement documents.

ID	Risk Event	Probability	Affected Area	Preventive Measures
6.	The project experiences unanticipated schedule overruns.	0.5	Schedule	<ul style="list-style-type: none"> The project will be staffed by an experienced Project Director from the HHS Agency's OSI and will incorporate risk management and project management standards. IPO and IV&V will assist with the scoping of, and adherence to, time and resource estimates. Ensure the project is staffed with adequate resources.
7.	Other CDSS system implementation projects impact this project.	0.7	Schedule	<ul style="list-style-type: none"> Monitor schedules of other system implementations to determine conflicts before they happen. Create detailed estimates of resource demands in advance and update at regular intervals. Communicate resource demands to senior executives as early as possible.
8.	County consortia system projects/maintenance activities impact this project. <ul style="list-style-type: none"> ISAWS Migration to C-IV and LEADER/GEARS replacement Other System Enhancements and Priorities to existing Consortia Systems 	0.6	Schedule Budget	<ul style="list-style-type: none"> Work closely with consortia system representatives to understand their schedules. Create detailed estimates of resource demands in advance and update at regular intervals. Communicate resource demands to consortia representatives. Perform data extract analysis on a consortia-by-consortia basis, rather than all at the same time, to minimize schedule conflicts. Continuously monitor the schedule of ISAWS Migration and LEADER Replacement System Project and review cost impacts if interfaces are required with new systems

ID	Risk Event	Probability	Affected Area	Preventive Measures
9.	Under estimation of resources needed to complete project.	0.3	Resources	<ul style="list-style-type: none"> • Prepare detailed work plan, including allocation of cost/time/resources with input from vendor, CDSS, and OSI staff. • Factor in some allocation of time contingent on “what if” scenarios”. • Request and defend need for extra funding.
10.	CDSS resources, including SME’s, are not available when needed.	0.3	Resources	<ul style="list-style-type: none"> • Seek involvement and buy-in of users. • Secure visible executive management support. • Create detailed estimates of resource demands in advance and update at regular intervals. • Communicate resource demands to senior executives as early as possible.
11.	County and consortia resources, including SME’s, are not available when needed.	0.5	Resources	<ul style="list-style-type: none"> • Seek involvement and buy-in of stakeholders. • Secure visible CDSS executive management support and county executive management support. • Create detailed estimates of resource demands in advance and update at regular intervals. • Communicate resource demands to stakeholders as early as possible.
12.	Continuity of project personnel throughout the life of the project.	0.7	Resources	<ul style="list-style-type: none"> • Create detailed estimates of resource demands in advance and update at regular intervals • Communicate resource demands to senior executives as early as possible.

ID	Risk Event	Probability	Affected Area	Preventive Measures
13.	Current OSI personnel lack training and experience with COTS business analytics and reporting software.	0.7	Resources	<ul style="list-style-type: none"> • Implement a knowledge transfer plan that ensures OSI staff members feel comfortable with the new system during all project phases. • Include requirements in vendor contract to provide training to personnel on software. • Regularly communicate with all OSI staff affected by the new system.
14.	Insufficient resources to support new application.	0.7	Resources	<ul style="list-style-type: none"> • Initial resources estimates are included in EAW's. • Continue to monitor support resource needs and revise estimates. • Obtain commitment within CDSS to acquire or assign appropriate support.
15.	Lose key OSI staff.	0.5	Resources	<ul style="list-style-type: none"> • Cross-training and documentation of staff efforts. • Assign alternate staff, if necessary. Keep alternate staff briefed about efforts.
16.	Lose key program staff who are super users	0.5	Resources	<ul style="list-style-type: none"> • Cross-training and documentation of staff efforts. • Assign alternate staff, if necessary. Keep alternate staff trained.
17.	Selected vendor cannot perform assigned tasks.	0.3	Resources	<ul style="list-style-type: none"> • Secure qualified vendor through screening process. • Formally meet with vendor each week to review progress and deliverable quality.
18.	A relevant regulation or law change occurs in mid-project.	0.5	Scope	<ul style="list-style-type: none"> • Monitor proposed legislative changes and analyze their associated cost, benefits and impacts relative to their impact on the system. • Utilize a flexible system architecture that enables changes in data analysis and reporting needs to be reflected in the system quickly through the adaptation of data cubes and ad hoc reports.

ID	Risk Event	Probability	Affected Area	Preventive Measures
19.	Complexity of stakeholder groups' overall business requirements, varying business operations, and organizations' size.	0.3	Scope	<ul style="list-style-type: none"> • Implement overall solution in consortia-by-consortia phases. • Conduct lessons learned analysis at the end of each phase and incorporate lessons learned into subsequent phases.
20.	Project scope expands due to new or changing requirements.	0.3	Scope	<ul style="list-style-type: none"> • Manage user expectations and scope of the project by closely monitoring the original work plan and original project objectives. • Require all changes to be submitted through the change management process to ensure impacts are analyzed.
21.	Increased data communication requirements overtax network.	0.1	Technical	<ul style="list-style-type: none"> • Determine detailed data communication requirements during requirements gathering stage. • Calculate impact to network based on those requirements. • Test network under simulated load prior to going into production.
22.	Business analysis and reporting solution components are not compatible.	0.5	Technical	<ul style="list-style-type: none"> • Document all BAR requirements. Procure software components that meet all requirements, including compatibility requirements. • Specify adherence to departmental technical standards for any solution to ensure compatibility.
23.	CDSS security policies and IT standards are not followed.	0.1	Technical	<ul style="list-style-type: none"> • Include security requirements in RFP. • Ensure vendor follows CDSS security policy and IT standards. • Solicit review of planned system design and architecture by appropriate IT staff. • Fix the results of any breach. Ensure steps are taken to prevent reoccurrence.

ID	Risk Event	Probability	Affected Area	Preventive Measures
24.	Software/system is incompatible with current environment; inappropriate technology deployed.	0.1	Technical	<ul style="list-style-type: none"> • Perform adequate planning. Understand technical and business objectives, standards, and protocols. • Communicate documented DTS standards to vendor (incorporate system architecture details and technical requirements in RFP).
25.	CDSS program staff and stakeholders are resistant to change.	0.5	Change Management	<ul style="list-style-type: none"> • Involve potentially resistant staff in the design, implementation and testing of the new system. • Educate staff on the benefits of the new system. • Design and implement communication and training plans. • Develop clear systems and user procedures for the new working environment.
26.	Daily work may be disrupted as users learn how to use new software.	0.3	Change Management	<ul style="list-style-type: none"> • Training must be appropriate to business needs and give users confidence in the new system. • Provide procedural as well as technical outreach and assistance post-implementation.
27.	Vendor does not perform as expected or deliver contracted products.	0.3	Contract Management	<ul style="list-style-type: none"> • Perform appropriate due diligence. Scrutinize evaluation criteria and vendor selection methodology. • Ensure contract has performance clauses. Withhold percentage of deliverable payments until project is completed.
28.	Contractual disagreement with vendor.	0.3	Contract Management	<ul style="list-style-type: none"> • Frequent, candid communication. Adherence to project scope. • Disputes to be resolved per contract terms.

8 Economic Analysis Worksheets

The following pages include the Economic Analysis Worksheets for the CalWORKs Business Analytics and Reporting System Project.

Exhibit 8.1: Economic Analysis Worksheets Contents

8.1 Existing System/Baseline Cost Worksheet
8.2 Proposed Alternative: CalWORKs Business Analytics and Reporting System
8.3 Alternative 1: Custom Develop a Reporting System
8.4 Economic Analysis Worksheet Summary
8.5 Project Funding Plan Worksheet
8.6 Adjustments, Savings and Revenues Worksheet



Existing System/Baseline Cost Worksheet

EXISTING SYSTEM/BASELINE COST WORKSHEET

Department: Department of Social Services
 Project: CBARS

All costs to be shown in whole (unrounded) dollars.

Date Prepared: 10/17/2008

	FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		TOTAL	
	PYs	Amts								
Continuing Information										
Technology Costs										
Staff (salaries & benefits)	4.6	401,000	4.6	401,000	4.6	401,000	4.6	401,000	18.4	1,604,000
Hardware Lease/Maintenance		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0
Contract Services		0		0		0		0		0
Data Center Services		114,000		114,000		114,000		114,000		456,000
Agency Facilities		0		0		0		0		0
Other		26,000		26,000		26,000		26,000		104,000
Total IT Costs	4.6	541,000	4.6	541,000	4.6	541,000	4.6	541,000	18.4	2,164,000
Continuing Program Costs:										
Staff	149.6	11,360,000	149.6	11,360,000	149.6	11,360,000	149.6	11,360,000	598.4	45,440,000
Other		1,583,000		1,583,000		1,583,000		1,583,000		6,332,000
Total Program Costs	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	598.4	51,772,000
TOTAL EXISTING SYSTEM COSTS	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	616.8	53,936,000



Proposed Alternative: CalWORKs Business Analytics and Reporting System

PROPOSED ALTERNATIVE: CalWORKs Business Analytics and Reporting System

Date Prepared: 10/17/2008

Department: Department of Social Services
 Project: CBARS

All Costs Should be shown in whole (unrounded) dollars.

	FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		TOTAL	
	PYs	Amts								
One-Time IT Project Costs										
Staff (Salaries & Benefits)	9.3	953,894	12.4	1,263,525	13.7	1,356,787	0.0	0	35.4	3,574,206
Hardware Purchase		0		53,379		0		0		53,379
Software Purchase/License		0		455,500		0		0		455,500
Telecommunications		0		0		0		0		0
Contract Services										
Software Customization		0		1,547,000		3,183,250		0		4,730,250
Project Management		0		0		0		0		0
Project Oversight		0		0		0		0		0
IV&V Services		0		0		0		0		0
Acquisition Support Services		165,278		132,222		0		0		297,500
TOTAL Contract Services		165,278		1,679,222		3,183,250		0		5,027,750
Data Center Services		25,556		209,430		519,710		0		754,696
Agency Facilities		334,506		143,821		143,821		0		622,148
Consortia Data Extract Costs		175,000		213,750		855,000		0		1,243,750
Other		165,404		209,210		183,027		0		557,641
Total One-time IT Costs	9.3	1,819,638	12.4	4,227,837	13.7	6,241,594	0.0	0	35.4	12,289,069
Continuing IT Project Costs										
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.3	29,266	3.5	351,189	3.8	380,455
Hardware Lease/Maintenance		0		0		0		0		0
Software Maintenance/Licenses		0		0		9,490		113,875		123,365
Telecommunications		0		0		0		0		0
Contract Services		0		0		0		0		0
Data Center Services		0		0		47,113		565,356		612,469
Agency Facilities		0		0		3,611		43,336		46,947
Consortia Data Extract Costs		0		0		0		0		0
Other		0		0		4,161		49,932		54,093
Total Continuing IT Costs	0.0	0	0.0	0	0.3	93,641	3.5	1,123,688	3.8	1,217,329
Total Project Costs	9.3	1,819,638	12.4	4,227,837	14.0	6,335,235	3.5	1,123,688	39.2	13,506,398
Continuing Existing Costs										
Information Technology Staff	4.6	401,000	4.6	401,000	4.6	401,000	4.6	401,000	18.4	1,604,000
Other IT Costs		140,000		140,000		140,000		140,000		560,000
Total Continuing Existing IT Costs	4.6	541,000	4.6	541,000	4.6	541,000	4.6	541,000	18.4	2,164,000
Program Staff	149.6	11,360,000	149.6	11,360,000	149.6	11,360,000	149.6	11,360,000	598.4	45,440,000
Other Program Costs		1,583,000		1,583,000		1,583,000		1,583,000		6,332,000
Total Continuing Existing Program Costs	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	598.4	51,772,000
Total Continuing Existing Costs	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	616.8	53,936,000
TOTAL ALTERNATIVE COSTS	163.5	15,303,638	166.6	17,711,837	168.2	19,819,235	157.7	14,607,688	656.0	67,442,398
INCREASED REVENUES		0		0		0		0		0



Alternative 1: Custom Develop a Reporting System

ALTERNATIVE #1: Custom Develop a Reporting System

Date Prepared: 10/17/2008

Department: Department of Social Services
 Project: CBARS

All Costs Should be shown in whole (unrounded) dollars.

	FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		TOTAL	
	PYs	Amts								
One-Time IT Project Costs										
Staff (Salaries & Benefits)	9.3	953,894	12.9	1,304,501	15.7	1,560,674	0.0	0	35.4	3,574,206
Hardware Purchase		0		69,195		0		0		53,379
Software Purchase/License		0		240,000		0		0		455,500
Telecommunications		0		0		0		0		0
Contract Services										
Software Customization		0		2,023,000		4,016,250		0		4,730,250
Project Management		0		0		0		0		0
Project Oversight		0		0		0		0		0
IV&V Services		0		0		0		0		0
Acquisition Support Services		165,278		132,222		0		0		297,500
TOTAL Contract Services		165,278		2,155,222		4,016,250		0		6,336,750
Data Center Services		25,556		209,430		519,710		0		754,696
Agency Facilities		400,218		167,475		167,475		0		622,148
Consortia Data Extract Costs		175,000		213,750		855,000		0		1,243,750
Other		165,404		215,311		212,315		0		557,641
Total One-time IT Costs	9.3	1,885,350	12.9	4,574,884	15.7	7,331,423	0.0	0	37.9	13,791,657
Continuing IT Project Costs										
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.4	31,500	5.0	378,000	5.4	409,500
Hardware Lease/Maintenance		0		0		0		0		0
Software Maintenance/Licenses		0		0		5,000		60,000		65,000
Telecommunications		0		0		0		0		0
Contract Services		0		0		0		0		0
Data Center Services		0		0		47,113		565,356		612,469
Agency Facilities		0		0		3,858		46,292		50,150
Consortia Data Extract Costs		0		0		0		0		0
Other		0		0		6,483		77,800		84,283
Total Continuing IT Costs	0.0	0	0.0	0	0.4	93,954	5.0	1,127,448	5.4	1,221,402
Total Project Costs	9.3	1,885,350	12.9	4,574,884	16.1	7,425,377	5.0	1,127,448	43.3	15,013,059
Continuing Existing Costs										
Information Technology Staff	4.6	401,000	4.6	401,000	4.6	401,000	4.6	401,000	18.4	1,604,000
Other IT Costs		140,000		140,000		140,000		140,000		560,000
Total Continuing Existing IT Costs	4.6	541,000	4.6	541,000	4.6	541,000	4.6	541,000	18.4	2,164,000
Program Staff	149.6	11,360,000	149.6	11,360,000	149.6	11,360,000	149.6	11,360,000	598.4	45,440,000
Other Program Costs		1,583,000		1,583,000		1,583,000		1,583,000		6,332,000
Total Continuing Existing Program Costs	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	598.4	51,772,000
Total Continuing Existing Costs	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	616.8	53,936,000
TOTAL ALTERNATIVE COSTS	163.5	15,369,350	167.1	18,058,884	170.3	20,909,377	159.2	14,611,448	660.1	68,949,059
INCREASED REVENUES		0		0		0		0		0



Economic Analysis Worksheet Summary

ECONOMIC ANALYSIS SUMMARY

Date Prepared: 10/17/2008

Department: Department of Social Services
 Project: CBARS

All costs to be shown in whole (unrounded) dollars.

	FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
EXISTING SYSTEM										
Total IT Costs	4.6	541,000	4.6	541,000	4.6	541,000	4.6	541,000	18.4	2,164,000
Total Program Costs	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	149.6	12,943,000	598.4	51,772,000
Total Existing System Costs	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	616.8	53,936,000
PROPOSED ALTERNATIVE										
CalWORKs Business Analytics and Reporting System										
Total Project Costs	9.3	1,819,638	12.4	4,227,837	14.0	6,335,235	3.5	1,123,688	39.2	13,506,398
Total Cont. Exist. Costs	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	616.8	53,936,000
Total Alternative Costs	163.5	15,303,638	166.6	17,711,837	168.2	19,819,235	157.7	14,607,688	656.0	67,442,398
COST SAVINGS/AVOIDANCES	(9.3)	(1,819,638)	(12.4)	(4,227,837)	(14.0)	(6,335,235)	(3.5)	(1,123,688)	(39.2)	(13,506,398)
Increased Revenues		0		0		0		0		0
Net (Cost) or Benefit	(9.3)	(1,819,638)	(12.4)	(4,227,837)	(14.0)	(6,335,235)	(3.5)	(1,123,688)	(39.2)	(13,506,398)
Cum. Net (Cost) or Benefit	(9.3)	(1,819,638)	(21.7)	(6,047,475)	(35.7)	(12,382,710)	(39.2)	(13,506,398)		
ALTERNATIVE #1										
Custom Develop a Reporting System										
Total Project Costs	9.3	1,885,350	12.9	4,574,884	16.1	7,425,377	5.0	1,127,448	43.3	15,013,059
Total Cont. Exist. Costs	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	154.2	13,484,000	616.8	53,936,000
Total Alternative Costs	163.5	15,369,350	167.1	18,058,884	170.3	20,909,377	159.2	14,611,448	660.1	68,949,059
COST SAVINGS/AVOIDANCES	(9.3)	(1,885,350)	(12.9)	(4,574,884)	(16.1)	(7,425,377)	(5.0)	(1,127,448)	(43.3)	(15,013,059)
Increased Revenues		0		0		0		0		0
Net (Cost) or Benefit	(9.3)	(1,885,350)	(12.9)	(4,574,884)	(16.1)	(7,425,377)	(5.0)	(1,127,448)	(43.3)	(15,013,059)
Cum. Net (Cost) or Benefit	(9.3)	(1,885,350)	(22.2)	(6,460,234)	(38.3)	(13,885,611)	(43.3)	(15,013,059)		



Project Funding Plan Worksheet

PROJECT FUNDING PLAN

Department: Department of Social Services

All Costs to be in whole (unrounded) dollars

Date Prepared: 10/17/2008

Project: CBARS

	FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
TOTAL PROJECT COSTS	9.3	1,819,638	12.4	4,227,837	14.0	6,335,235	3.5	1,123,688	39.2	13,506,398
RESOURCES TO BE REDIRECTED										
Staff	0.1	10,090	0.4	37,842	1.0	78,841	0.0	0	1.5	126,773
Funds:										
Existing System		0		0		0		0		0
Other Fund Sources		0		0		0		0		0
TOTAL REDIRECTED RESOURCES	0.1	10,090	0.4	37,842	1.0	78,841	0.0	0	1.5	126,773
ADDITIONAL PROJECT FUNDING NEEDED										
One-Time Project Costs	9.2	1,809,548	12.0	4,189,995	12.7	6,162,753	0.0	0	33.9	12,162,296
Continuing Project Costs	0.0	0	0.0	0	0.3	93,641	3.5	1,123,688	3.8	1,217,329
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	9.2	1,809,548	12.0	4,189,995	13.0	6,256,394	3.5	1,123,688	37.7	13,379,625
TOTAL PROJECT FUNDING	9.3	1,819,638	12.4	4,227,837	14.0	6,335,235	3.5	1,123,688	39.2	13,506,398
Difference: Funding - Costs	(0.0)	0	0.0	0	0.0	(0)	0.0	0	(0.0)	(0)
Total Estimated Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0



Adjustments, Savings and Revenues Worksheet

ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET (DOF Use Only)

Department: Department of Social Services
 Project: CBARS

Date Prepared: 10/17/2008

Annual Project Adjustments	FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		Net Adjustments	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-time Costs										
Previous Year's Baseline	0.0	0	9.2	1,809,548	12.0	4,189,995	12.7	6,162,753		
(A) Annual Augmentation /(Reduction)	9.2	1,809,548	2.8	2,380,447	0.7	1,972,758	(12.7)	(6,162,753)		
(B) Total One-Time Budget Actions	9.2	1,809,548	12.0	4,189,995	12.7	6,162,753	0.0	0	33.9	12,162,296
Continuing Costs										
Previous Year's Baseline	0.0	0	0.0	0	0.0	0	0.3	93,641		
(C) Annual Augmentation /(Reduction)	0.0	0	0.0	0	0.3	93,641	3.2	1,030,047		
(D) Total Continuing Budget Actions	0.0	0	0.0	0	0.3	93,641	3.5	1,123,688	3.8	1,217,329
Total Annual Project Budget Augmentation /(Reduction) [A + C]	9.2	1,809,548	2.8	2,380,447	1.0	2,066,399	(9.5)	(5,132,706)		

[A, C] Excludes Redirected Resources

37.7	13,379,625
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Annual Savings/Revenue Adjustments

Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0		
Increased Program Revenues		0		0		0		0		

Appendix A – CBARS Data Needs

#	Data Categories	Data Elements
1	Case Summary	Case Number
2	Case Summary	Case County
3	Case Summary	Case Address
4	Case Summary	All Household relationships
5	Case Summary	Eligibility Begin Date
6	Case Summary	Eligibility End Date
7	Case Summary	Case Termination Reasons
8	Case Summary	Type of family for work participation (All Other, Two Parent, Safety Net, etc)
9	Case Summary	Work Eligible Indicator
10	Case Summary	Amount of families cash resources
11	Case Summary	Does family have a federal time limit exemption?
12	Case Summary	Does family have a CalWORKs time limit exemption or extension?
13	Case Summary	Aid Code
14	Case Summary	Cash Program Status (Intake, Ongoing, Pending, Approved)
15	Case Summary	Monthly Rent Amount
16	Case Assistance Information	Does the family receive subsidized housing?
17	Case Assistance Information	Does the family receive Medical Assistance?
18	Case Assistance Information	Does the family receive Cash Assistance
19	Case Assistance Information	FS Assistance Amount
20	Case Assistance Information	Cash Assistance Amount
21	Case Assistance Information	Homeless Assistance Amount
22	Case Supportive Services	Child Care Benefit Amount
23	Case Supportive Services	Transportation Benefit Amount
24	Case Supportive Services	Ancillary Services
25	Individual Identifier	Client Index Number
26	Individual Demographics	Date of Birth
27	Individual Demographics	SSN
28	Individual Demographics	Race
29	Individual Demographics	Ethnicity

#	Data Categories	Data Elements
30	Individual Demographics	Language
31	Individual Demographics	Gender
32	Individual Demographics	Is Head of Household?
33	Individual Work Participation	Work Eligible Indicator
34	Individual Work Participation	Reason for not being work eligible
35	Individual Work Participation	Work Participation Status
36	Individual Work Participation	Signed WTW Plan
37	Individual Work Participation	Good cause reason
38	Individual Work Participation	Non Participation Reason
39	Individual Work Participation	Activity Period (Begin and End Date)
40	Individual Work Participation	Type of Activity (all activities including Federally eligible, Federally ineligible)
41	Individual Work Participation	Actual Hours engaged in each activity
42	Individual Earnings	Employment Earnings (monthly, by month)
43	Individual Earnings	Self Employment Earnings (monthly, by month)
44	Individual Unearned Income	Type of Unearned Income by month (UI, DI, Child Support, SSI, Social Security, EITC, Other)
45	Individual Unearned Income	Amount of Unearned Income by month
46	Individual Non Financial	Sanction Period
47	Individual Non Financial	Reason for Sanction
48	Individual Non Financial	Amount of Sanction
49	Individual Non Financial	Highest Education Level
50	Individual Non Financial	School Enrollment Information
51	Individual Non Financial	School suspension Information
52	Individual Non Financial	School expulsion information
53	Individual Non Financial	If a child, compliance with immunizations/vaccinations
54	Individual Non Financial	Type of Disability Benefit (DI, SSI, etc)

#	Data Categories	Data Elements
55	Individual Non Financial	Eligibility for the type of Disability Benefit
56	Individual Non Financial	SSI Applicant
57	Individual Non Financial	Pregnancy due date
58	Individual Non Financial	Citizenship
59	Individual Non Financial	Child Support Cooperation
60	Individual Non Financial	Has an active child support order
61	Individual Non Financial	CalWORKs Time clock in months
62	Individual Eligibility	Aid Code
63	Individual Eligibility	Eligibility Begin Date
64	Individual Eligibility	Eligibility End Date

Appendix B – Workload Analysis for New Positions

The following pages contain workload analyses for each of the proposed new positions required to design, develop, implement, and maintain the CBARS solution.

#	Org	Role	FTE	Classification	Dates	Months	Hrs
1	OSI	Project Director	1.0	Data Processing Manager III	9/1/2009 – 6/30/2012	34	5,050
2	OSI	Technical Lead	1.0	Data Processing Manager II	9/1/2009 – 6/30/2013	46	7,000
3	OSI	Project Controller	1.0	Staff Info Systems Analyst	9/1/2009 – 6/30/2012	34	5,050
4	OSI	Database Administrator	1.0	System Software Specialist II	3/1/2011 – 5/31/2012	15	2,250
5	OSI	System Developer	1.0	System Software Specialist II	9/1/2009 – 6/30/2013	46	6,850
6	OSI	Tester/Subject Matter Expert	1.0	Staff Info Systems Analyst	3/1/2011 – 5/31/2012	15	2,250
7	OSI	Reference Table Manager	1.0	Staff Info Systems Analyst	3/1/2011 – 6/30/2013	28	4,150
8	OSI	Acquisition Requirements Analyst	1.0	Sr. Information Systems Analyst	9/1/2009 – 6/30/2011	22	3300
9	CDSS	Program Lead	1.0	Staff Services Manager II	9/1/2009 – 6/30/2012	34	5,038
10	CDSS	Program SME	1.0	Staff Services Manager I	9/1/2009 – 6/30/2012	34	5,038
11	CDSS	Admin SME's	2.0	Research Program Specialist II	9/1/2009 – 6/30/2012	34	10,075
12	CDSS	Independent Project Oversight	1.0	Data Processing Manager III	9/1/2009 – 6/30/2012	34	5,055
13	OCIO	Independent Verification and Validation	1.0	System Software Specialist III	9/1/2009 – 6/30/2012	34	5,048
14	CDSS	Super User Report Developer	0.5	Research Program Specialist II	7/1/2012 – 6/30/2013	12	889



Project Director
Data Processing Manager III
9/2009 thru 6/2012, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours / Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Develop and enforce plans, policies, and procedures for CBARS management. Review and approve project schedule.	1	2400	Based on previous project experience	2400	DPM III
110	Implement and enforce processes in support of the State's IT Project Oversight Framework	1	200		200	DPM III
120	Serve as the central point of communication between CDSS, OSI, Executive Steering Committee, control agencies, and other state agencies	1	400		400	DPM III
130	Manage CBARS external contracts	1	200		200	DPM III
140	Lead weekly project status meetings with CDSS and the project team to discuss planning, status, risks identification and mitigation strategies	1	200		200	DPM III
150	Lead risk management efforts; participate in risk identification, evaluation, strategy, action planning, and mitigation activities; Approve risk mitigation strategy and action.	1	550		550	DPM III
160	Manage the development of business requirements, interface specifications, technical requirements, and implementation requirements	1	800		800	DPM III
170	Review and approve project deliverables	1	500		500	DPM III
				TOTAL	5,050	

Technical Lead
 Data Processing Manager II
 9/2009 thru 6/2013, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours / Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Provide project and contract management support to the OSI Project Director.	1	1000	Based on previous project experience	1000	DPM II
110	Provide the IT policies, planning, processes, coordination, tracking, reporting and communications requirements to the CBARS project team.	1	600		600	DPM II
120	Ensure the proposed solution complies with state policy governing information systems include equipment standards, security measures, and policies	1	500		500	DPM II
130	Manage OSI Technical Staff Provide support and provide direction to project team members regarding technical and process matters	1	2000		2000	DPM II
140	Identify technical skills needed by project and facilitate their acquisition.	1	350		350	DPM II
150	Facilitate interactions with DTS.	1	350		350	DPM II
160	Facilitate discussion of security matters with the CDSS and OSI Information Security Officers.	1	200		200	DPM II
170	Perform administrative and contractual oversight of consultants.	1	1000		1000	DPM II
180	Coordinate all implementation activities and communicate status regularly with stakeholders.	1	500		500	DPM II
190	Assist in the creation of project plans, policies, and procedures.	1	500		500	DPM II
				TOTAL	7,000	



Project Controller
Staff Information Systems Analyst
9/2009 thru 6/2012, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours/Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Maintain project work-plans, monitor project progress against work-plans, monitor prime contractor performance to ensure milestones are completed timely. Monitor and track project issues and record their impact upon the schedules.	1	1500	Based on previous project experience	1500	SISA
110	Receive, log, track, route, and review all contract deliverables. Coordinate notification and resolution of any deliverable deficiencies.	1	600		600	SISA
120	Assist in monitoring and resolving issues and risks associated with the consultant contracts.	1	600		600	SISA
130	Prepare and distribute routine and periodic project status reports for management and stakeholders;	1	550		550	SISA
140	Assist in the creation of project plans, policies, and procedures.	1	1800		1800	SISA
				TOTAL	5,050	



Database Administrator
System Software Specialist II
3/2011 thru 5/2012, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours/Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Assist with configuration and customization of the database.	1	450	Based on previous project experience	450	SSS II
110	Assist with review of vendor deliverables	1	500		500	SSS II
120	Provide technical support to the testing effort. Monitor and report on system and performance testing.	1	400		400	SSS II
130	Participate in risk management activities, including identifying risks and assisting with the development and implementation of mitigation strategies	1	250		250	SSS II
140	Assist the vendor in the analysis and resolution of system problems and anomalies	1	350		350	SSS II
150	Version and Production Control of configured items.	1	300		300	SSS II
				TOTAL	2250	



System Developer
System Software Specialist II
9/2009 THRU 5/2013, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours/ Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Assist in the development of CBARS functional and technical requirements to ensure that business and technical objectives are met.	1	600	Based on previous project experience	600	SSS II
110	Participate in risk management activities, including identifying risks and assisting with the development and implementation of mitigation strategies	1	250		250	SSS II
120	Provide guidance for requirements, design, and architecture of the CBARS system. Participate in design of the technical architecture.	1	600		600	SSS II
130	Participate with the vendor in the design, development and implementation of the Extraction, Transformation, and Load processes.	1	700		700	SSS II
140	Research and prepare technical portions of the System Integrator RFP	1	600		600	SSS II
150	Assist with configuration and customization of the software, interfaces, and databases.	1	300		300	SSS II
160	Review and provide feedback on vendor deliverables.	1	200		200	SSS II
170	Assist the vendor in the analysis and resolution of system problems and anomalies.	1	500		500	SSS II
180	Participate in the installation and configuration of the development, test, and production environments.	1	250		250	SSS II



ID #	Activity/Task Name Description	Units	Hours/ Unit	Basis for Workload	Total Hours	Staff Being Requested
190	Evaluate vendor's proposed test procedures, scenarios, and data sets. Monitor and provide support to users during acceptance testing. Identify and document issues.	1	350		350	SSS II
200	Participate in the development of the production support process.	1	250		250	SSS II
210	Provide ongoing technical support, maintenance, modification and enhancements after vendor disengagement	1	1700		1700	SSS II
220	Provide 2 nd level Help Desk support during the maintenance phase of the project.	1	550		550	SSS II
				TOTAL	6850	



Tester/Subject Matter Expert
Staff Information Systems Analyst
3/2011 thru 5/2012, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours/Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Preparation of test plans for functional, system, and regression testing.	1	450	Based on previous project experience	450	SISA
110	Execution and documentation of functional, system, and regression test results.	1	700		700	SISA
120	Review and provide input on performance and acceptance testing plans.	1	250		250	SISA
130	Identify issues as they arise and retest to confirm resolution of all issues.	1	250		250	SISA
140	Assist with critical problem solving.	1	200		200	SISA
150	Assist in the development of the Testing Methodology.	1	200		200	SISA
160	Maintain the testing documentation library.	1	200		200	SISA
				TOTAL	2250	



Reference Table Manager
 Staff Information Systems Analyst
 3/2011 thru 5/2012, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours/ Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Manage the overall data relationships between the consortia systems and CBARS. Coordinate interface changes, including data structure and content changes, with the consortia representatives.	1	900	Based on previous project experience	900	SISA
110	Plan and coordinate with the CDSS Program Lead on customer communications.	1	250		250	SISA
120	Coordinate with the CDSS and vendor staff for change management, site preparation, training, and system rollout.	1	250		250	SISA
130	Help define the implementation plan.	1	250		250	SISA
140	Serve as liaison with CDSS on training and implementation issues	1	250		250	SISA
150	Maintenance of Data Mappings between California counties' data and CBARS system	1	500		500	SISA
160	Provide 2 nd level Help Desk support during the maintenance phase of the project	1	450		450	SISA
170	Participate in the development of the production support process	1	200		200	SISA
180	Assist in development of and review user documentation	1	200		200	SISA
190	Manage requirement changes	1	900		900	SISA
				TOTAL	4150	



Acquisition/Requirements Analyst
Senior Information Systems Analyst
9/2009 thru 2/2011, 1.0 FTE

ID #	Activity/Task Name Description	Units	Hours/ Unit	Basis for Workload	Total Hours	Staff Being Requested
100	Lead the development of the Request for Offer for the requirements development/acquisition support vendor	1	200	Based on previous project experience	200	Sr. ISA
110	Lead the development of the Request for Offer for procurement support.	1	200		200	Sr. ISA
120	Lead the development of the Request for Proposal for software and integration services	1	600		600	Sr. ISA
130	Establish processes and procedures for contract management, including the development and maintenance of a comprehensive Contract Management Plan.	1	300		300	Sr. ISA
140	Establish procedures and tools to review and approve contract deliverables.	1	250		250	Sr. ISA
150	Establish a process to audit contract invoices, including ensuring schedules, budgets, performance, and products are consistent with the contract.	1	150		150	Sr. ISA
160	Lead to CBARS procurement staff in the development of all RFPs and RFOs to procure services and goods. Leads in the development of control agency documents including evaluation selections reports and developing the plan for bid reviews.	1	400		400	Sr. ISA
170	Responsible for maintaining constant communication with the OSI Central Procurement to keep current in the policies and procedures and their affect on RFP and RFO content and format.	1	300		300	Sr. ISA



ID #	Activity/Task Name Description	Units	Hours/ Unit	Basis for Workload	Total Hours	Staff Being Requested
180	Responsible for completing final contract documentation, ready for signature, and completing and filing state required notices and forms.	1	200		200	Sr. ISA
190	Responsible for organizing required documents and forms in the formal procurement file	1	200		200	Sr. ISA
200	Work with Procurement consultant to increase knowledge required to develop comprehensive requirements for complex automated systems, networks, and system integration services.	1	500		500	Sr. ISA
				TOTAL	3300	



Program Lead
 Staff Services Manager II
 9/1/2009 – 6/30/2012, Limited Term, 1.0 FTE

ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
	Act as CDSS program lead in the following areas:					
100	Participate in at least once weekly project status meetings with OSI Project Director and Project Team to discuss project planning, status, risks identification and mitigation strategies, etc.	3	200	Based on previous Bureau experience	600	SSM II
105	Manage, oversee, and defend CDSS project funding documents, Interagency Agreements; review invoice approvals.	3	100		300	SSM II
110	Facilitate timely issue resolution and escalate, as necessary.	3	200		600	SSM II
115	Coordinate stakeholder involvement.	3	200		600	SSM II
120	Manage activities of the CDSS subject matter experts assigned to project; facilitate internal briefings with CDSS management; in coordination with OSI Project Director, prepare briefing documents for monthly Executive Steering Committee meetings; meet regularly with Project subject matter experts to identify barriers, discuss progress, etc.	3	220		660	SSM II
125	Coordinate participation of CDSS Super Users in change management and training activities.	1	200		200	SSM II
130	Lead at least once weekly status meetings with CDSS project staff to discuss project planning, status, risks identification and mitigation strategies, etc.	3	200		600	SSM II
135	Participate in the development of TANF/CalWORKs data requirements, business rules, and reporting requirements to be included in RFP.	1	200		200	SSM II



ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
140	Participate in procuring prime vendor: o Define implementation requirements o Develop the RFP o Define evaluation criteria and weights o Review and evaluate vendor responses o Select vendor	1	478		478	SSM II
145	Participate in testing of system for TANF and CalWORKs. o Evaluate system as data from each consortium is incorporated. o Validate accuracy of the TANF and CalWORKs reports. o Validate accuracy of the system and identify issues as they arise. o Assist with critical problem solving. o Review and approval of system.	4	50		200	SSM II
150	Review vendor deliverables for program accuracy and ensure they will meet CDSS' business needs.	2	200		400	SSM II
155	Participate in the documentation of lessons learned in Phases 4, 5, 6, 8.	4	50		200	SSM II
				TOTAL	5038	



Program Subject Matter Expert
Staff Services Manager I
9/1/2009 – 6/30/2012, Limited Term, 1.0 FTE

ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
200	Act as CalWORKs program representative and provide subject matter expertise through all phases of the project.	1	400	Based on previous Bureau experience	400	SSM I
205	Participate in at least once weekly status meetings with Program Lead and other CDSS project staff to discuss project planning, status, risks identification and mitigation strategies, etc.	3	200		600	SSM I
210	Participate in the development of TANF/CalWORKs data requirements, business rules, and reporting requirements to be included in RFP.	1	700		700	SSM I
215	Participate in procuring prime vendor: o Define implementation requirements o Develop the RFP o Define evaluation criteria and weights o Review and evaluate vendor responses o Select vendor	1	800		800	SSM I
220	Identify and resolve program policy issues as they arise; coordinate with other CalWORKs program managers, as needed.	1	550		550	SSM I
225	Participate in design of system and reports. o Provide subject matter expertise. o Identify key data elements and reports. o Provide input on screen and report designs. o Provide input on queries and routine as well as ad hoc reports. o Verify the correctness of reports. o Represent the primary users of the system.	43	16		688	SSM I



ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
230	Participate in testing of system for TANF and CalWORKs. o Evaluate system as data from each consortium is incorporated. o Validate accuracy of the TANF and CalWORKs reports. o Validate accuracy of the system and identify issues as they arise. o Assist with critical problem solving. o Review and approval of system.	3	100		300	SSM I
235	Review vendor deliverables for program accuracy and ensure they will meet CDSS' business needs.	1	400		400	SSM I
240	Participate in super user training	1	100		100	SSM I
245	Conduct end user training	1	100		100	SSM I
250	Participate in the documentation of lessons learned in Phases 4, 5, 6, 8.	4	50		200	SSM I
255	Participate with technical and program staff to enhance knowledge transfer from the integration vendor.	4	50		200	SSM I
				TOTAL	5038	



Administration Subject Matter Expert
 Research Program Specialist II
 9/1/2009 – 6/30/2012, Limited Term, 2.0 FTE

ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
	Subject Matter Experts (Development):					
100	Act as Administration program representative and provide subject matter expertise through all phases of the project.	1	775	Based on previous Bureau experience	775	RPS II (2.0 LT positions)
105	Participate in at least once weekly status meetings with Program Lead and other CDSS project staff to discuss project planning, status, risks identification and mitigation strategies, etc.	3	400		1200	RPS II (2.0 LT positions)
110	Participate in the development of TANF/CalWORKs data requirements, business rules, and reporting requirements to be included in RFP.	1	1400		1400	RPS II (2.0 LT positions)
115	Participate in procuring prime vendor: <ul style="list-style-type: none"> o Define implementation requirements o Develop the RFP o Define evaluation criteria and weights o Review and evaluate vendor responses o Select vendor 	1	1600		1600	RPS II (2.0 LT positions)
120	Identify and resolve program policy issues as they arise; coordinate with other program managers, as needed.	3	300		900	RPS II (2.0 LT positions)
125	Participate in design of system and reports. <ul style="list-style-type: none"> o Provide subject matter expertise. o Identify key data elements and reports. o Provide input on screen and report designs. o Provide input on queries and routine as well as ad hoc reports. o Verify the correctness of reports. o Represent the primary users of the system. 	50	32		1600	RPS II (2.0 LT positions)



ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
130	Participate in testing of system for TANF and CalWORKs. o Evaluate system as data from each consortium is incorporated. o Validate accuracy of the TANF and CalWORKs reports. o Validate accuracy of the system and identify issues as they arise. o Assist with critical problem solving. o Review and approval of system.	3	200		600	RPS II (2.0 LT positions)
135	Review vendor deliverables for TANF and CalWORKs program accuracy and ensure they will meet CDSS' business needs.	1	800		800	RPS II (2.0 LT positions)
140	Participate in super user training.	1	200		200	RPS II (2.0 LT positions)
145	Conduct end user training.	1	200		200	RPS II (2.0 LT positions)
150	Participate in the documentation of lessons learned in Phases 4, 5, 6, 8.	4	100		400	RPS II (2.0 LT positions)
155	Participate with technical and program staff to enhance knowledge transfer from the integration vendor.	4	100		400	RPS II (2.0 LT positions)
				TOTAL	10075	

Independent Project Oversight
 Data Processing Manager III
 9/1/2009 – 6/30/2012, 1.0 FTE

ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
110	Plan and manage the IPO process for the CBARS project. <ul style="list-style-type: none"> • Conduct IPO process. • Evaluate results of IPO process to assure that it meets project needs. • Develop IPO progress summaries for review by OSO and Project Director. 	1 project	44 hours per month	Based on current IV&V and IPO mgmt process.	1456	DPM III
120	Participate in the project and work group activities associated with the CBARS project.	1 project	40 hours per month	Based on current experience.	1320	DPM III
130	Manage and perform daily IPO activities. <ul style="list-style-type: none"> • Develop and complete IPO deliverables. 	1 process	15 hours per month (Ongoing)	Based on current experience	495	DPM III
140	Perform Quality Control/Quality Assurance functions for internal IT project documentation.	1 staff	16 hours per month	Based on similar work performed by ISD.	528	DPM III
150	Ensure that effective and efficient functional management is in place to facilitate application of IPO to all programs, projects and operations. <ul style="list-style-type: none"> • Support the development and rapid transfer of new IPO technologies, tools, and processes. • Assure that all programs and projects follow the IPO policies. 	1 staff	24 hours per month	Based on activities performed by ISD IV&V support staff	792	DPM III
160	Assess and escalate differences between the Project Manager's approach and the IPO recommendations.	1 project	2 hour per month	Based on current experience.	64	DPM III
170	Report findings verbally and in writing to Senior Management, control agencies and Federal Agencies	1 staff	8 hours per month	The need is based on current experience.	264	DPM III



ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
180	Evaluate and assess risk using metrics to identify appropriate level of IPO throughout a project's lifecycle and M&O. Develop mitigation and contingency plans and present as appropriate.	1 staff	4 hours per month	Based on current experience	136	DPM III
				TOTAL	5055	

Independent Verification and Validation
 System Software Specialist III
 9/1/2009 – 6/30/2012, Limited Term, 1.0 FTE

ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
110	Plan and manage the IV&V process for the CBARS project. <ul style="list-style-type: none"> • Conduct IV&V process. • Evaluate results of IV&V process to assure that it meets project needs. • Develop IV&V progress summaries for review by OSO, Project Director, and OCIO. 	1 project	44 hours per month	Based on current IV&V and IPO mgmt process.	1452	SSS III
120	Participate in the project and work group activities associated with the CBARS project.	1 project	40 hours per month	Based on current experience.	1320	SSS III
130	Manage and perform daily IV&V activities. <ul style="list-style-type: none"> • Develop and complete IV&V deliverables. 	1 process	25 hours per month (Ongoing)	Based on current experience	825	SSS III
140	Perform Quality Control/Quality Assurance functions for internal IT project documentation.	1 staff	24 hours per month	Based on similar work performed by ISD.	792	SSS III
160	Assess and escalate differences between the vendor's deliverables and the contract specifications.	1 project	8 hours per month	Based on current experience.	264	SSS III
170	Report findings verbally and in writing to Senior Management, control agencies and Federal Agencies, as appropriate.	1 staff	8 hours per month	The need is based on current experience.	264	SSS III
180	Evaluate and assess risk using metrics to identify appropriate level of IV&V throughout a project's lifecycle and M&O. Develop mitigation and contingency plans and present as appropriate.	1 staff	4 hours per month	Based on current experience	132	SSS III
				TOTAL	5049	



Super User Report Developer
 Research Program Specialist II
 7/1/2012 – 6/30/2013, 0.5 FTE

ID #	Activity / Task Name Description	Units	Hours/ Units	Basis for Workload	Total Hours	Staff Being Requested
	Subject Matter Experts (Ongoing Maintenance):					
100	Identify change in TANF and CalWORKs federal data report (due to changes in federal regulations or data reporting instructions)	1	140	Based on previous Bureau experience	140	RPS II (0.5 PY)
110	Assist in development of modifications to screens and report designs.	1	90		90	RPS II (0.5 PY)
120	Validate accuracy of the system and identify issues as they arise. Assist with critical problem solving.	1	190		190	RPS II (0.5 PY)
130	Participate in testing of system.	1	140		140	RPS II (0.5 PY)
140	Conduct training sessions for end users to support the new system.	1	50		49	RPS II (0.5 PY)
150	Act as Department expert in all matters concerning the validity and reliability of the federal data elements, including providing guidance in penalty disputes between CDSS and ACF and as an expert resource to the department's legal staff.	1	140		140	RPS II (0.5 PY)
160	Provide statistical analysis of quality assurance data to determine the 58 Counties' level of compliance with federal quality assurance requirements.	1	140		140	RPS II (0.5 PY)
				TOTAL	889	

Appendix C – Acronym List

AB	Assembly Bill
ACF	Assistance for Children and Families
AFDC	Aid to Families with Dependent Children
AIMS	Agency Information Management Strategy
AIX	Advanced Interactive eXecutive operating system
ASP	Active Server Pages programming language
BAR	Business Analytics and Reporting
BIS	Business Information Server programming language
CA 237	CalWORKs Cash Grant Caseload Movement Report
CalServ	CalServ Middleware Project
CALWIN	CalWORKs Information Network
CalWORKs	California Work Opportunity and Responsibility to Kids Program
CBARS	CalWORKs Business Analytics and Reporting System
CDSS	California Department of Social Services
CICS	Customer Information Control System
C-IV	Consortium IV
CMAS	California Multiple Award Schedule
COBOL	COmmon Business-Oriented Language programming language
COTS	Commercial Off-the-Shelf
CSSI	California Strategic Sourcing Initiative
CWD	County Welfare Department
CWDA	County Welfare Directors Association
DB	Database
DGS	Department of General Services
DHCS	Department of Health Care Services
DI	Disability Insurance
DMP	Data Master Plan
DMZ	Demilitarized Zone
DPSSMART	Department of Public Social Services Measurement and Accountability Review Tool
DRA	Deficit Reduction Act of 2005
DSU/CSU	Digital Service Unit/Channel Service Unit
DTS	Department of Technology Services
E2Lite	Enterprise II Lite System
EA	Emergency Assistance
EAW	Economic Analysis Worksheet
EBT	Electronic Benefit Transfer
EDD	Employment Development Department

EFT	Electronic Funds Transfer
EITC	Earned Income Tax Credit
EPEAT	Electronic Product Environmental Assessment Tool
ETL	Extraction, Transformation, and Load
FFY	Funding Fiscal Year
FS	Food Stamps
FSR	Feasibility Study Report
FTP	File Transfer Protocol
GB	Gigabyte
GEARS	GAIN Employment Activity and Reporting System
HHS	Health and Human Services Agency
IEEE	Institute of Electrical and Electronic Engineers
IIS	Internet Information Services
IP	Internet Protocol
IPA	Information Practices Act
IPO	Independent Project Oversight
IPOR	Independent Project Oversight Report
ISAWS	Interim Statewide Automated Welfare System
ISD	CDSS Information Systems Division
IT	Information Technology FY Fiscal Year
ITPOF	Information Technology Project Oversight Framework
ITPP	Information Technology Procurement Plan
IV&V	Independent Validation and Verification
JOBS	Job Opportunities and Basic Skills Training
kb	kilobit
LAN	Local Area Network
LAO	Legislative Analyst's Office
LDB	Longitudinal Database
LEADER	Los Angeles County Automated Determination, Evaluation, and Reporting System
MAPPER	Maintaining and Preparing Executive Reports programming language
MB	Megabyte
Mbps	Megabits per second
Medi-Cal	California's Medicaid program
MEDS	Medi-Cal Eligibility Data System
MMEF	MEDS Monthly Extract File
MOE	Maintenance of Effort
MS	Microsoft
MSA	Master Service Agreement
NCSS	Network Client Services Section

OCIO	Office of the State Chief Information Officer
OISPP	Office of Information Security and Privacy Protection
OPT-E-MAN	A switched Ethernet service provided by AT&T
OSI	Office of Systems Integration
OSO	Office of Systems Oversight
P4P	Pay for Performance
PC	Personal Computer
PIER	Post-Implementation Evaluation Report
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
PMP	Project Management Professional
PY	Personnel Year
Q5 I	Q5 I Quality Control System
RADEP	Research and Development Division Enterprise Project
RFO	Request for Offer
RFP	Request for Proposal
SAM	State Administrative Manual
SAN	Storage Area Network
SAS	Formerly stood for “statistical analysis software;” now it is the name of a software company that provides statistical analysis software
SAWS	Statewide Automated Welfare System
SB	Senate Bill
SDLC	System Development Lifecycle
SFTP	Secure File Transfer Protocol
SIMM	State Information Management Manual
SME	Subject Matter Expert
SMS	Short Message Service
SP	Service Pack
SPR	Special Project Report
SSI	Supplemental Security Income
SSL	Secure Sockets Layer
T1, T2, T3	Digitally multiplexed telecommunications carrier systems
TANF	Temporary Assistance for Needy Families Program
TCP	Transmission Control Protocol
UI	Unemployment Insurance
VB	Visual Basic
WDTIP	Welfare Data Tracking Implementation Project
WAN	Wide Area Network
WPR	Work Participation Rate
WTW	Welfare-to-Work



WTW 25, 25 A CalWORKs Welfare-to-Work Monthly Activity Report All (Other Families) and Two Parent Families