

**State of California  
Department of Social Services**



**State Hearings Appeals Case  
Management System  
Feasibility Study Report**

**July 19, 2013**

Revised: October 11, 2013



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### 1.0 PROJECT APPROVAL TRANSMITTAL

Information Technology Project Request		
Feasibility Study Report		
Executive Approval Transmittal		
<b>Department Name</b>		
California Department of Social Services		
<b>Project Title (maximum of 75 characters)</b>		
Appeals Case Management System (ACMS)		
<b>Project Acronym</b>	<b>Department Priority</b>	<b>Agency Priority</b>
ACMS		



I am submitting the attached Feasibility Study Report (FSR) in support of our request for the California Department of Technology's approval to undertake this project.

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).

I have reviewed and agree with the information in the attached Feasibility Study Report.

I also certify that the acquisition of the applicable information technology (IT) product(s) or service(s) required by my department that are subject to Government Code 11135 applying Section 508 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following page).

<b>Chief Information Officer</b>		<b>Date Signed</b>
<i>Karen Cagle</i>		
<b>Printed name:</b>	Karen Cagle	9/13/13
<b>Budget Officer</b>		<b>Date Signed</b>
<i>Monica Flowers</i>		
<b>Printed name:</b>	Monica Flowers	9/13/13
<b>Department Director</b>		<b>Date Signed</b>
<i>Will Lightbourne</i>		
<b>Printed name:</b>	Will Lightbourne	9/13/13
<b>Agency Chief Information Officer</b>		<b>Date Signed</b>
<i>Shell Culp</i>		
<b>Printed name:</b>	Shell Culp	9.13.13
<b>Agency Secretary</b>		<b>Date Signed</b>
<i>Diana S. Dooley</i>		
<b>Printed name:</b>	Diana S. Dooley	9/13/13



### 1.1 IT Accessibility Certification

Yes or No

Yes	<b>The Proposed Project Meets Government Code 11135 / Section 508 Requirements and no exceptions apply.</b>
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#### Exceptions Not Requiring Alternative Means of Access

Yes or No	Accessibility Exception Justification
No	The IT project meets the definition of a national security system.
No	The IT project will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (i.e., "Back Office Exception.")
No	The IT acquisition is acquired by a contractor incidental to a contract.

#### Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
	<p>Meeting the accessibility requirements would constitute an "undue burden" (i.e., a significant difficulty or expense considering all agency resources). Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>
	<p>No commercial solution is available to meet the requirements for the IT project that provides for accessibility. Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>



**Exceptions Requiring Alternative Means of Access for Persons with Disabilities**

<b>Yes or No</b>	<b>Accessibility Exception Justification</b>
	<p>No solution is available to meet the requirements for the IT project that does not require a fundamental alteration in the nature of the product or its components.</p> <p>Explain:</p>          <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>



## **1.2 Questionnaire for Information Security and Privacy Components State Administrative Manual (SAM) 5300, in Feasibility Study Reports and Project-Related Documents**

The following Questionnaire assists state agencies with describing the SAM 5300, information security and privacy components associated with an IT project in its Feasibility Study Reports and other project-related documents. The Office of Information Security reviews these documents to ensure information security and privacy components are addressed by the state agency and provide its recommendations to the California Department of Technology.

If any of the answers could be considered sensitive in nature, the agency should address them in a separate addendum marked "Confidential" and included as an attachment to the document.

### Information Security Officer (ISO) Role and Responsibilities

#### **1. What is the role and responsibilities of the Agency ISO in relationship to this project?**

The California Department of Social Services (CDSS) Information Security Program will ensure preservation of availability of CDSS information assets related to the Appeals Case Management System and protect these assets from unauthorized access, modification, destruction, or disclosure.

#### **2. Will the ISO be involved in developing and reviewing the security requirements?**

The ISO has been involved in the development/review of the security requirements for the Appeals Case Management System since the project proposal.

#### **3. Will the ISO be involved in developing and reviewing the security testing efforts?**

The ISO has been and will continue to be involved in the development and review of security testing efforts.

#### **4. Has the ISO participated in the response to these questions and signed off on the project-related document(s)?**

Yes.



Proposed System

**1. Who will be the designated owner of the proposed system (ACMS)?**

The Operations Support Bureau within the CDSS State Hearings Division will own the Appeals Case Management System.

**2. Who will be the custodians and users of the system?**

The State Hearings Division will be the custodians and users of the Appeals Case Management System.

**3. Has the data for the system been classified by the owner? Explain.**

Yes. The data contained in the Appeals Case Management System has been classified as containing Personal Identifying Information.

**4. Does the project require development of new application code or modification of existing code? Explain.**

The new application will be replacing a legacy application and will require a completely new code.

**5. Will your agency share the data for the system with other entities? If so, who?**

- a. **Federal partners** – No sharing is anticipated. Reporting will be required.
- b. **Local city/county partners** – This system will be accessed by county partners.
- c. **State agency partners** – This system will be accessed by CDSS and DHCS with possible exchanges with SAWS, CalHEERS and SURGE.
- d. **Judicial branch** – This system supports administrative adjudication processes. No information will be shared with the Judicial Branch.
- e. **Universities** – No sharing is anticipated
- f. **Researchers** – No sharing is anticipated
- g. **Others** –



**6. If data for the system is to be shared with other entities, will your agency implement data exchange agreements with the entities? Explain.**

While the design and implementation of the interfaces with other systems are not within the scope of this FSR, the system will be designed with the flexibility/capacity to interface with the CalHEERS, SAWS, DHCS SURGE and the federal Department of Health and Human Services (HHS) systems. At such time as the interfaces are developed and ready for implementation, CDSS will evaluate the need to implement data exchange agreements with those entities.

**7. Are there checkpoints throughout the software development life cycle (SDLC) verifying and certifying that the security requirements are being met?**

The application software will be a combination Commercial Off-The-Shelf (COTS) and Modified Off-the-Shelf (MOTS) implementation with customization, and the vendor will be mandated to ensure that checkpoints are implemented if SDLC is used in their software development.

**8. At what points will risk assessments be performed throughout the SDLC?**

Information Security Risk Management is an iterative process that will be performed during each major phase of the SDLC, (i.e., initiation, development or acquisition, implementation, operation, and disposal), independent of project risk assessments.

**9. At what point will vulnerability assessments be performed once the system is put into production (e.g., ongoing risk management after implementation)?**

Risk management activities will be performed for periodic system reauthorization or whenever major changes are made to the system in its operational, production environment (e.g., new system interfaces).

**10. Will this system collect federal data? If so, have you yet determined the National Institute for Standards and Technology 800-53 rating (i.e., high / medium / low)?**

Yes. The NIST rating has been determined to be moderate.

**11. Does your state agency's Five Year IT Capital Plan address information security and privacy as related to this system?**

Yes. This project is listed on the Department's IT Capital Plan and the appropriate security and privacy guidelines will be followed.



## **2.0 IT PROJECT SUMMARY PACKAGE**

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

SECTION A: EXECUTIVE SUMMARY

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Submittal Date	July 10, 2013
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	FSR	SPR	PSP Only	Other:
Type of Document	X			
Project Number	5180-186			

		Estimated Project Dates	
Project Title	Appeals Case Management System	Start	End
Project Acronym	ACMS	07/01/2014	10/31/2017

Submitting Department	Social Services
Reporting Agency	CA Health and Human Services

# INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

## SECTION A: EXECUTIVE SUMMARY

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Project Objectives
<ul style="list-style-type: none"><li>• Reduce the average life cycle of an open Appeals Case, from receipt of the Hearing Request to release of the decision, by 14%, from 105 days to 90 days after one year of implementation.</li><li>• CDSS will have the capability to produce 100% of notifications to the public in English and the twelve additional languages (Chinese, Russian, Spanish, Vietnamese, Arabic, Armenian, Cambodian, Farsi, Hmong, Korean, Lao, and Tagalog) required by the Be Vu et al v. Mitchell and Bolton lawsuit by the first month of implementation.</li><li>• The three sub-systems/functions identified as Sound Recording App, Audio Transfer &amp; Upload Log Database, and 100% of the functionality associated with them, will be available in a single consolidated process within the ACMS within 30 days after implementation, reducing processing time by 66% and freeing staff to perform other necessary duties.</li><li>• The amount of time spent by SHD staff on a monthly basis specifically for the manual calculation and review of penalties due to untimely release of decisions will be reduced from 65 hours to 20 hours, a decrease of 69%, by 6 months after implementation.</li><li>• The three sub-systems/functions identified as Decision System, Decision Archive and Decision Release, and 100% of the functionality associated with them, will be available in single consolidated workflow process all within the ACMS reducing the average decision processing time by 33% by 6 months after implementation.</li></ul>

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**

**SECTION A: EXECUTIVE SUMMARY**

Major Milestones	Est. Complete Date
Project Initiation	09/2014
Development of Project Management Plans, Processes & Procedures	11/2014
Key Resources On-board	01/2015
Competitive Bid Process for Vendor	06/2015
System Design	03/2016
System Development	03/2017
System Testing	05/2017
System Implementation	09/2017
Project Closeout	09/2018
Key Deliverables	Est. Complete Date
IAA Signed – OSI Can Begin Work on RFP	07/2014
Project Charter	09/2014
SPR Completed	05/2015
Go/No-Go Decision / SPR Approved – Contract Signing Can Complete	06/2015
Contract	06/2015
Design Document	03/2016
Go/No-Go Decision / Development Complete to move into Quality Assurance (QA)	03/2017
User Acceptance (UA) Testing Plan	03/2017
Go/No-Go Decision / Testing Criteria Success Rate Sufficient for UA	04/2017
Training Plan	05/2017
Go/No-Go Decision / UA Testing Criteria Success Rate Sufficient for Schedule of a Production Release	08/2017
Transition Plan	08/2017

# INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

## SECTION A: EXECUTIVE SUMMARY

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	Proposed Solution
	<p>The proposed ACMS will create a single case management database that will combine intake, scheduling and reporting functionalities into a single workflow. The consolidation of the mainframe database and 21 ad-hoc applications will streamline the currently manual case data transfer process as well as reduce the level of errors caused by the manual processes. The modernization of programming code will allow for updates to the case identification parameters providing increased tracking and reporting functionalities. Updating of the coding will also allow SHD to meet HIPAA and Language requirements. The ACMS will have a public portal that allows the public to request a new hearing or check the status of an existing hearing on-line. The ACMS will not only be a solution to the needs of CDSS SHD, but can be a solution for agencies statewide. The design of the ACMS will be in a manner in which the system can be configured to meet changing business requirements allowing the system to be leveraged by other agencies.</p>

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**

**SECTION B: PROJECT CONTACTS**

Project #	5180-186
Doc. Type	FSR

Executive Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Agency Secretary	Diana	Dooley	916	654-3454		916	654-3343	<a href="mailto:Diana.Dooley@chhs.ca.gov">Diana.Dooley@chhs.ca.gov</a>
Dept. Director	William	Lightbourne	916	657-2598		916	657-3782	<a href="mailto:Will.Lightbourne@dss.ca.gov">Will.Lightbourne@dss.ca.gov</a>
Budget Officer	Monica	Flowers	916	657-3397		916	654-0877	<a href="mailto:Monica.Flowers@dss.ca.gov">Monica.Flowers@dss.ca.gov</a>
CIO	Kären	Cagle	916	654-1039		916	651-8280	<a href="mailto:Kären.Cagle@dss.ca.gov">Kären.Cagle@dss.ca.gov</a>
Proj. Sponsor	Romero	Manuel	916	657-3546		916	651-8280	<a href="mailto:Manuel.Romero@dss.ca.gov">Manuel.Romero@dss.ca.gov</a>

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Doc. prepared by	Marc	Grijalva	916	653-1915				<a href="mailto:Marc.Grijalva@DSS.ca.gov">Marc.Grijalva@DSS.ca.gov</a>
Primary contact	Al	Som-Anya	916	654-2911				<a href="mailto:Al.Som-Anya@dss.ca.gov">Al.Som-Anya@dss.ca.gov</a>
Project Manager	Nola	Niegel	916	654-0659				<a href="mailto:Nola.Niegel@dss.ca.gov">Nola.Niegel@dss.ca.gov</a>

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

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What is the date of your current Disaster Recovery Plan (DRP)?	Date	07/2013
What is the date of your current Agency Information Management Strategy (AIMS)?	Date	08/2013
For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	AIMS
	Page #	24

Project #	5180-186
Doc. Type	FSR

		Yes	No
Is the project reportable to control agencies?		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 the Technology Agency.		

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**

**SECTION D: BUDGET INFORMATION**

Project #	5180-186
Doc. Type	FSR

Budget Required?	Augmentation													
	No													
	Yes	X	If YES, indicate fiscal year(s) and associated amount:											
			FY	2014/15	FY	2015/16	FY	2016/17	FY	2017/18	FY	2018/19	FY	2019/20
			\$	4,068,413	\$	2,014,137	\$	1,840,637	\$	1,795,798	\$	(170,026)	\$	170,341

**PROJECT COSTS**

Fiscal Year	14/15	15/16	16/17	17/18	18/19	19/20	TOTAL
One-Time Cost	\$4,068,413	\$2,014,137	\$1,747,137	\$ 750,569	0	0	\$ 8,580,256
Continuing Costs	0	0	\$ 93,500	\$1,045,230	\$1,087,037	\$1,472,248	\$ 3,698,015
<b>TOTAL PROJECT BUDGET</b>	<b>\$4,068,413</b>	<b>\$2,014,137</b>	<b>\$1,840,637</b>	<b>\$1,795,798</b>	<b>\$1,087,037</b>	<b>\$1,472,248</b>	<b>\$12,278,271</b>

**PROJECT FINANCIAL BENEFITS**

5.	Cost Savings/Avoidances	\$0	\$0	\$0	\$0	\$0	\$0	\$0
6.	Revenue Increase	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**

**SECTION E: VENDOR PROJECT BUDGET**

Project #	5180-186
Doc. Type	FSR

Vendor Cost for FSR Development (if applicable)	\$0
Vendor Name	

**VENDOR PROJECT BUDGET**

Fiscal Year	14/15	15/16	16/17	17/18	18/19	19/20	TOTAL
Primary Vendor Budget	\$2,530,000	\$ 104,000	\$338,000	\$ 78,000	0	0	\$3,050,000
Independent Oversight Budget	0	0	0	0	0	0	0
IV&V Budget	\$ 16,000	\$ 192,000	\$192,000	\$ 64,000	0	0	\$ 464,000
Other Budget	\$ 253,440	0	0	0	0	0	\$ 253,440
<b>TOTAL VENDOR BUDGET</b>	<b>\$2,799,440</b>	<b>\$ 296,000</b>	<b>\$530,000</b>	<b>\$142,000</b>	<b>0</b>	<b>0</b>	<b>\$3,767,440</b>

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

**PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT**

Primary Vendor	
Contract Start Date	
Contract End Date (projected)	
Amount	\$

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**

**SECTION E: VENDOR PROJECT BUDGET**

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**PRIMARY VENDOR CONTACTS**

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





### 3.0 BUSINESS CASE

#### 3.1 Business Area Identification

The mission of the California Department of Social Services (CDSS or Department) 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.

The CDSS State Hearings Division (SHD) is a federal and state mandated organization whose functions are critical to the overall infrastructure and integrity of the California Health and Human Services Agency. SHD is responsible for ensuring due process for individuals who wish to appeal administrative decisions about benefits for public assistance programs. The SHD conducts administrative hearings and resolves disputes of applicants and recipients of the following public social services programs:

CA Public Assistance Programs	
Covered California	Community-Based Adult Services (CBAS)
Adoption Assistance Program	California Food Assistance Program
Assistance Dog Special Allowance Program	California Work Opportunity and Responsibility to Kids (CalWORKs)
CalLearn	Child Welfare Services
Cash Assistance Program for Immigrants	County Medical Services Program <i>(if the complaint is about scope of benefits)</i>
California Medical Assistance (Medi-Cal)	CalFRESH
Emergency Assistance	In-Home Supportive Services
In-Home Medical Care	Social Security Disability
Interim Assistance for SSI Applicants	Multipurpose Senior Services Program
Personal Care Services Program	Refugee Cash Assistance
Repatriate Assistance Program	Special Circumstance Payment (State Supplemental Program)

Welfare and Institutions Code Section 10950 provides dissatisfied applicants or recipients of public social services the right to request a state hearing and the opportunity to present his/her case directly to the Department for a formal decision. The work of the SHD is supported by a mainframe application housed at the Office of Technology Services (OTech) and 21 ad-hoc applications hosted at the Department's headquarters location in Sacramento to track, schedule and manage appeals received from all 58 counties. Collectively, these systems are known as the State Hearings System (SHS).



When denied services, a claimant may file a written request for a state hearing with Covered California (CC), the County Welfare Department (CWD), Department of Health Care Services (DHCS), or a claimant may file an oral request through the CDSS' Department's Public Inquiry and Response Unit or SHD's Customer Service Bureau. Hearing Requests are manually entered into the mainframe application through a terminal by SHD support staff or staff in participating counties. As part of the workflow for certain operational groups, the same information is then re-entered manually into one of the downstream applications.

Administrative Law Judges conduct quasi-judicial administrative hearings, evaluate evidence, issue subpoenas if necessary, make evidentiary findings, research applicable law, and prepare decisions. The ALJs issue final decisions on behalf of the applicable Director, i.e., CDSS, DHCS, and beginning October 1, 2013, Covered California, or submit proposed decisions for the Director's consideration. The Director may adopt the proposed decision, issue an alternate decision, or order a further hearing. Parties may request a rehearing if dissatisfied with a released decision. Released decisions are binding unless overturned by judicial review.

The department currently processes over 95,000 requests for hearings annually. Effective October 1, 2013, enrollment for health programs offered under Covered California will begin. The Division will assume responsibility for processing appeals for the expansion of Medi-Cal and for certain health insurance programs offered through Covered California. This will increase the projected annual number of hearing requests by approximately 48,800 and the number of administrative hearings by approximately 12,200.

At the request of the Deputy Director for SHD, Chief Administrative Judge Manuel A. Romero, acting as the owner and sponsor for the ACMS project, this FSR examines the need for a new Appeals Case Management System (ACMS) that will consolidate the functionality of the forty-year-old mainframe application and 21 ad-hoc applications.

### **3.2 Business Problem/Opportunity**

It has long been identified that the State Hearings System no longer meets the business needs of SHD. The system was originally designed and launched in the 1970s. Its primary features are:

- Maintaining Requests for a Fair Hearing
- State Hearing Scheduling
- Maintaining the Record of State Hearing Outcomes
- Producing Due Process Facilitation Letters

Since these initial business requirements were identified and implemented in a system, three decades of business changes have occurred; most notably additional reporting needs, user's needs, information security changes, and new information tracking requirements. Some of these requirements have been addressed through the development of the 21 ad-hoc downstream applications. However, these applications



are largely manual and are not sustainable given the exponential growth in requirements, information security and changes in technology.

**The proposed ACMS solution addresses the following challenges facing SHD with their current system and processes:**

- Consolidate the SHD main case management database, (HWDC), with 21 downstream systems into one comprehensive case management system
- Improve efficiencies through the automation of data intake and verification
- Deploy an Interactive Voice Response system (IVR) that provides 24 hours/7 days telephone access to benefit applicants/recipients, Authorized Representatives and other stakeholders consistent with the Federal Affordable Care Act “No wrong door” policy.
- Improve reporting functions through the expansion of case identification parameters and a Management Reporting module
- Achieve HIPAA compliance
- Achieve language requirement compliance
- Provide an Appeals Case Decision Writing Module
- Provide the capacity for secure interfaces with CalHEERS, SAWS Consortia and DHCS SURGE and HHS systems
- Provide adequate information security controls and role based access
- Implement cohesive and intuitive workflows
- Produce up-to-date letters
- Implement public intake / access integration
- Provide electronic document management and a case document archive
- Introduce flexibility requirements for docket scheduling
- Provide online web data input, review, or case status by benefit applicants/recipients, Authorized Representatives and other stakeholders
- Deploy a web-based County Dashboard, that provides the capability to view list of cases scheduled for hearing, general case status, upload of documents to case files, Statement of Positions, etc. used to review evidence and decisions, and the ability to withdraw hearings and notify stakeholders
- Implement a management monitoring module that provides tracking and performance metrics, and an ad-hoc reporting for quality assurance and quantitative review
- Greater accuracy and timely reporting of case management information
- Drastically reduce ballooning penalties assessed the State of California for failure to meet legal mandates regarding late decisions (see Appendix A1/A2)

### **3.3 Business Objectives/Benefits**

The proposed ACMS will create a single case management database that will combine intake, scheduling and reporting functionalities into a single workflow. The consolidation of the databases will streamline the currently manual case data transfer process as well as reduce the level of errors caused by the manual processes. The modernization of



programming code will allow for updates to the case identification parameters allowing for increased tracking and reporting functionalities. Updating of the coding will also allow SHD to meet HIPAA and Language requirements. The ACMS will have a public portal that allows the public to request a new hearing or check the status of an existing case on-line.

The beneficiaries of the enhancements received through the ACMS will be the recipients of public social service programs seeking fair hearings, CDSS stakeholders, CDSS, DHCS, Covered California, all California Counties and California taxpayers. The ACMS will be a developed solution that can be leveraged by agencies statewide for appeals case management.

### 3.4 Project Performance Indicators Evaluation Plan

The Department will evaluate the following eight project performance metrics as the benchmark for successful completion of the project:

Business Objective	Recipient of Value	Metric	Baseline	Target	By Date	Methodology
Reduce the average life cycle of an open Appeals Case, from receipt of the Hearing Request to release of the decision, by 14%, from 105 days to 90 days after one year of implementation.	Public seeking health benefits hearings, CDSS Staff and all CA taxpayers.	The average number of days that an Appeal Hearing takes to go from initial request by a recipient to a released final decision.	Currently the average time it takes for an appeals hearing requests to go from initial request to final released decision is 105 days.	One year after implementation of the ACMS the average life span of an appeals hearing will be 90 days, meeting the timeliness requirements of the King v. McMahan and Ball v. Swoap court orders.	10/2018	SHD will run monthly and quarterly performance reports providing a breakdown of closed cases and the average number of days the cases took to go from request intake to decision release.



<b>Business Objective</b>	<b>Recipient of Value</b>	<b>Metric</b>	<b>Baseline</b>	<b>Target</b>	<b>By Date</b>	<b>Methodology</b>
Ensure 100% of notifications to the public are available in English and 12 other languages by first month of implementation.	Public seeking health benefits hearings, CDSS, County Staff, Covered California, and all CA taxpayers.	Upon successful implementation all system generated notifications will be available in the following 12 languages (in addition to English): 1. Chinese 2. Russian 3. Spanish 4. Vietnamese 5. Arabic 6. Armenian 7. Cambodian 8. Farsi 9. Hmong 10. Korean 11. Lao 12. Tagalong	Currently all of the letters and notifications in the current system are available in English and 1 of the aforementioned 12 languages, or 8%.	User Acceptance testing will not be allowed to close out until 100% of the notifications, letters, etc., have been successfully produced and validated within the UA testing environment.	8/2017	Quality Assurance will provide testing reports to validate accuracy and completeness of all notifications in English and the 12 additional languages. This validation will also take place during User Acceptance by executing QA testing scripts previously validated.



Business Objective	Recipient of Value	Metric	Baseline	Target	By Date	Methodology
<p>30 days after implementation the three sub-systems/functions identified as Sound Recording App, Audio Transfer &amp; Upload Log Database, and 100% of the functionality associated with them, will be available in a single consolidated process within the ACMS reducing processing time by 66% and freeing staff to perform other necessary duties.</p>	<p>SHD Operations Support Staff and Associate Law Judges (ALJs)</p>	<p>The average time spent by SHD staff on the steps of generating, transferring, naming and maintaining an audio file for an appeals hearing. This will be accomplished by replacing the current 3-system 4-step process with a single step where all functionality is contained within the ACMS.</p>	<p>Currently the process of generating and maintaining an audio recording of an appeals case involves four primary steps/functions performed within three separate sub-systems. The average time spent by SHD staff on the steps of generating, transferring, naming and maintaining an audio file for an appeals hearing is 30 minutes per case. In FY 2012/2013 SHD processed 18,001 decisions. At 15 minutes per decision this equates to 4,500 man hours.</p>	<p>One month after implementation the four-step, 3-system process will be replaced by a single function that will be initiated by the ALJ hearing the case. At the beginning of a hearing the ALJ will log onto the ACMS and open the case file, navigate to the Hear screen or tab and initiate the "Record Hearing" function. Reducing the man hours to 1,500 [(18,000*(5/60))=1,500] for time spent managing appeals case audio files and freeing staff to perform other duties.</p>	<p>11/2017</p>	<p>SHD will run monthly and quarterly performance reports providing a breakdown of the number of hearings held. As the functions of recording and managing the hearing recordings is a single process the number of hearings held will provide the metric to demonstrate the success of the objective.</p>



Business Objective	Recipient of Value	Metric	Baseline	Target	By Date	Methodology
<p>6 months after implementation, reduce the amount of time spent by SHD staff on a monthly basis specifically for the manual calculation and review of penalties due to untimely release of decisions from 65 hours to 20 hours, a decrease of 69%.</p>	<p>SHD Operations Support Staff and claimants receiving payment of penalties</p>	<p>The average time spent on a monthly basis in the collection of hearing data, review of case decisions, determination of penalty eligibility of a case, recalculation of case timelines &amp; due dates and the calculation of penalties.</p>	<p>SHD staff currently only receives a monthly listing of appeals case decisions released for that time period. SHD staff must manually pull each closed case hard copy file and review the decisions to confirm if the written decision grant or denial was recorded correctly in HWDC, sort out the denials, sort out cases that are not eligible for penalties due to type of case being appealed, recalculate the case time lines to determine the correct number of days a case is late and calculate the penalties for each individual case. Currently SHD staff spend an average of 65 hours a month on this process.</p>	<p>6 months after implementation SHD will reduce the number of man hours spent on Penalty calculation and review by 69%, reducing time spent on this process from 65 hours to 20 hours per month. This will be accomplished through the refinement and expansion of the data being captured by the case management system, the enhancement of the system to correctly calculate timelines and increased reporting functionality. This will allow reporting to be accomplished in a timely manner while also freeing up staff to focus on other duties.</p>	<p>3/2018</p>	<p>SHD will track and report on staff hours spent on Penalty Calculations as well as turn-around time for release Penalty figures to executive staff on a monthly basis.</p>



FSR Appeals Case Management System (ACMS)

Business Objective	Recipient of Value	Metric	Baseline	Target	By Date	Methodology
<p>6 months after implementation the three sub-systems/functions identified as Decision System, Decision Archive and Decision Release, and 100% of the functionality associated with them, will be available in single consolidated workflow process all within the ACMS reducing the average decision processing time by 33%.</p>	<p>SHD Operations Support Staff and Associate Law Judges (ALJs)</p>	<p>The average time spent by SHD staff on writing, reviewing and releasing final appeals case decisions.</p>	<p>Currently Hearing Decisions are written in a separate document writing system. A Word document is then emailed to the PALJ for review and release approval and subsequently to support staff for final cross-reference of case number(s) and case name(s) and formatting. The documents are then saved on the SHD server, printed by support staff for mailing to all parties, manually scanned and uploaded to the Secure File Transfer system (SFT), mailing labels are printed, and mailing packets are assembled and mailed. Based on SHD Operations Support standards, the process takes support staff an average of 30 minutes per case. This equates to approx.110 man hours per clerk per month.</p>	<p>6 months after implementation the 3 sub-systems will be replaced with a single workflow with all functionality contained within the ACMS. Average processing time will be reduced by 33% from 30 minutes per case to 20 minutes, netting out to 73.25 man hours per support clerk a month for the processing of Hearing decisions. Allowing staff to perform other duties.</p>	<p>3/2018</p>	<p>SHD will run an desk audit tracking duties and use of time for the ALH Support Staff beginning 6 months after system implementation. This audit will provide new average processing times for decision processing and release tasks.</p>



## 3.5 Business Functional Requirements

### Case Identification Information

The ACMS will require a number of enhancements to the case information tables to enable SHD staff to efficiently operate. SHD staff requires the ability to search for a case from the database by means of different data sets all from a single screen. Enhancements and additional data fields required include the following:

- Program type identification; CalWORKS, CalFRESH, Medi-Cal, IHSS, Disability
- Subcategories for program identification; medical, dental, Scopes, Z unit
- Type of action being appealed; denial, discontinuance, reduction, overpayment
- Treatment Authorization Request (TAR) # field
- Notice of Action (NOA) # field
- Related or companion case linking
- DDSD Med-Pack tracking; requested, received, copied, returned to DDSD
- Authorized Representative (AR) relationship to claimant field
- Interpreter needs

### Calendaring of Hearings

SHD requires a complete revamp of the calendaring process. The limitations of the current SHS requires excessive manual processes and do not provide the flexibility needed to efficiently schedule appeal hearings. Enhancements and additional data fields that are required include the following;

- The capability to
  - link companion cases and have them automatically scheduled together
  - create a special scheduling requests field that indicates what the special scheduling needs are, including time the case needs to be scheduled and why case is on hold
  - schedule cases on an “as needed” basis as long as the hearing date occurs within 10 days
  - delete or edit a calendar that had been created. Cases previously scheduled on a deleted calendar should automatically be changed to “unscheduled” status
  - access calendar and return calendaring functions from a single screen
  - create and save calendar templates for future use
  - open multiple calendars at once
  - schedule all hearing types, phone, in person, remote, video, all in one calendar
  - spread out the hearings by case worker so that the case worker assigned does not have overlapping hearings
  - close or lock calendars on demand and not have to wait until the next day
  - set priority for scheduling from un-calendared case listing



- display interpreter needs for cases and simultaneously schedule interpreters
- allow for mass updating of hearings in a calendar
- show calendar slot vacancies in each time slot
- provide real time updates to hearing calendars, for instance when cases are withdrawn or postponed, the hearing calendar is automatically updated and all counties are notified

### **Case Change Log**

SHD requires that the ACMS have the ability to track all events associated with a case. In order to comply with HIPAA, we must be able to provide an audit trail with the following information:

- Who accessed a case file
- The date and time the file was accessed
- What information was available for viewing (this can be done by providing the access level of the individual accessing the file)
- What information was added, deleted or changed
- Screen Recording

Time spent on each page/screen

SHD also needs to generate reports with all the above information upon request by the claimant.

### **Case Narrative Screen**

The following enhancements to case narratives are required:

- Autocorrect/spell check function
- Ability for the creator of a narrative to edit or append
- The number of characters for each narrative needs to be expanded to allow for greater detailed notes
- The number of narratives that can be added to a case must not be limited

### **Case Document Archive**

The ACMS will need to allow access to full case file data for 48 months after the release date of the decision. In the current environment, access to the full case data is not retained on back up media beyond 90 days after the decision release date due to constraints of tape storage. This has proven to be inadequate as many claimants will request information and details for past cases beyond the 90 day window.



## Public Intake / Access Integration

The ACMS will address a number of enhancements needed to improve the public intake process.

In the current environment the online Appeals Hearing Request form that is available to the public cannot link and feed directly to the mainframe application, HWDC. The process requires that a hard copy of the information collected through the online form be printed out and then manually entered into the State Hearings System by SHD Customer Service support staff. The support staff must then scan the hard-copy print out into a PDF and forward the document to the County that issued the Notice of Action on which an appeal is being requested. Additionally, in the current environment the public does not have access to look up their appeal case via secure internet connection and check the status of the case, update contact information, upload documents relevant to the hearing. This not only increases the risk of manual errors, but causes a delay in the appeals hearing process. Enhancements and additional data fields that are required and will be addressed in ACMS include the following:

- Direct interface to the ACMS intake process for the claimants, Authorized Representatives and county workers
- Confirmation that a new case has been created at the end of the intake process
- Acknowledgement of the new case number and details sent to the claimant, Authorized Representatives and the county

## Notification Letters

SHD has currently identified over 130 notification letters currently in use. These letters do not meet current business requirements of being available in all languages required by the *Be Vu et al v. Mitchell and Bolton* lawsuit and Federal Regulations 7 CFR 272.4 (b). Further, it has been identified that these letters do not contain sufficient information regarding the rights of the claimants. Current system limitations prohibit CDSS from being able to modify letter content to meet current requirements to satisfy legislation and stakeholder requests.

## Letter Templates

SHD requires the ability to create and edit templates to over 130 letters used in the appeals process. Currently, many of the letters within the SHS are incorrect due to changes in regulations and the inability for edits, updates and changes to the current system.

## ALJ Dashboard

The creation of a new function will allow the Administrative Law Judges and Presiding Law Judges to review cases that they have been assigned. Some of the functionality of this dashboard will include:

- Direct access to the list of cases assigned



- Ability to:
  - Review the status of their cases
  - Upload documents to their cases
  - Directly retrieve documents from case files prior to, during and after a hearing
  - Make notes to the electronic case file during a hearing
- Review and comment on pending case file lists

**County User Dashboard**

The creation of a new user interface where authorized County staff with access and appropriate security levels will be able to log in to the ACMS. Some of the functionality of this dashboard will be the ability to:

- View list of cases scheduled for upcoming hearing dates
- View list of cases not scheduled for hearing
- Upload documents to cases files, such as Statement of Positions
- Download documents for review, such as items of evidence and decisions
- Withdraw hearings and notify SHD, Claimant and ARs

**Timeline Triggers**

SHD requires the ability to make changes to the timeline triggers used in appeals hearing process. Currently, many of the penalty calculations within the SHS are incorrect due to changes in regulations and the inability for updates to the current SHS.

**Reporting**

Following is a partial list of reports currently available:

Report No.	Frequency	Name of Report
SHDNADP5	Monthly	Monthly Issue Code Report
SHSNADP4	Monthly	Monthly NAD Timeliness Report
SHSP424A	Monthly	Scheduled Cases Report
SHSPST01	Monthly	Monthly Cases Heard by Regions and ALJs
SHSPST02	Monthly	Monthly Decision Timeliness Report
SHSPST03	Monthly	Monthly Written Decision Timeliness
SHSPST04	Monthly	Monthly Granted Decision Timeliness
SHSPST05	Monthly	Monthly Outcomes of Decisions Released
SHSPST07	Monthly	King and Ball Court Reports
SHSPST09	Monthly	Monthly 30 Plus Days Over Release Date Cases Report
SHSPST11	Monthly	Monthly Decisions Released by ALJ
SHSPST12	Monthly	Monthly Aid Category Filings by Counties
SHSPST13	Monthly	Monthly DHB Filings by Regions & By Counties
SHSPST14	Monthly	Monthly 50 Plus Days Over Adjusted Filing Date and Unscheduled Cases Report



Report No.	Frequency	Name of Report
SHS0063	Quarterly	Quarterly Totals by County
SHS0909	Quarterly	Quarterly Activity Report
SHS0910	Quarterly	Quarterly Medi-Cal Activity Report

Examples of additional reports that have been identified as needed include:

- Reports providing the number of cases with untimely decisions on a monthly basis with details as to days late, ALJ assigned to case, and decision rendered
- Reports providing a breakdown of penalties by program with case details
- Reports providing a breakdown of case volume broken out by Program and County

Additional reporting needs will be identified through development. Further, the system must be scalable with the ability for SHD to add additional reporting requirements as needed to ensure future flexibility.

### Security/Confidentiality

Due to HIPAA requirements SHD requires that specific role-based security levels be put in place tied to user types. Case data must be limited to “need to know” basis defined by HIPAA.

- The new system will limit cases viewed or editable to only those users "on a need to know" basis. HIPAA requires only need to know access. SHD has identified 24 specific User Types and has defined the access level that has been identified as being required for each of these user types.
- The process ID must be specific to the person logged into the system. Eliminate the current environment where any processor code is entered in order to process data inside the system after one is logged in. This allows the misuse of any processor code by any individual.
- Event tracking will provide an audit trail for all actions processed for a case. This will record date, time, processor ID and action every time a case is accessed.
- The system needs to limit display of a Social Security Number (SSN) to the last four digits. At no time will the full SSN be visible to a person accessing a case file.
- Personal health information / data access will be restricted to individuals based on their role / user type and on a need-to-know.

### Authorized Representative Management / Dashboard

Authorized Representatives (ARs) are divided into two groups; professional and non-professional ARs. Non-professional ARs consist of family or community members that are assisting the claimant at the claimant’s request. The non-professional AR will generally only be associated with a single case or linked companion cases.



Professional ARs are those agencies that represent the claimants through professional legal aid organizations and others. A series of enhancements have been identified as being critical in the development of the new system.

- The new system will provide for the creation of a new user interface where Professional Authorized Representatives that have been granted access and appropriate security levels will be able to log in to the ACMS. Some of the functionality of this dashboard will include the ability to Log in and see a listing of all cases and review cases status all cases for which they are listed
- Upload documents for attachment to the case file
- Download documents, such as SOPs, from the case file that they have been granted access to through their AR authorization
- Request expedited hearings, postponements and withdrawals
- Add additional contact information fields and types; email, multiple phone numbers and mailing addresses

Security levels for all parties accessing the new ACMS will be at role-based, security levels where only need-to-know data will be available to a predefined user classification. Authorized Reps will only be able to view cases they are currently the active AR for and will only be able to view HIPAA compliant data involving the specific case.

### **Public Resource**

On the Public Intake menu links to information pertinent to the claimants and the State Hearing processes are critically necessary. Some of these links will be:

- Hearing Terms
- Hearing Sites
- Contact SHD
- Before Your Hearing
- At Your Hearing
- After Your Hearing

### **Management Monitoring, Tracking and Performance Measurement**

SHD requires the development of a Management Reporting module that will provide SHD with the capability to timely and accurately provide detailed reporting to Department, Agency, other state and federal departments. This module will allow SHD management to monitor the production and flow of work processes for the division to ensure timelines and mitigate penalties; and allow for accurate and timely reporting of case management data and of SHD performance metrics to all stakeholders, including but not limited to:

- Caseload Intake by county and program type
- Caseload calendared and to be calendared
- Caseload hearings held by county and program type
- Caseload decisions issued by county and program type
- Caseload timeliness reporting



- Pending Caseload (cases heard awaiting decision)
- Unscheduled Risk Cases (cases at risk of being untimely and receiving penalties)
- Average Cases Heard
- Average Cases Adopted
- Total Number of intake, cases heard and cases adopted
- Workforce and hearing capacity
- Metrics on Case Intake, Case Outcomes, Cases Heard, Cases Withdrawn, Decisions Adopted
- Metrics on Re-hearings
- Penalties Paid for Late Decisions

### **Ad Hoc Report Generation**

In addition to the Management Reporting module and prescribed scheduled reports, SHD requires the development of a more complete Ad Hoc reporting system. Following is a list of requirements for the Ad Hoc reporting module:

- Create, modify and save report templates from a single screen
- Design a report with the criteria being any of the data fields used in the ACMS
- Ad Hoc query reporting must be available for export in various formats; Excel, Word, Crystal Report, PDF, Text (tab delimited)

### **Case/Document Retention**

SHD requires that electronic case files be maintained in the ACMS for 48 months after the release date of the decision. All documents associated with the case that have been uploaded and linked to the case file need to be accessible to users based on the user's security authorization. The following is a list of some of the documents that SHD has identified as likely to be attached to case files:

- Statement of Position
- Decisions
- Hearing Requests
- Authorized Representative authorizations
- Evidentiary documents
- Med-pack files (medical information provided by Disability Determination Services Division)

### **ALJ Resource Library**

Linkages are required for often used resources such as:

- Regulations used for hearings
- Procedural documents
- Decision templates



These links should remain accessible to the ALJ on their dashboards.

### **Interactive Voice Response Capabilities**

Interactive Voice Response (IVR) capabilities are consistent with the federal “No Wrong Door” ACA policy. The following is an initial list of functions already identified that will allow:

- Callers to check on the status of their case
- SHD staff to run an automated calling queue to claimants prior to a case hearing
- SHD to attach recordings of phone and remote hearings directly to a case file
- SHD staff, claimants, Authorized Representatives and County staff to update case information, requesting postponements and requesting withdrawals

### **Home Page Links**

ACMS will require links to the following sites and information that is currently available through the CDSS SHD internet page:

- Paraphrased Regulations
- SHD Training Bureau
- Authorized Representative form
- Hearing General Information
- Contact SHD
- Hearing Locations
- Publications
- Forms

### **Interfaces**

ACMS will require interface capability for the exchange of data between Health Care Insurance Exchanges and Social Service Program determination systems including:

- SAWS Consortia
- SURGE – DHCS (system maintained at DHCS with information that SHD uses to review cases, determine case classifications and validity of appeal requests).
- CalHEERS
- HHS

From a technology standpoint, the ACMS will be able to function (as a Case Management System) without the planned interfaces. Although the interfaces provide optimization, they are not necessary for the operability of the system.



### **Client Case Management Account**

ACMS will require electronic case management capabilities for clients seeking fair hearings. The Client Case Management Account will be managed by State Hearings Division staff. This web-based system will allow claimants the ability to:

- Log in securely
- Request a fair hearing
- Request special accommodations for hearing
- Upload and download documents such as items of evidence and Statements of Position for the hearing
- Access case specific documents submitted by counties and the State and received via interface with SAWS, CalHEERS, and DHCS' SURGE system
- Submit requests for hearing changes
- Check the status of a case online
- Access laws, regulations and policies relevant to their case

Providing claimants online, real-time access to their case information will increase case timeliness and mitigate penalties paid for late hearing decisions by:

- Fewer hearing delays
- Significant reduction in staff time responding to calls from claimants for case status information.
- Better informed claimants which increase the likelihood for prehearing resolution of disputes without need for hearing
- Better prepared claimants which allows for more efficient use of the hearing to focus on issues in dispute



## 4.0 BASELINE ANALYSIS

### 4.1 Current Method

The myriad automated and manual efforts that comprise the current hearings “system” were designed, collectively to support SHD staff to track and manage requests throughout the public assistance hearing process. Specifically, the system is intended to support the central office, three geographically located regional offices, and 58 counties.

The SHD, based on a five year average, receives over 90,000 hearing requests annually and conducts over 16,000 administrative hearings a year. These figures are projected to increase to approximately 139,000 hearing requests and 28,000 administrative hearings annually with the inclusion of the expanded Medicaid eligibility and Covered California workloads created by the Affordable Care Act implementation in 2014. The following diagrams the progress of requests before, during and after (post) a hearing.

#### 4.1.1 Before Hearing Process

The Before Hearing Process encompasses the time period from when a claimant first requests a hearing to when an ALJ is scheduled to hear the case.

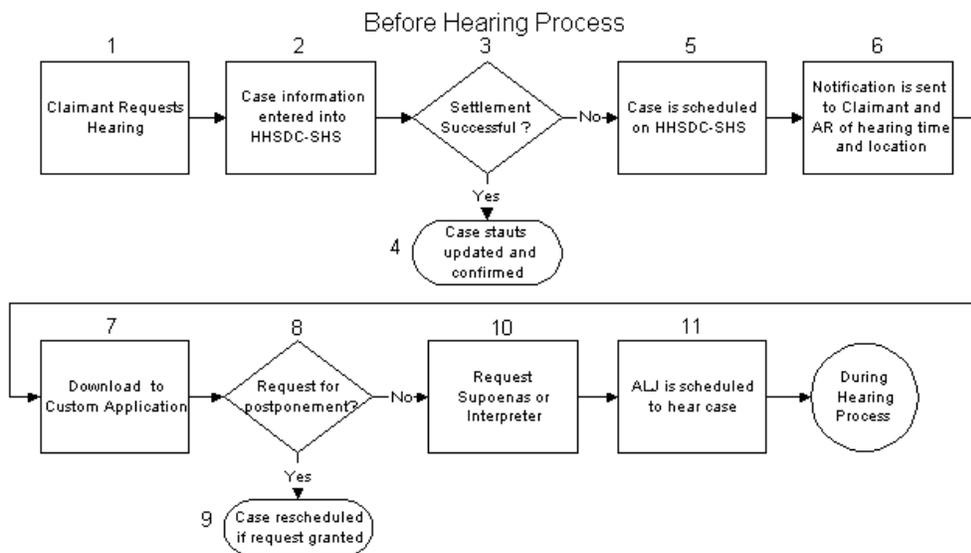


Figure 0-1



### 4.1.2 During Hearing Process

The During Hearing Process is the time period during which the case is heard.

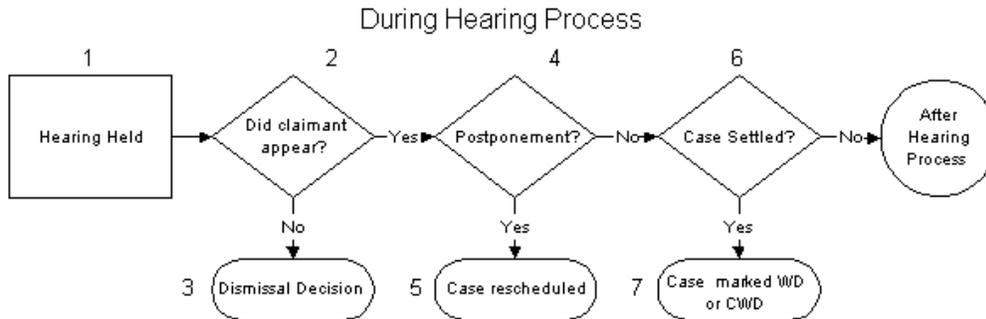
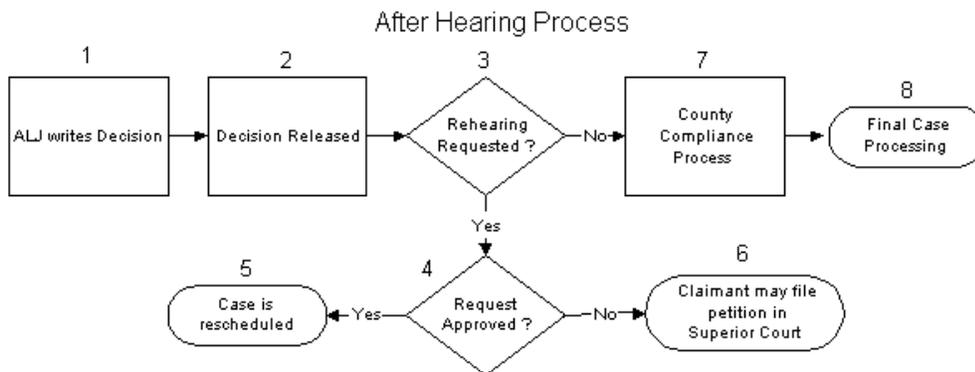


Figure 0-2

### 4.1.3 After Hearing Process

The After Hearing Process encompasses the time period after the hearing through decision release and subsequent appeal, if any.



The system, *as currently designed*, cannot support the present workload. With the impending implementation of new programs within this fiscal year, Medi-Cal expansion and Covered California, the number of hearings are projected to significantly increase. The current processes depend on manual transfer of data from one source to another, manual data entry into the mainframe system and then re-entry of data into one or more of the multiple downstream systems. This causes bottlenecks in the processing of hearing requests and exposes the processes to multiple human errors. The lack of an efficient scheduling module to handle the complex issues involved with scheduling multiple hearing types, locations and issues causes another bottleneck in the timely processing of appeals case processing.

The mainframe system was written in COBOL and Natural. CDSS Information System Division (ISD) has great difficulty recruiting and maintaining programmers for these obsolete languages and does not have the resources necessary to adequately support much less expand the existing SHS system. Additionally, the antiquated programming



languages make enhancements to the system impractical from a functionality and business prospective.

The ISD provides application support in the form of development, maintenance, and support of the SHS Mainframe on an as-needed basis. For questions and troubleshooting on personal computing, SHD staff contacts the ISD Help Desk. For support of the Ad-Hoc applications there are 2.0 positions: 1.0 Associate Information Systems Analyst (AISA) and 1.0 Associate Governmental Program Analyst. This staff has been redirected from regular, ongoing workload to address the unique issues associated with the application environment as it currently exists.

The overall lack of system capacity and proper architecture requires staff utilizing the system to often resort to manual processes and/or workarounds to complete their tasks. Based on user interviews, there is extremely low satisfaction with the current application environment.

Reporting from the system is limited due to the inability of the system to be expanded to incorporate all the necessary data fields required by SHD.

Therefore, it is incumbent upon SHD to acquire a secure, integrated and scalable solution to address its business needs.

#### 4.1.3 Current State Hearings Solution

The graphic on the following page provides a high level view of the current State Hearings System and its reliance on the 21 downstream (ad-hoc) applications (primarily Access databases) referenced throughout this document. The applications are known as:

- |  |                                  |
|--|----------------------------------|
| 1. Administrative Dismissals   | 11. Interpreter Billing          |
| 2. Appeals Case Listing Generator                                    | 12. Interpreter Scheduler Loader |
| 3. Community Based Adult Services (CBAS) Case Hearing Request Loader | 13. Judges' Performance Measure  |
| 4. Digital Recording Logs  | 14. Label Maker                  |
| 5. Disability Case Management  | 15. Label Maker Lookups          |
| 6. Dismissals  | 16. Managed Care Decision Loader |
| 7. Dismissed Rehearing Requests                                      | 17. Online Requests              |
| 8. Hearing Calendar Generator  | 18. Public Intake Portal         |
| 9. Hearing Calendar Loader   | 19. Regional Contacts            |
| 10. Hearing Request Loader   | 20. Rehearing                    |
|  | 21. Z Cases                      |



# CURRENT STATE HEARINGS SOLUTION



**Legend**

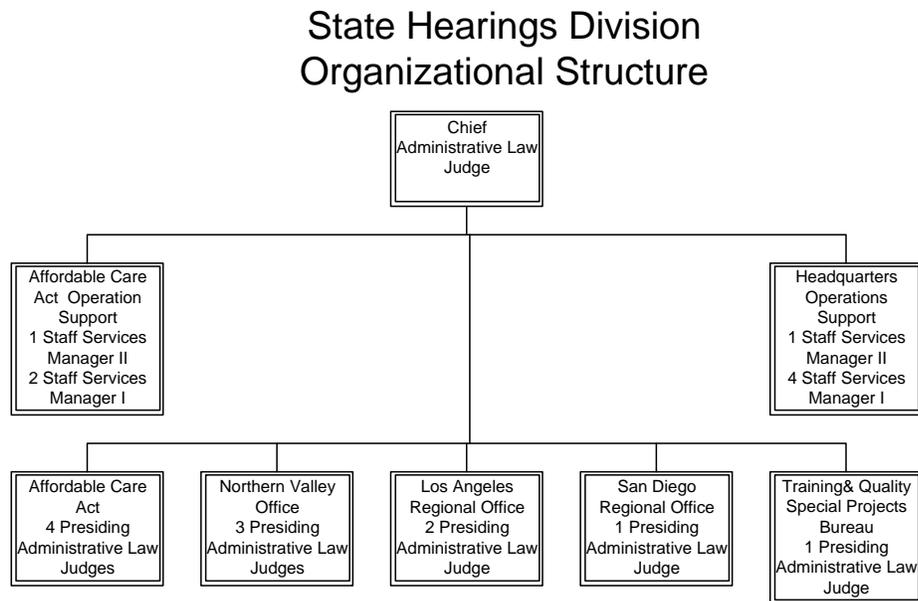
- External System without SHD connection
- HWDC
- Separate Sub System
- Correspondance



## 4.2 Technical Environment

The diagram below provides a high-level overview of SHD's organizational and managerial structure.

SHD is structured with a main center of operations located in Sacramento and three Regional Offices in Oakland, Los Angeles and San Diego. The Regional Offices are staffed with Presiding Administrative Law Judges, Administrative Law Judges (ALJs) and support staff. The Regional Offices have been established to adjudicate the administrative hearings based on the counties in their respective geographical locations. The responsibilities by each location and the intricacies of their system requirements will pose specific challenges for the implementation of the new system. The Training, Quality Control and Special Projects Bureau staff within SHD is proactively working with the Regional Office management teams and the SHD ACMS business lead in the development and documentation of business workflows and requirements to address these challenges.



Currently, there is very limited interaction between the SHS and other partner systems. The new ACMS will have the capacity to interoperate with other systems including CalHEERS, SAWS and DHCS' SURGE system. It will also support initiatives such as California Health and Human Services Agency Shared Services Governance Model which aims to accelerate change, deliver innovative business functions, focus on new business functionalities and simultaneously improve re-usability and shared resources/services. The ACMS will provide State-level information processing and also



relevant information for the counties. This will usher in an enterprise system strategy that will drive our overall application deployments.

Financial constraints over the prior seven years have been an impediment in developing and deploying a new system. The Department's commitment to meet legal and public policy mandates (such as confidentiality, security and privacy, the Freedom of Information Act, the Information Practices Act, HIPPA the California Public Records Act, the State Records Management Act, or other legislatively mandated requirements) put into place to protect State of California information assets and its citizens, have created challenges for the department to consider in application implementation. The Department is engaged in planning and implementing current technology, anticipating changes in hardware, software, and/or the operating system environment. The current technology is considered legacy & is becoming more difficult to support as it is based on mainframes and the COBOL and Natural programming languages. CDSS is migrating its technical environment to more readily supportable technologies such as client-server, C# and SQL. The ISD plans to provide technical training to move the current staff skillset to present-day technology, and hire new staff with industry-wide technical knowledge to meet the demands of an environment that includes ACMS.

#### 4.2.1 Existing Infrastructure

The existing CDSS technical infrastructure consists of the following components:

1. **Desktop Workstations:** Windows-based PCs and laptops.
2. **LAN Servers:** CDSS and its regional offices are currently connected to the Office of Technology Services (OTech) Wide Area Network (WAN) called CSGNET but is in the process of moving all its LANs to the new California Government Network called (CGEN) hosted by Verizon.
3. **Network Protocols:** The OTech provides CDSS' Internet service. Network protocols are TCP/IP.
4. **Application Development Software:** The standard application development tool set is VB, ASP.NET 1.1, SQL 2003/2005/2008/2012, Natural/ADABAS, MS Access and Lotus Notes.
5. **Personal Productivity Software:** The current software standards are MS Office suite.
6. **Operating System Software:** The application server operating system (OS) is Windows Enterprise Server 2008R2. At the desktop, PCs run on Microsoft Windows XP Professional but are preparing to migrate all to Windows7.
7. **Database Management Software:** The Department's standard database software is MS SQL.
8. **Application Development Methodology:** The CDSS uses a standard System Development Lifecycle (SDLC) application development methodology. For web-based applications, the development methodology is based on Microsoft's Team



Server Tools framework. The implementation of the proposed solution will be consistent with CDSS' methodologies or based on an industry accepted application development methodology proposed by the vendor.

9. **Project Management Methodology:** The CDSS Project Management Office (PMO) utilizes project management policies and practices for implementing IT projects, based on the CA-PMM, Project Management Institute (PMI) and Institute for Electrical and Electronics Engineers (IEEE) project management policies and practices.



## 5.0 PROPOSED SOLUTION

The identified Proposed Solution that best satisfies our objective and functional requirements is a combination of Commercial Off-The-Shelf (COTS) and Modified Off-The-Shelf (MOTS) products with customization. In our quest to acquire this system, we have gathered and documented our high-level business requirements, and conducted product demonstrations with additional demos expected. We have also completed a Request for Information (RFI), to enable prospective vendors to respond to our inquiry on application feature set, capabilities and technology. The RFI process will be used to evaluate potential vendors, vendor' financial strength, capabilities, prior implementation of similar application and technology compatibilities that leverage our existing resources.

The proposed ACMS will create a single case management system that will combine intake, scheduling and reporting functionalities into a single workflow. While the design and development of the interfaces are not within the current scope of this FSR, the system will be designed with the flexibility/capacity to accommodate interfaces with CalHEERS, the SAWS consortia, DHCS SURGE and HHS in the future. The decision to proceed with the interfaces will be based on a future evaluation of which entity will take the lead on the design and implementation of the interfaces and the associated costs. The consolidation of the databases with the future implementation of secured interfaces with CalHEERS, the SAWS consortia, DHCS SURGE and HHS will streamline the current manual case data transfer process as well as reduce the level of errors caused by the manual processes. The modernization of programming code will allow for updates to the case identification parameters allowing for increased tracking and reporting functionalities. Updating of the code will also allow SHD to meet HIPAA and Language requirements. The ACMS will have a public portal that allows the public to request a new hearing or check the status of an existing case on-line.

### 5.1 Solution Description

**Hardware:** The hardware required to support the proposed ACMS application will include blade servers, load balancers, storage area network (SAN), routers, switches and other network connectivity appliances. DSS intends to host this infrastructure within the OTech Tenant Managed Services (TMS). However, cloud services have not been ruled out so alternative solutions that will meet the business needs will also be assessed.

**Software:** The software proposed will be identified during the impending RFI/RFP processes. To maintain CDSS standards it would be preferable if the solution was developed using a programming language that leverages our existing resources.

**Technical platform:** The application will be hosted at the Data Center, Tenant Managed Services (TMS) environment, on virtual machine (VM) servers.



**Development approach:** The Proposed Solution will be a Commercial-Off-the-Shelf product (COTS) and Modified-Off-the-Shelf product (MOTS) with customization to fully support our business requirements.

Select and estimate percentage of each:

- |  |      |
|--|------|
| <input checked="" type="checkbox"/> COTS               | 80%  |
| <input checked="" type="checkbox"/> MOTS               | 10%  |
| <input checked="" type="checkbox"/> Custom Development | 10 % |
| <input type="checkbox"/> Others                        | 0 %  |

**Integration issues:** The ACMS system shall have the capacity to integrate and interoperate with CalHEERS, SAWS and the DHCS' SURGE systems.

**Procurement approach:**

The ACMS implementation will require procuring the software with modifications to align with clearly defined business requirements based on a business-based procurement approach. CDSS plans to solicit competitive offers to acquire the solution by using the California Multiple Awards Schedule (CMAS), Request for Proposal (RFP) or California Statewide Commodity Contracts (SSC)). The procurement will include:

- The COTS/MOTS solution with custom software development for configuration, integration and interoperability - RFP
- Software licenses and maintenance - RFP
- Independent Validation & Verification Services (IV&V) - CMAS
- Interface development and implementation – RFP/CMAS
- Training - RFP
- Organizational change management support – RFP
- System Hardware - SSC

The procurement process for the software solution, which will culminate in a RFP, will include several techniques to ensure a holistic approach in our acquisition methodology. This may include the following, Request for Information (RFI), Request for Offer (RFO), and Request for Demonstration (RFD) to purchase the products and services. The RFI process has already been completed and feedback is included in the FSR.

The RFP requirements will take into consideration the larger technical environment in which the proposed solution will need to be housed. Development of the requirements will involve stakeholder meetings with CalHEERS and SAWS consortia and CDSS staff to insure the ACMS has the capacity for interfacing with these systems. During the procurement process, state staff will be available to answer vendor questions, which will help them tailor a system designed to meet CDSS specifications. This type of procurement may also require additional reviews for



approval from entities such as CDSS Legal Services and California Health and Human Services Agency. The majority of the technical writing and analytical tasks would be completed by the Programmer Analysts and Associate Government Program Analysts. The technical staff will resolve technical issues while the business staff will be engaged in the development of the contract documents. The CDSS will adhere to all procurement guidelines including compliance with State of California contracting preferences and goals including the certified Small Business preference and certified Disabled Veteran Business Enterprise contracting goal. CDSS will work closely with the Statewide Technology Procurement Division (STPD) and every effort will be made to accelerate the procurement cycle, complete the award, and begin the implementation effort by June 2015.

### **Market Research**

In order to identify and evaluate alternatives to consider, CDSS SHD and the ISD completed the following analysis:

- Market Research to identify key providers of hearings and calendaring management solutions
- Discussions with other CA State and Local Agencies to identify any existing viable alternatives
- A formal RFI was conducted to determine if the available COTS applications could meet the business needs of CDSS SHD

The vendors responding to the RFI proposed solutions based on the industry leaders in database software including the current CDSS supported standard, as well as cloud-based technology. It was through this analysis that CDSS SHD and ISD concluded that a combined COTS and MOTS approach with customization was the most advantageous. A best of suite approach will allow CDSS to implement the leader in their field, rather than try to encourage a solutions provider to develop functionality that is not part of their current solution. A best of suite solution was identified through a market analysis that demonstrated clear leaders whose products delivered most, if not all, components of the ACMS functionality.

CDSS used the results of the RFI and reviews of existing state and local systems to model the ACMS deployment approach and costs. The following describes the results of an RFI for vendor procurement, development and implementation of the selected alternative and review of other state and local systems.

### RFI Responses

Responses to the ACMS RFI were received from four vendors. All vendors responded to all the items in the section of the RFI Questionnaire related to whether they could provide a single, integrated solution that supported the required business functions. None of the vendors demonstrated that they could provide a true out of the box, "plug-and-play" solution. All proposed solutions would require customization to meet CDSS SHD business requirements. Not one of the respondents demonstrated a currently deployed and operational solution addressing



appeals hearing calendaring/scheduling that would meet the current business workflows of SHD.

All four vendors demonstrated some level of experience with Public Social Service Programs. Two vendors stood out with examples and references for solutions that address the business of CDSS SHD. One solution is currently deployed in eight States and demonstrates a direct understanding and functionality to meet the requirements of the Affordable Care Act. Another vendor currently has a solution for court calendaring and scheduling in operation with Federal Office of Disability Adjudication and Review and the 9<sup>th</sup> Judicial Circuit of Florida. However, a lack of detail on the functionality of the system and how it meets the needs of current users makes it difficult for SHD to evaluate the level at which this solution may meet the unique business needs of SHD.

#### Existing State and Local Systems

SHD viewed demonstrations of case management systems in use by two public agencies as possible solutions in part or in whole. The two systems are the LA County Appeals and State Hearings Tracking System (ATS) and the Administrative Office of the Courts (AOC), Appellate Courts Case Management System (ACCMS). While both contained many features of the solution required by SHD to meet its business needs, neither met the key requirement of being able to calendar and schedule hearings based on user input.

The ATS lacked a case calendaring/scheduling module, as they currently do not handle this function. Other missing functionality in the ATS included no Public Portal and interfaces with other systems. ATS did demonstrate the ability to support many of the business requirements of SHD. The ATS does utilize a document management module, notification functionality, support of multiple languages, workflow monitoring with reminders and alerts and management reporting.

The ACCMS lacked the ability to schedule hearing calendars in batches based on user-selected criteria; ACCMS also lacked the current ability to send notifications in multiple languages. Both of these functionalities are not processes needed by the AOC. ACCMS has many of the required functionalities identified by SHD; HIPAA compliance, Electronic Document Management, Public Portal, Docket/Case event tracking, editable notifications, management reporting and workflow management with reminders and alerts.

#### **Procurement Schedule**

The current estimated procurement schedule is outlined as part of the Project Management Plan presented in this report.

#### **Contract Term**

Due to the coordination required in working with several stakeholders involved, the Department has estimated that the system integrator will be contracted for a term of twenty-nine months to plan, design, develop and deploy the solution. A one year of warranty service following acceptance of the system will be required in the contract



as well as knowledge transfer to state staff. The Department IT staff will provide long term support and maintenance of the system, including extensibility work.

### **Technical interfaces**

The system will have the capacity to integrate with the CalHEERS, SAWS, DHCS' SURGE and HHS systems. The decision to proceed with the interfaces will be based on a future evaluation of which entity will take the lead on the design and implementation of the interfaces and the associated costs. These are governmental agencies that may require data exchange agreements. At such time as the interfaces are developed and ready for implementation, CDSS will evaluate the need to implement data exchange agreements with those entities. The systems integrator will be responsible for providing the ACMS solution with the capacity to interface with both internal and external systems. Initial discussions with the interface entities or their representatives have occurred. They will be consulted throughout the System Development Life Cycle to insure that the interface capability is designed and developed to ensure successful future integration with the ACMS.

### **Accessibility**

The ACMS will meet all the accessibility requirements, (Government Code 11135 and Section 508), based on vendor tests and verification will be conducted by CDSS.

### **Testing Approach:**

#### **Testing plan**

The 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 CDSS. The vendor will be required to propose, plan, execute, and complete both functional and technical testing that meets CDSS standards, with input from CDSS project team. Acceptance testing plans will be developed by CDSS with the assistance of the vendor.

The scope of testing broadly covers the functional and technical aspects of ACMS 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 this project are described below.

#### **Functional Test Strategy**

Functional testing will be performed to validate that the business requirements have been met. 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 system integration developers within each functional area.
- *Integration testing* confirms that the ACMS solution is built to meet the system requirements. Integration testing is performed to ensure that separate modules and integrated COTS products function correctly. This testing will be performed by the system integration quality assurance testers.
- *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. This testing will be performed by the system integration quality assurance testers and is performed on hardware closely resembling the production environment.
- *User acceptance testing* confirms that the system fulfills CDSS's business and technical requirements and is accepted. This is the final functional test of the system. CDSS will execute this test in an environment closely resembling the production environment.
- *Piloting* confirms the behavior of the system in the production environment using live data. Pilot testing will allow the state an opportunity to identify and resolve major system and process issues prior to implementing.
- *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.

### Technical Test Strategy

The vendor along with ISD staff will perform technical testing to confirm that the hardware and software perform adequately and meet the state's technical requirements. The various levels of technical testing and their purposes are as follows:

- *Performance testing* determines how well the system performs in relation to the performance requirements. 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 will 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 ACMS. This testing will be performed by the technical team in coordination with ISD resources, and will be performed in parallel with the functional system and user acceptance testing. Security testing will include testing of the system's Disaster Recovery Plan.



**Resource requirements:**

The resource requirements for the project are based on CDSS experience with comparable projects, and experience with similar tasks and activities, e.g., system design and integration, migration to a new platform, and application development. The resources needed to procure, design, develop, and implement the proposed solution will come from a combination of CDSS and Office of System Integration (OSI) staff (providing expert procurement support and guidance) and a system implementation/integration contractor. The ACMS project will require State staff with program knowledge, and application deployment and project management experience and skills. The staff resources identified for the procurement, development, implementation, and support of the proposed solution is detailed in the Economic Analysis Worksheets. The proposed solution will require the participation of staff from both the Program and Information Technology areas of CDSS. These team members will be on-boarded together at the beginning of the project and will work cohesively to perform duties necessary to achieve project milestones.

Role	FY 14-15	FY 15-16	FY 16-17	FY17/18	FY 18-19	FY19/20
Existing Staff	5.0	5.0	5.0	5.0	5.0	5.0
Program Staff	4.0	4.0	4.0	2.0	0.0	0.0
Infrastructure Staff	2.0	2.0	2.0	2.0	1.0	1.0
Programmer Staff	3.0	3.0	3.0	3.0	0.0	0.0
Project Management Staff	1.0	1.0	1.0	1.0	0.0	0.0
Project Oversight Staff	1.0	1.0	1.0	0.5	0.0	0.0
Totals	16.0	16.0	16.0	13.5	6.0	6.0

**Training Plan**

The vendor will be responsible for developing a training plan. The implementation of ACMS will require training the SHD staff who will use the new system and technical staff who will support it. The State envisions using a comprehensive approach to training for the above user groups. CDSS ACMS users and technical staff will be trained by the selected vendor through a combination of training classes and technical guides, computer based training, and hands-on-observation/participation. CDSS staff will take on training responsibilities following expiration of the vendor contract.

The CDSS Technical Services Branch (TSB) staff responsible for ongoing maintenance and support of the ACMS application will work closely with the vendor during system implementation; vendor mentoring and training will be part of this working relationship. The integration of TSB staff during implementation is of critical importance to ensure that TSB staff will be ready to take on all responsibilities for technical support,



maintenance and modifications and enhancements of the system after vendor disengagement.

### **Change Management**

Planning and implementation of the change management process will be critical to the timely and successful implementation of ACMS. CDSS has already conducted a thorough inventory mapping of current processes which will need to be modified or eliminated. The ACMS project team will further develop an organizational change management plan using best practices to help minimize the impact on end-users. Although CDSS will have primary responsibility for these activities and the acceptance of the system, the vendor will provide support for organizational change in concert with CDSS Project staff.

CDSS also anticipates establishing a change management process to manage any future changes to project scope, schedule, costs, requirements, and project deliverables and documentation. A Change Control Board, with documented roles and responsibilities will meet periodically to review, determine the disposition of, and prioritize change control requests and report recommended direction to the ACMS Project Director for final approval and execution. It is anticipated that a TSB staff member will administer the change control process. Transparency of the change management process will be accomplished via documentation of the change management process, a process charter and communication of logged change control items and outcomes at periodic project status meetings.

### **On-going maintenance:**

Technical Services Branch will be responsible for operating, maintaining, and patching applications, databases, and providing guidance for requirements, design and architecture of the solution over time. The TSB will also be responsible for ongoing training of IT staff.

TSB staff will perform the following services as part of ongoing maintenance:

- Develop requirements for the proposed changes
- Receive and analyze requests for changes
- Design and develop the proposed changes
- Testing of all changes
- Training staff on new functionality from changes
- Database administration

The CDSS Operations Branch will be responsible for the following;

- Hosting the new system at OTech Tenant Managed Services (TMS)
- In conjunction with vendors, developing a design and implementation plan



- Managing all production infrastructures, hardware maintenance activities including on-going technology refreshes
- Operating system upgrades and patches, server administration, server and network monitoring and management
- Performing application and data backup and recovery, assessing and addressing future capacity needs (planning with SHD), and on-going management of storage and other server and network related services at the TMS facility at OTech.

The vendor will be responsible for one year of warranty support in compliance with the state's IT General Provisions and the relevant IT Contract Modules. Additional warranty requirements that the vendor must meet will be defined if necessary.

### **Information security**

The information security requirements will be consistent with SAM 5300, the state's information security program guide developed by the California Office of Information Security, as well as the CDSS Information Security Program. The security requirements for the ACMS project will be developed by reviewing all of the information assets for ACMS that need to be protected from unauthorized access. These information assets include physical assets (hardware, storage), software assets (software, database, etc.) and data assets. The vendor will implement a solution that incorporates system security and data integrity as part of its overall solution. To protect the confidentiality, sensitivity and privacy of data, security will be enforced on the application.

The proposed solution will require users to log in with a user identification and password. The system will utilize role-based access control to limit access to functions, screens, and data to only authorized users. CDSS users will access the proposed solution through a Web browser. Role-based security will be granted to the different types of users based on their business need to access the system.

The technical network environment will maintain a perimeter firewall to protect systems from inappropriate access. Appropriate software virus detection and Intrusion Detection (network and host) software will be installed on the system's servers to protect against unauthorized access and provide an additional level of security.

The CDSS Information Security Officer will participate in the planning, design, and development of this project during the entire project life cycle. The following summarizes the high-level security requirements, which will be required in the final solution:

- Compliance with SAM 5300 security policies and standards required by CDSS and State control agencies.
- Authentication and authorization.
- Access protocols.
- Mechanisms to assure and protect data integrity.



- Audit trail of all data changes (required).

The proposed solution includes security levels implemented using n-tier architecture with additional protections to adhere to the following requirements:

- Appropriate firewall solutions will continue to be used.
- Audit trails within the application and architecture (required).
- Information stored on the system databases will only be accessible to authenticated and authorized users.
- Each user will be assigned to one or more user groups, depending on the profiles established for the security groups.

The proposed solution will support different levels of CDSS, state, local, and appropriate stakeholder access. Classes of users will be established, and the user login and authentication process will manage access levels. These access levels include:

- Inquiry
- Additions
- Deletions
- Modifications
- Security maintenance (e.g., creation or update of security profiles)
- System maintenance (e.g., table-driven system parameters)

All events will be logged, ensuring data accountability for the actions of any individual as follows:

- The new system will keep track of dates and times users log on and log off.
- After a user is logged on and working, the system will keep track of the data entered and modified, including dates and times.
- Whenever datasets are used or reviewed, the individual who last entered or modified the data will be identified.
- If a user is logged on, but does not actually use the system for a defined period of time set by policy, the system will log itself off.
- Users will be asked to re-authenticate their identity if the system has been left idle for a period of time defined by the CDSS access control policy.
- The proposed solution will also track and report on access violations. The system should track when users attempt to access areas they are not entitled to.
- End users will access the system through authentication.
- All users must be authenticated before granting access to application resources and functions.



- Passwords must meet CDSS password policy of minimum length and complexity requirements.
- Users must be required to change passwords after a specified period per CDSS password policy.
- 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.
- All sensitive, confidential, and personally identifiable information, including passwords, will be stored in the database and encrypted at rest. In addition, all backup data will be encrypted.
- All access to data and reports will be audited and logged.

### **Confidentiality**

The techniques employed to ensure system security and integrity, as well as to control access to data, are discussed in the section above on Information Security. These techniques also 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 the CDSS and include the signing of a Non-Disclosure Agreement by all stakeholders including vendor employees. The confidentiality requirements for the 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 personal information about individuals as defined in California Civil Code Section 1798.3 of the Information Practices Act. Confidential data includes personal identifiers and this includes data such as name, social security number, address and date of birth.

### **Impact on end users**

The ACMS project will have a significant impact on state and county staff by mitigating the problems described in the Business Problems section above. The ACMS will provide County Appeals Case workers with a web based portal where they can input hearing requests, review appeal case statuses, update case information, request postponements, enter withdrawals, review & upload case documentation, and review hearing day calendars and schedules. County Appeals Case Workers will have the ability to log into the system through their specific user ID and review a list of cases pending a hearing date, review case information updates and changes and updates to hearing day calendars. Prior to cases actually be scheduled for hearing the Counties will have the ability to assign an Appeals Worker to each case. This will allow SHD and the County to schedule hearings in a more efficient manner eliminating or limiting in the very least the number of overlapping cases being scheduled for a single worker. This will ensure Appeals Workers are available at the time of the hearing and provide the applicant with a timely adjudicated appeal.



In order to have the desired impact, staff will need to be trained not only how to use the new system, but also what its capabilities are and what data it contains. The negative impact to staff is not anticipated to be significant as both county and state staffs are anxious for the automated and integrated features that the system will provide.

The most significant impact on staff will be learning to use the new system since the manual and antiquated system will be replaced with an automated system. Counties will be included as key partners in the Change Management plan.

To ensure stakeholder acceptance of the new system, the CDSS will:

- Establish executive ownership of the solution and support its use throughout the organization.
- Gather end user input during the implementation process to ensure the solution meets specific user needs and users feel a sense of ownership.
- The UAT will be implemented exhaustively.
- Provide training for end users.
- Allow time for implementation of re-engineered business process.
- The ACMS project team will develop an organizational change management stated earlier in this document.

### **Impact on existing system**

The current SHS system poses significant challenges to staff and all stakeholders. Replacing the system is highly anticipated by staff, and will be welcomed. Migration of current data from the Microsoft Access databases will pose minimal challenges because of the fragmented nature of the data, while data migration from the existing mainframe system will pose a different set of technical challenges, which has been thoroughly evaluated.

### **Consistency with overall strategies**

The ACMS application is in alignment with the agency's Agency Information Management Strategy (AIMS) and strategic business plan, as well as the state's strategic direction for information technology. The ACMS 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 requires participation with county welfare departments and welfare automation consortia to meet the project's interfacing objectives. The proposed solution will be compatible and consistent with the overall technology standards and direction of the California Technology Department objectives. ACMS is in alignment with the following California IT Strategic Plan goals and objectives:

#### **Strategic Goal 1. Accessible and Mobile Government**

**Objective 1.1** Increase the use of government information by increasing user access.



**Strategic Goal 3.** Efficient, Consolidated, and Reliable Infrastructure and Services

**Objective 3.1** Implement email, network, data center, server, and storage consolidation and virtualization to increase efficiency, reduce costs and reduce energy consumption.

**Strategic Goal 4.** Information is an Asset

**Objective 4.3** Improve how California uses public data and information by encouraging and enabling shared capabilities and solutions.

**Impact on current infrastructure**

The proposed solution and associated costs assume that all hardware will be physically housed at OTech and the presentation layer will be browser based. No modifications to the CDSS, OTech, or state local area network or other existing infrastructure are expected to be necessary.

1. **Impact on data center(s):** The State Data Center will be impacted by installation of additional server blades, routers, switches and load balancers.
2. **System Hosting/ Data Center Consolidation:**

<input type="checkbox"/> OTech Managed Services	<input checked="" type="checkbox"/> OTech Tenant Managed Services
<input type="checkbox"/> Agency/Dept	<input type="checkbox"/> Outsourced/Other _____

The proposed solution is consistent with the state’s requirement for all new non-mainframe systems, except those used for LAN and office automation functions, be hosted at one of the major data centers as indicated above.

3. **Backup and operational recovery:** The Department’s ISD will provide backup and operational recovery services. The ACMS backup and operational recovery strategies will be in compliance with the state’s Disaster Recovery Plan standards (as defined in SIMM 65A). The vendor will outline the appropriate operational recovery and backup needs for the proposed solution in the vendor's proposal. The ACMS 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 as defined in the CDSS Disaster Recovery Plan.
4. **Public access:** The system will provide direct public access to applicants, Authorized Representatives and the County. All access will be strictly controlled by the Security protocols enumerated above, with regards to State, HIPPA and Federal government mandates and regulations.



## 5.2 Rationale for the Selection

Vendors responding to the RFI proposed solutions based on database platforms other than the currently supported CDSS standard. While these proposals had merit, the difference in known licensing and support costs supported CDSS' decision to put forward the proposed solution as the best alternative to address CDSS's current problems and leverage technologies that are flexible and scalable to meet CDSS's current and future business needs. The proposed solution positions CDSS to quickly adapt to future changes in legislative requirements, by deploying technologies currently used by CDSS staff. The proposed solution will fully meet all of CDSS's measurable business objectives and the corresponding business requirements defined earlier in the document, while conforming to CDSS's strategic business and information technology plans.

Our consultation with the California Department of Technology reinforced our decision that given the nature of this project, this Feasibility Study Report and proposed system is eligible for the business-based procurement model. The business-based procurement model is designed to allow an agency to approach system development vendors to explore various alternatives, resulting in more accurate costing estimates for the project. The Economic Analysis Worksheets identify high-level costs for the different alternatives conceptualized for the project. The plan, schedule and estimated costs for the procurement process are provided in the Project Plan section of this document.

This solution approach uses our current database and application development solution to address our business requirements. Here are the reasons why we selected this solution:

- The technology hardware platform of this solution is supported by our current platform.
- This solution will require adding only one new staff to support the infrastructure, the other staff who will participate in the design and deployment will be limited term through the duration of the project.
- CDSS will leverage our current technology infrastructure backend database.
- Our development and application support team will leverage our current development toolset of compilers, debuggers and other utilities.
- The system is less expensive than others considered during our product research and demonstration
- The annual maintenance and operation costs will be less expensive compared to other alternatives.

## 5.3 Other Alternatives Considered

During the feasibility study, CDSS examined two approaches to meeting the objectives identified in the Business Case Section. The proposed alternative is outlined above. The other alternative is described here.



### Rejected Alternative 1: Don't Procure a New System

This alternative was not considered for the reasons explained within this FSR. The current system **does not:**

- Have adequate capacity to process projected hearing volumes.
- Address the consolidation of the SHD main case management database (HWDC) with 21 downstream systems into one comprehensive case management system
- Capture all necessary information to perform SHD business
- Provide for cohesive workflows
- Generate up-to-date letters, including language requirements
- Provide for user security/data integration
- Ensure HIPAA compliance
- Allow for public intake integration
- Provide electronic document management and a case document archive
- Allow for adequate calendaring
- Capacity to interface with other systems such as the Statewide Automated Welfare System (SAWS), DHCS' SURGE, the new CALHEERs and HHS
- Generate performance metrics that allow SHD management to monitor the production and flow of work processes
- Provide efficiencies through the automation of data intake and verification
- Have an Interactive Voice Response system (IVR) that provides 24 hours/7 days telephone access to benefit applicants/recipients, Authorized Representatives and other stakeholders
- Provide an Appeals Case Decision Writing Module
- Allow access to counties through a web-based County Dashboard, that provides the capability to view list of cases scheduled for hearing, general case status, upload of documents to case files, Statement of Positions, etc. used to review evidence and decisions, and the ability to withdraw hearings and notify stakeholders
- Implement a management monitoring module that provides tracking and performance metrics, and an ad-hoc reporting for quality assurance and quantitative review.
- Greater accuracy and timely reporting of case management information
- Address the ballooning penalties assessed the State of California for failure to meet legal mandates regarding late decisions, see Appendix A1/A2



## **Rejected Alternative 2: Custom-Build**

The following challenges were envisioned during the business requirements gathering phase of this project.

- With current staff supporting the existing SHS solution, the State lacks dedicated staff to develop the custom-build solution.
- Challenges with navigating different stakeholders involved in the project.
- Probable delays in the project due to possible misalignment of staff skills.
- Project overruns due to competing demands by Departmental resources (staff and management).
- Limited experience with integration work with the SAWS systems.
- This solution may limit future leveraging opportunities.

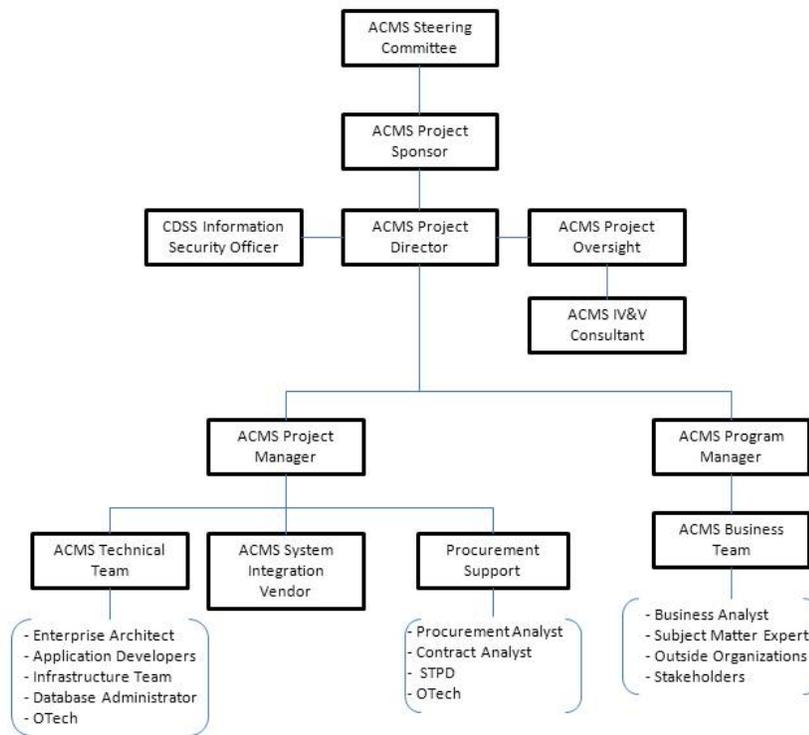


## 6.0 PROJECT MANAGEMENT PLAN

CDSS recognizes the importance of using industry best practices for project management. A project manager will be assigned to manage and monitor the project throughout each phase.

### 6.1 Project Organization

The ACMS Project organizational structure is depicted in the following figure. Details of each role are described in section 6.1.2 Project Roles and Responsibilities.



#### 6.1.2 Project Roles and Responsibilities

The following table lists the anticipated roles, and associated responsibilities, necessary for the ACMS. The limited term staff will be on-boarded during project initiation and will be maintained as necessary for a limited time post implementation to facilitate transition of the ACMS to M&O. The project team will include augmentation of one permanent staff member who will have ongoing infrastructure related duties. Subject Matter Experts (SMEs) may include county as well as state staff involved in appeals processing. The entirety of project responsibilities cannot be performed by existing CDSS staff resources because the existing staff are currently working at capacity to



provide appeals processing, maintain the existing SHS, finalize enhancements to the current SHS as an interim solution to manage the additional appeal caseload from Covered California, and maintain the existing CDSS IT infrastructure, as well as performing other position related duties.

<p>Project Steering Committee</p>	<p>The Project Steering Committee consists of a group of the key stakeholders (Senior Managers and Program representatives). The committee will have the following role for this project:</p> <ul style="list-style-type: none"><li>• Checking and approving the Project Charter for accuracy and compliance with the Business Case.</li><li>• Monitoring progress against the project management plan.</li><li>• Reviewing and verifying changes made to the Business Case.</li><li>• Reviewing and approving changes made to project resource plan, schedules, scope, goals, cost estimates, etc.</li><li>• Making strategic decisions regarding the prioritization of project deliverables and approving interim deliverables.</li><li>• Reviewing and approving the project development strategy.</li><li>• Reviewing and suggesting solutions for the issues critical to project success.</li><li>• Resolving conflicts between stakeholder groups</li></ul>
<p>Project Sponsor</p>	<p>The Project Sponsor will be responsible for:</p> <ul style="list-style-type: none"><li>• Approving project charter, plan, budget and schedule</li><li>• Championing the project, project manager and project team</li><li>• Empowering the project manager with the appropriate authority</li><li>• Ensuring sustained buy-in at all levels</li><li>• Ensuring timely availability of needed resources</li><li>• Providing guidance and direction for key business strategies</li><li>• Resolving major policy issues</li></ul>



<p>Project Director</p>	<p>The project director is responsible for:</p> <ul style="list-style-type: none"><li>• Managing the project at the strategic level.</li><li>• Acting as the project's point person, managing resources and overseeing finances to ensure that the project progresses on time and on budget.</li><li>• Reviewing regular progress reports and makes staffing, financial, or other adjustments to align the developing project with broader outcome goals.</li><li>• Overseeing the project team, project manager, project oversight and project teams.</li></ul>
<p>Project Manager (Data Processing Manager II)</p>	<p>The Project Manager will be a limited term staff member and responsible for creating the project schedule, monitoring and controlling the project, and meeting with the Project Team to discuss the project status, risks, issues, etc. This staff will also be responsible for development of work plans and project plans such as, but not limited to the Governance Plan, Communications Plan, Risk Plan, Configuration Plan, Cost Management Plan, etc. Additionally, this staff will coordinate and communicate 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:</p> <ul style="list-style-type: none"><li>• Planned vs. actual activities</li><li>• Planned vs. actual expenditures</li><li>• Summary of performance and quality measures and trends</li><li>• Summary and status of critical issues</li><li>• Summary and status of risk mitigation and contingency efforts</li><li>• Upcoming activities, resource needs and commitments</li></ul> <p>The Project Manager will provide monthly reports and briefings on project progress to the Program Manager and the Steering Committee. 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.</p> <p>The Project Manager will be responsible for responding to project risks and issues. 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.</p>



Project Team	Project Team Members are responsible for executing tasks and producing deliverables as outlined in the Project Plan and directed by the Project Manager, at whatever level of effort or participation has been defined for them. Members of the project team will be involved in identifying potential risks and will work with the Project Manager to carry out mitigation actions and/or contingency plans. Team members will, at minimum, include the Project Manager, Independent Project Oversight Consultant, Infrastructure Specialists, Programmer Analysts, and the Business Lead and Business Analysts.
Independent Project Oversight Consultant (Senior Information Systems Analyst)	This limited term staff will provide Independent Project Oversight Consultant (IPOC) services utilizing the state's Independent Project Oversight Framework. The IPOC will be responsible for the following activities: <ul style="list-style-type: none"><li>• Independent assessment of project management deliverables, processes and products</li><li>• Objective assessment of procurement or technical deliverables, products and processes including reviews, inspections, walkthroughs, etc.</li><li>• Multi-level independent reporting on the project to:<ul style="list-style-type: none"><li>○ The Department of Technology and project management as determined by project criticality through the Independent Project Oversight Reports</li><li>○ CDSS executives, including the Chief Information Officer, through status reports and presentations at the Project Steering Committee meetings</li><li>○ Project team members and stakeholders through reports on deliverables and process reviews</li></ul></li><li>• Assist in detecting risks and variations that may occur during the project and recommend corrective action to the Project Manager</li><li>• Participate in project meetings and activities</li></ul>



<p>Program Manager (Staff Services Manager I)</p>	<p>This limited term staff will be the Business Lead for the ACMS project and responsible for providing the technical team with program expertise and ensuring appropriate program area staff members are available for insight into business rules and program expertise needed. This person will also coordinate any internal needs the technical team may require or need, as it relates to project requirements along with the following duties:</p> <ul style="list-style-type: none"><li>• Coordinate project participation of non-IT staff</li><li>• Provide support and direction to project team members regarding program, business, and process matters</li><li>• Identify program skills and knowledge needed by project and acquire them</li><li>• Assist in obtaining project resources</li><li>• Represent SHD at project planning meetings and project status meetings with program partners and other stakeholders</li><li>• Manage the development of business related project documents such as business flows, business requirements and use-case documents</li><li>• Participate in development of plans regarding future interface of the ACMS with other systems</li><li>• Participate in webinars regarding integration, interoperability, maintenance and on-going development</li></ul>
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<p>Business Analysts (Associate Governmental Program Analysts)</p>	<p>This limited term staff will be responsible for providing program expertise needed to develop and refine business flows, business requirements and use-case documents for the ACMS, including the incorporation of new processes established for Covered California appeals and changes to the Medi-Cal appeals process. Responsibilities of the staff also include:</p> <ul style="list-style-type: none"><li>• Consult with other impacted CDSS organizations regarding the impact to CDSS programs and systems identified throughout development and beyond initial implementation of the ACMS</li><li>• Represent SHD at project planning meetings and project status meetings with program partners and other stakeholders</li><li>• Consult on design and development, testing and implementation of the ACMS</li><li>• Develop training materials for users, conduct statewide training for system users, and provide ongoing user support during and post implementation</li><li>• Participate in webinars regarding integration, interoperability, maintenance and on-going development</li><li>• Update policy letters, final regulations, procedural manuals and training materials</li><li>• Provide guidance to business units for the support and maintenance of SHS throughout development and beyond initial integration for yet unidentified problems</li></ul>
<p>Subject Matter Expert(s)</p>	<p>This person(s) will be responsible for providing practical insight and feedback on the business need(s) being addressed by this project. This person(s) will also be responsible for providing practical insight and coordinating feedback from an analysts' perspective on project functionality and end-user capabilities.</p>
<p>Infrastructure Specialists (System Software Specialist II)</p>	<p>This staff will be comprised of one permanent and one limited term ISD staff member. The staff will be on-boarded during project initiation and receive training on the existing CDSS infrastructure before performing the following duties:</p> <ul style="list-style-type: none"><li>• Assess capacity needs for the ACMS</li><li>• Perform market analysis of IT infrastructure hardware/software necessary for the ACMS</li><li>• Discuss available hardware/software offerings with product vendors to facilitate thorough analysis</li><li>• Assist in preparation of procurement documentation for hardware/software</li><li>• Develop and design an implementation plan for hosting</li></ul>



	<p>the ACMS solution</p> <ul style="list-style-type: none"><li>• Consult with Data Center Services, TMS-Premium team members to develop an on-boarding schedule for host of ACMS and an agreement regarding roles and responsibilities</li><li>• Coordinate delivery schedule for equipment/software with procurement specialists and vendors</li><li>• Implement the plan for the ACMS infrastructure, including installation of equipment/software at Data Center Services, TMS-Premium and perform necessary infrastructure testing, including security testing</li><li>• Develop and execute burn-in process for new equipment and resolve any associated issues</li><li>• Perform necessary hardware configuration.</li><li>• Assist with the development of technical requirements</li><li>• Transition the ACMS infrastructure into maintenance and operations mode</li><li>• Assist with migration of data from existing system to the ACMS</li><li>• Manage all production infrastructures and perform hardware maintenance activities including ongoing technical refreshes</li><li>• Assist in the establishment of test environments necessary for ACMS maintenance post implementation</li><li>• Perform operating system upgrades, server administration, server and network monitoring and management</li><li>• Perform application and data backup and develop disaster recovery plans</li><li>• Perform disaster recovery as necessary</li></ul> <p>The staff will also provide technical expertise as members of the Project Team for draft of the Project Management Plans and vendor procurement documentation. Should the procurement phase conclude prior to the date indicated in the project schedule, the staff will accelerate the infrastructure implementation plan.</p>
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<p>Programmer Analysts (Senior/Staff/Associate Programmer Analyst)</p>	<p>This limited term staff will be on-boarded during project initiation and receive training on the existing SHS to ensure adequate knowledge of the current applications (comprised of more than twenty-one sub-systems) is possessed prior to subsequently providing technical expertise to the business team members during development of the business requirements and development of technical requirements during the procurement process. The staff will also provide technical expertise as members of the Project Team for draft of the Project Management Plans and vendor procurement documentation. Responsibilities of this staff include:</p> <ul style="list-style-type: none"><li>• (Senior, Staff, Associate) Staff will be trained in COBOL, Natural, and ADABAS to learn the current environment in preparation for aiding in transitioning to the new system.</li><li>• (Senior) Lead the analysis and documentation of the detailed requirements (functional, technical, etc.)</li><li>• (Staff, Associate) Assist in the analysis and documentation of the detailed requirements (functional, technical, etc.)</li><li>• (Senior, Staff, Associate) Assist the team in the development of the Organizational Change Management plan, isolating specific system impacts.</li><li>• (Senior) Work with Project Team in development of all System Planning documents, including the Training Plan and Transition Plan</li><li>• (Senior) Coordinate with Infrastructure staff regarding hardware configuration needed to support software modifications</li><li>• (Staff) Perform Server Administrative duties for internal Development and Test servers. This includes configuring server security and coordinating database backups with Network Operations, etc.</li><li>• (Senior) Implement software configuration according to Vendor specifications in all environments in accordance with Network Operations Change Management specifications.</li><li>• (Associate) Assist in execution of test scripts in accordance of developed test plan as well as provide technical assistance to other testers (as needed).</li></ul>
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	<ul style="list-style-type: none"><li>• (Senior) Develop data plan for migrating existing data to the ACMS</li><li>• (Staff) Perform quality assurance functions such as developing acceptance test plans (integration regression and UAT), and test scripts, etc. (Senior/Staff) Develop change management process, procedures and obtain training in tool used for change management</li><li>• (Associate) Perform change management functions such as adhering to the developed process and procedures during the initial system initialization and configuration as well as subsequent change requests throughout the project lifecycle i.e., requesting databases, global security groups, source control deployments, hardware changes, etc.</li><li>• (Associate) Develop and manage the ACMS specific SharePoint project site and obtain training in SharePoint Site Administration. This includes user access management, site pages, shared calendars, library names (document sets), K2 workflow integration, etc.</li><li>• (Senior, Staff, Associate) Work with entire Project Team in executing Implementation Plan.</li><li>• (Staff) Perform Database Administrator duties. This includes database creation, modification, scripting, user administration, etc.</li></ul> <p>Additionally, this staff will be responsible for analyzing the market offerings of test tools, procuring an appropriate test tool for use on the ACMS project and receiving training on the test tool. The staff will then manage and support the test tool, train other technical staff in use of the tool.</p>
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## 6.2 Project Plan

The following project planning information will be elaborated in the ACMS Project Charter. The Project Charter will be an early project deliverable following approval of the ACMS FSR.

The ACMS Project Team will be comprised of the following team members (at a minimum): a Project Manager, a Systems Oversight analyst, three Programmer Analysts, two Infrastructure and four Program staff. These team members will be on-boarded together at the beginning of the project and will work cohesively to perform duties necessary to achieve the milestones listed in the following project schedule categories: project initiation, project management planning, competitive bid process for vendor, system planning, system design, system development and system implementation. As necessary, team members will then assist with the transition of the system to M&O. After project initiation, team members will further analyze the functionality of the State Hearings System and develop deliverables such as, but not



limited to, project management plans, business requirements, gap analyses, testing plans, training plans, application development/customization, risk management and mitigation plans, system change management plans and organizational change management plans. This approach will facilitate project success.

### 6.2.1 Project Phasing

The project will consist of the following phases:

- Feasibility Study Report Development and Approval (this document)
- RFO/RFD
- Project Initiation
- Systems Integrator Procurement
  - RFP Development and Approval
    - Bid-to Requirements Elicitation
    - Potential Bidder Analysis
    - RFP Development
    - RFP Approval
  - RFP Release
  - Draft Proposal Evaluation
  - Final Proposal Evaluation
  - Vendor Selection and Contract Award
- Requirements Validation
- System Design
- System Development
- System Implementation
- Project Closeout

### 6.2.2 Project Schedule

The ACMS Project will be managed with the following scheduled milestones

Category	Milestones	Est. Completion Date
1. Project Initiation	1.1 Project Budget Allocated 1.2 Recruit and Onboard New Project Staff 1.3 Project Office Assignments Completed 1.4 Project Charter Completed	09/2014
2. Project Management Planning	2.1 Draft Project Management Plans 2.2 Draft Organizational Change Management Plan 2.3 Draft Change Management Plan	11/2014



Category	Milestones	Est. Completion Date
	2.4 Draft Resource Management Plan 2.5 Draft Communications Plan  2.6 Draft Project Schedule 2.7 Draft Procurement Plan 2.8 Draft Cost Management Plan	
3. Competitive Bid Process for Vendor	3.1 ACMS RFP Development Completed 3.2 RFP Released 3.3 Bidder Questions Due  3.4 Response to Bidder Questions Completed 3.5 Last Day to Submit Request Changes to Requirements 3.6 Last Day to Protest RFP Requirements 3.7 Submission of Draft Proposals 3.8 Bidder Confidential Discussions 3.9 Submission of Final Proposals 3.10 Proposal Evaluation Completed 3.11 State Approvals of Contract Completed 3.12 Vendor Contracts Awarded	06/2015
4. System Planning	4.1 Draft Testing Plan 4.2 Draft Training Plan 4.3 Draft Transition Plan	09/2015
5. System Design	5.1 Detailed Architecture Design Completed 5.2 Requirements Validation Completed 5.3 Detailed System Design Completed	03/2016
6. System Development	6.1 Software Coding Completed 6.2 Software Unit Testing Completed 6.3 Quality Assurance Testing Completed	03/2017



Category	Milestones	Est. Completion Date
	6.4 Software System Testing Completed	
7. System Implementation	7.1 Data Cleanup and Conversion Completed 7.2 User Acceptance Testing Completed 7.3 User Training Completed 7.4 System Cutover 7.5 Organizational Change Management Completed 7.6 Implement Transition Plan	10/2017
8. Project Closeout	8.1 Post Implementation Evaluation Completed 8.2 Lessons Learned Documented 8.3 Project Documentation Archived	10/2018

### 6.3 Authorization Required

This project must be approved for funding by the California Health and Human Services Agency, the California Department of Technology, the Department of Finance and the Legislature. Additionally, the California Department of Technology must approve the procurement approach.



## 7.0 RISK MANAGEMENT PLAN

CDSS understands that risk management planning is a vital component of ensuring project success. A disciplined approach to risk management includes developing a Risk Management Plan that identifies and documents potential risks (risk identification), identifies ways in which they can be minimized (risk mitigation planning), and includes policies and procedures to monitor and resolve risks that arise (risk tracking and control).

CDSS realizes that risk management is a dynamic process that occurs throughout the project life cycle. The Project Manager will be responsible for leading and managing the risk management planning process and communication risk status to the Program Manager and Executive Sponsor.

The specific roles of these parties are described in more detail below.

- **CDSS Project Manager.** The CDSS Project Manager will be responsible for working with the Program Manager and the Vendor's Project Manager to identify and manage project risks. Together, they will:
  - Develop a process for tracking and managing risks.
  - Develop and implement mitigation measures to reduce the likelihood or impact of project risks.
  - Monitor project risks.
  - Communicate risks to the Project Sponsor, Steering Committee and other stakeholders.
  - Develop and implement contingency plans as necessary.
- **Solution Vendor Project Manager.** The solution vendor's Project Manager will be responsible for developing and submitting to the CDSS Project Manager a baseline risk management plan for software modification activities. This baseline Risk Management Plan will be developed using the risk management plan elements provided in this Feasibility Study Report (FSR) as a starting point. The CDSS's Project Manager will incorporate these risks into the project risk log. The vendor's Project Manager will continue to identify potential risks throughout the project life cycle.
- **CDSS Project Oversight Analyst.** The CDSS Project Oversight Analyst assigned to the project will provide oversight using the CalTech Information Technology Project Oversight Framework (ITPOF) and will base assessments on the ITPOF guidelines and industry standards for managing information technology projects. The additional review of project processes and deliverables by the Project Oversight Analyst is intended to provide a third-party, independent assessment of project risk areas with appropriate findings and recommendations.



- **Vendor Verification & Validation (V&V) Analyst.** The V&V analyst will be responsible for assessing deliverable risk throughout the project life cycle. The analyst will report directly to the Project Manager and together they will categorize the risk impact and probability then identify risk response steps that can be taken.
- **Project Team.** All members of the project team will be involved in identifying potential risks and working with the Project Manager to develop risk response plans.

### Risk Management Worksheet

Exhibit 7.1 contains an initial set of project risks.

Exhibit 7.1

Risk Management Worksheet

RISK DESCRIPTION	AFFECTED AREA	RISK RESPONSE MEASURES
Differing stakeholder objectives and requirements	Schedule Budget	Establish communication and governance process to arbitrate varying desires and needs.
Lack of effectiveness of governance process	Schedule Budget	Establish clear roles and responsibilities through the Project Charter and the Project Governance Management Plan. Gain commitment from the Executive Sponsor and Program Manager Sponsor for adherence to those roles and responsibilities.  Utilize the Project Steering Committee as a decision-making body if governance process is ineffective
Unmet stakeholder expectations	Schedule	Implement the Organizational Change Management Plan at the beginning of the project to ensure that stakeholders participate in requirements, design and testing of the clearinghouse system and are apprised of project status, objectives and requirements throughout the project lifecycle.
Lack of partnerships with source organizations	Scope	Utilize Project Sponsor, Project Steering Committee and other influential stakeholders to establish productive relationships and agreements with source organizations.



RISK DESCRIPTION	AFFECTED AREA	RISK RESPONSE MEASURES
Opportunity: Additional sources of data become available	Schedule	Build flexibility into system design to be able to take advantage of new sources of data.
Poor user interface design	Scope	Obtain services of website designer (state or vendor resource) in addition to vendor.
Incomplete or unclear RFP requirements	Scope	Obtain services of requirements analyst (state or vendor resource) to develop use cases and well defined bid-to requirements.
Change in scope	Scope  Schedule  Budget	<p>Clearly define business objectives and functional requirements in vendor RFP.</p> <p>Maintain involvement of stakeholders in requirements development early and often throughout the project life cycle.</p> <p>As much as possible, use the same SMEs for the entire project starting with development of the FSR through implementation to help ensure consistent requirements.</p> <p>Establish system functionality governance to identify final arbiter of requirements to help ensure consistent requirements.</p> <p>Implement Organizational Change Management Plan at the beginning of the project.</p> <p>Follow defined change management process.</p>
Unavailability of knowledgeable subject matter experts (SME) with sufficient time to participate in project activities.	Resources	<p>Utilize Project Sponsor to obtain firm commitment for allocation of state resources.</p> <p>Extend schedule to account for lack of resources.</p>



RISK DESCRIPTION	AFFECTED AREA	RISK RESPONSE MEASURES
Loss of key project team member.	Resources	Establish backups for key roles with active project participation.
Lack of IT procurement experience by CDSS staff	Resources	Obtain services of acquisition specialist (state or vendor resource).
Lack of skilled project management resources	Resources	Obtain additional project management services resources (state or vendor resource).
Vendor unable to implement within project timeline.	Schedule	<p>Project Manager continuously tracks vendor progress against deliverables and schedule.</p> <p>ACMS Project Manager meets frequently with vendor's Project Manager to identify issues and expedite resolution.</p> <p>Effectively manage change control process.</p> <p>Adjust schedule as necessary.</p>
Underestimated costs	Budget	Conduct Request for Information (RFI) process and other analysis to obtain costing information.
Decrease in required project funding	Budget	Reduce scope if project budget is reduced. Example: eliminate website analytics module.
High complexity of source databases.	Schedule Budget	<p>Procure sophisticated ETL software that is capable of extracting data from complex data structures.</p> <p>Reduce complexity of data requirements.</p>

The table above contains risks identified at the current stage of the project.

- Stakeholder participation risk is high due to CDSS having other high priority activities that may prevent team members from completing their assigned tasks on time and additionally may prevent executives from making timely decisions.
- Financial risk is high due to the uncertainty in obtaining project funding.

The risks identified in the risk management worksheet will be augmented with others as project planning is underway and continues throughout the project life cycle by any member of the team. As the project progresses and the potential for the risk to develop



into a project issue have passed, the risk will be removed from the list of active project risks.

## 7.2 Risk Assessment

Risk assessment is the process of identifying risks, analyzing and quantifying risks, and prioritizing risks. It includes a review and determination of whether the identified risks are acceptable. Risk assessment is not a one-time event; it should be performed on a regular basis throughout the life of the project. The ACMS approach to risk assessment is for the team to identify risks, analyze their potential impact on the project, determine the probability and significance if they occur, and identify mitigation alternatives.

## 7.3 Risk Identification

Risk identification involves speculating about risks that could affect a project and documenting the characteristics of each. Both internal and external risks should be identified and documented. Internal risks are those that the project team controls or influences, such as staff assignments. External risks are beyond the control or influence of the project team, such as legislative actions.

Risk identification is the responsibility of every team member. During initial project planning, the team must evaluate all aspects of the project to determine whether there is potential for a particular risk to occur. The initial identification of risks should be speculative, broad, and based on the team's experiences. Areas to examine include whether the:

- Scope is feasible for the organization and vendor.
- Schedule is based on experience and knowledge of the environment.
- Cost estimate is reasonable.
- Project includes significant technology change.
- Project is larger or more complex than the organization has experience with.
- Organization has a culture of change.
- Organization has established project management culture.
- Team members have the skills to participate in implementing the system.
- The SMEs have sufficient time to participate in requirements definition.

### 7.3.1 Risk Analysis and Quantification

Risk analysis and quantification involves evaluating risks to assess the range of possible project outcomes. It provides information that allows managers to determine what is important to the project, to set priorities, and to allocate resources.



Risk analysis and quantification will be continuously performed and the resulting information will be used for decision-making in all phases of the project. Each risk will be analyzed and sufficiently understood in order to facilitate the decision-making process.

Properly implemented, the risk analysis and quantification process will produce a list of opportunities that should be pursued and threats or risks that should be managed. The risk analysis and quantification process will document the sources of risk and risk events that the project management team has consciously decided to accept.

Factors to consider during the risk analysis and quantification process include stakeholder risk tolerances, sources of risk, potential risk events, and cost/activity duration estimates. 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.

The section below describes the relevant factors that were evaluated in order to determine the level of severity of the risk and the priority that should be assigned to each risk. These factors will be used as new risks are identified throughout the project life cycle.

1. Assign an **Impact Rating** to the risk:

- **High** – if the risk represents a significant negative impact on project scope, schedule, or budget.
- **Medium** – if the material impacts would significantly affect users, consumers, or other key stakeholders.
- **Low** – all other risks.

2. Assign a **Probability Rating** to the risk:

- **High** – if the risk is considered almost certain to occur or very likely to occur.
- **Medium** – if the risk has a 50/50 chance of occurring or very likely to occur.
- **Low** – if the risk is considered unlikely to occur.

3. Assign the **Time Frame** for mitigation of the risk (for example, determine the time frame within which action must be taken to successfully mitigate the risk):

- **Short** – if the time frame is less than one month.
- **Medium** – if the time frame is between two and five months.
- **Long** – if the time frame is greater than five months.

### 7.3.2 Risk Prioritization

The final step in the risk assessment process is risk prioritization. Risk prioritization involves ranking the risks to place more management effort on those that are the most critical. Key evaluation factors are probability and potential impact or consequences on missions and business objectives.



Each risk will be prioritized and ranked. Those risks with high priority will receive a greater degree of attention from the project team and resources. Low-priority risks will be monitored on a regular basis.

### **7.3.3 Risk Response**

Risk response is the action taken to manage risk. Risk response actions include avoidance, acceptance, mitigation, sharing, and project oversight. When assessing risk response options, the project team will consider such factors as schedule, resources, and stakeholder risk tolerances.

It is important to note that risk is a part of any activity and may never be entirely eliminated, nor can all risks ever be known. However, as new risks are identified, appropriate response actions will be developed and the list of risks will be updated accordingly.

The project will use a risk management approach that recognizes that risk response planning must be appropriate to the severity of the risk, cost effective in meeting the challenge, timely to be successful, realistic within the project context, agreed upon by all parties involved, and owned by a responsible person. These considerations go into choosing the response when project risks are defined. The project team evaluates risk responses in the following order, beginning with those that have the highest likelihood of effectiveness:

- Avoidance
- Acceptance
- Mitigation
- Sharing

The ACMS project will develop a contingency plan for each identified risk. The contingency plan will be applied when risks are triggered.

In responding to risks the project may develop a cause-and-effect relationship diagram in order to determine the results of varying responses. Once the appropriate risk response is determined, residual risks and secondary risks will be examined and the appropriate responses developed. (Residual risks are those that remain after avoidance, sharing, or mitigation responses have been taken. They also include minor risks that have been accepted and addressed. Secondary risks are those that arise as a direct result of implementing a risk response. These are identified, and appropriate responses planned.)

### **7.3.4 Risk Avoidance**

Risk avoidance involves eliminating the risk by eliminating the cause or by using an alternate approach that does not involve the risk. This method is not always an option; however, it is the most effective technique if it can be applied.



### **7.3.5 Risk Acceptance**

Risk acceptance as a response, indicates that the project team has decided not to take action to deal with a risk or they are unable to identify any other cost effective or otherwise suitable response strategy. The team will develop contingency plans for accepted risks as appropriate.

### **7.3.6 Risk Mitigation**

Risk mitigation involves reducing the probability of risk occurrence (e.g., using proven technology to lessen the probability that the product of the project will not work). It involves revising the project's scope/delivery, budget, schedule, or quality to reduce uncertainty on the project.

Risk mitigation seeks to reduce the probability and/or consequences of a risk to an acceptable threshold. The project team will take early action to reduce the probability of a risk occurring. However, mitigation costs must be appropriately related to the probability of the risk and its consequences.

Risk mitigation strategies for identified risks are detailed in Section 7.2 - *Risk Management Worksheet*.

### **7.3.7 Risk Sharing**

Risk sharing is seeking to shift the consequence of a risk to a third party together with ownership of the response. Sharing the risk gives another party responsibility for its management; it does not eliminate it from the project. Often a payment-upon-acceptance contract with a vendor for all, or part, of the risk-prone work will help share the risk. The project will engage in proactive risk sharing as appropriate.

## ***Risk Tracking and Control***

Risk tracking and control involves establishing and maintaining risk status information, defining action plans, and taking corrective action when appropriate. It involves executing the Risk Management Plan in order to respond to risk events throughout the life of the project.

The elements of risk tracking and control are very similar to the tracking and control functions in project management and will be integrated into a project's existing management activities. Risk tracking and control processes play a significant role in ensuring that identified risks are resolved in a timely manner, especially if they impact the critical path. Without a process to track risks that occur, risks can easily be forgotten and impact the project's scope, schedule, and/or budget. The following describes the proposed risk tracking and control processes for this project.

### **7.3.8 Risk Tracking**

Risk tracking is required to ensure the effective implementation of the Risk Management Plan. The goal of risk tracking is to provide accurate and timely information to the project management team to enable risk management and help prevent risks from adversely affecting the project.



Risk tracking involves monitoring the progress toward mitigating risks and reporting on the status and the actions taken. Information that should be tracked and reported on includes:

1. The top ten risk items.
2. The number of risk items being mitigated.
3. The number of new risk items since the last report.
4. The number of accepted risk items.
5. The risk items affecting project task on the critical path.

To facilitate the risk tracking process, a risk log that includes information on all significant risks will be utilized and maintained for the life of the project. In addition, metrics for measuring performance and progress toward resolving risks will be established and maintained. As stated above, the Project Manager will complete a full Risk Assessment and Risk Management Plan as one of the initial deliverables. The Risk Management Plan will include methods to track risks including using a risk log:

- Assigns a unique number to each risk.
- Tracks the assigned ratings, as well as efforts to mitigate the risk.
- Processes to continuously reevaluate risk rankings.
- Identification of those risks affecting the project's critical path.
- Procedures to track progress toward resolving the risk.

The project team will meet weekly specifically to review the Risk Log and ongoing efforts to mitigate risk, as well as to assess any new risks identified.

The Project Manager shall have authority to take action to mitigate risks that are determined to have low mitigation or contingency costs. Risks that have medium and high mitigation or contingency costs must be escalated to the Project Sponsor.

### **7.3.9 Risk Control**

Risk control is necessary to help prevent failure on a project. Risk control focuses on the risk response actions. It involves executing the Risk Management Plan in order to respond to risk events before they become serious problems. The control function ensures that risk procedures are documented and executed according to plan. As anticipated risk events occur or fail to occur, and as actual risk events are evaluated and resolved, the Risk Management Plan should be routinely updated.

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.

The CDSS risk management process includes further development of this Risk Management approach in accordance with the State's Project Management



Methodology. The Project Manager will develop a baseline Risk Management Plan within 30 days of project initiation, incorporating risks identified by the vendor Project Manager. This 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 (for example, time, personnel, funding) will be allocated at the discretion of the Project Sponsor.

The Project Manager will review new risk assessments as well as ongoing risk efforts weekly to:

- Evaluate and determine the risk exposure and severity.
- Identify appropriate action to avoid or mitigate the risk.
- Elevate the risk assessment and response to the project sponsor and/or executive steering committee, when appropriate.

Risk management is an effort that will occur throughout the project life cycle to identify, analyze, prioritize, and mitigate risks before they become severe problems that affect scope, schedule, and/or budget.



## 8.0 ECONOMIC ANALYSIS WORKSHEETS

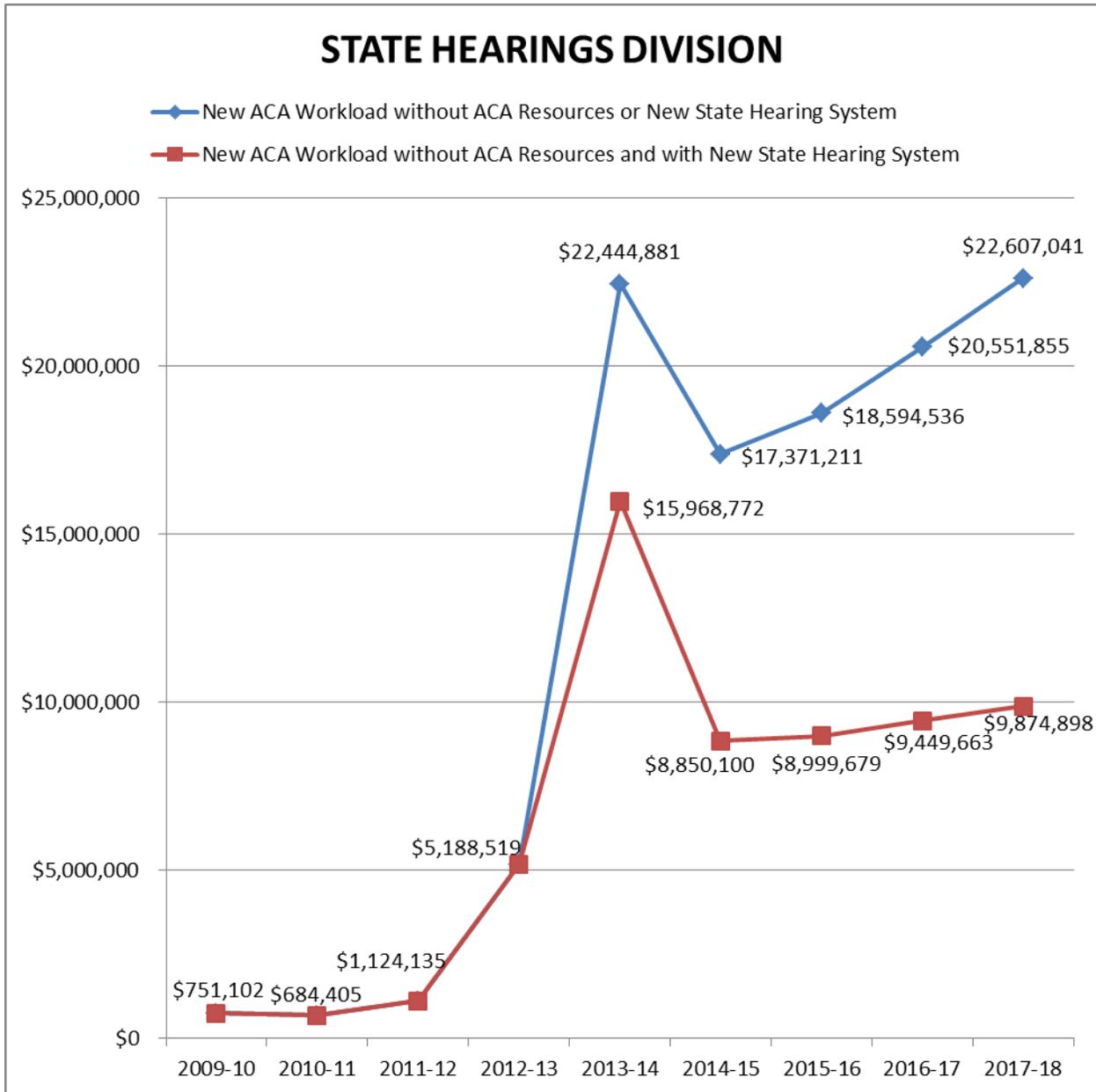
See attached Economic Analysis Worksheets.

Additional Information:

- The EAWs for the proposed solution need to reflect additional years of M&O beyond the traditional 1 year to capture the cost of hardware refresh for the ACMS in FY 2019-20.
- The estimated cost for solution licenses and customization reflect our experience with COTS/MOTS implementations requiring customization and are in line with our proposed development approach which envisions 80% MOTS, 10% COTS and 10% customization.
- Implementation of the ACMS is anticipated in October, 2017. Some of the limited term staff will leave the project in December 2017; those staff needed to assist with full transition to M&O will remain on the through the end of FY 2017/18.



**APPENDIX A-1**  
**Estimated Impact on State General Fund of State Hearings Penalties for Late Decisions**



**Assumptions: (Savings will be post system deployment)**

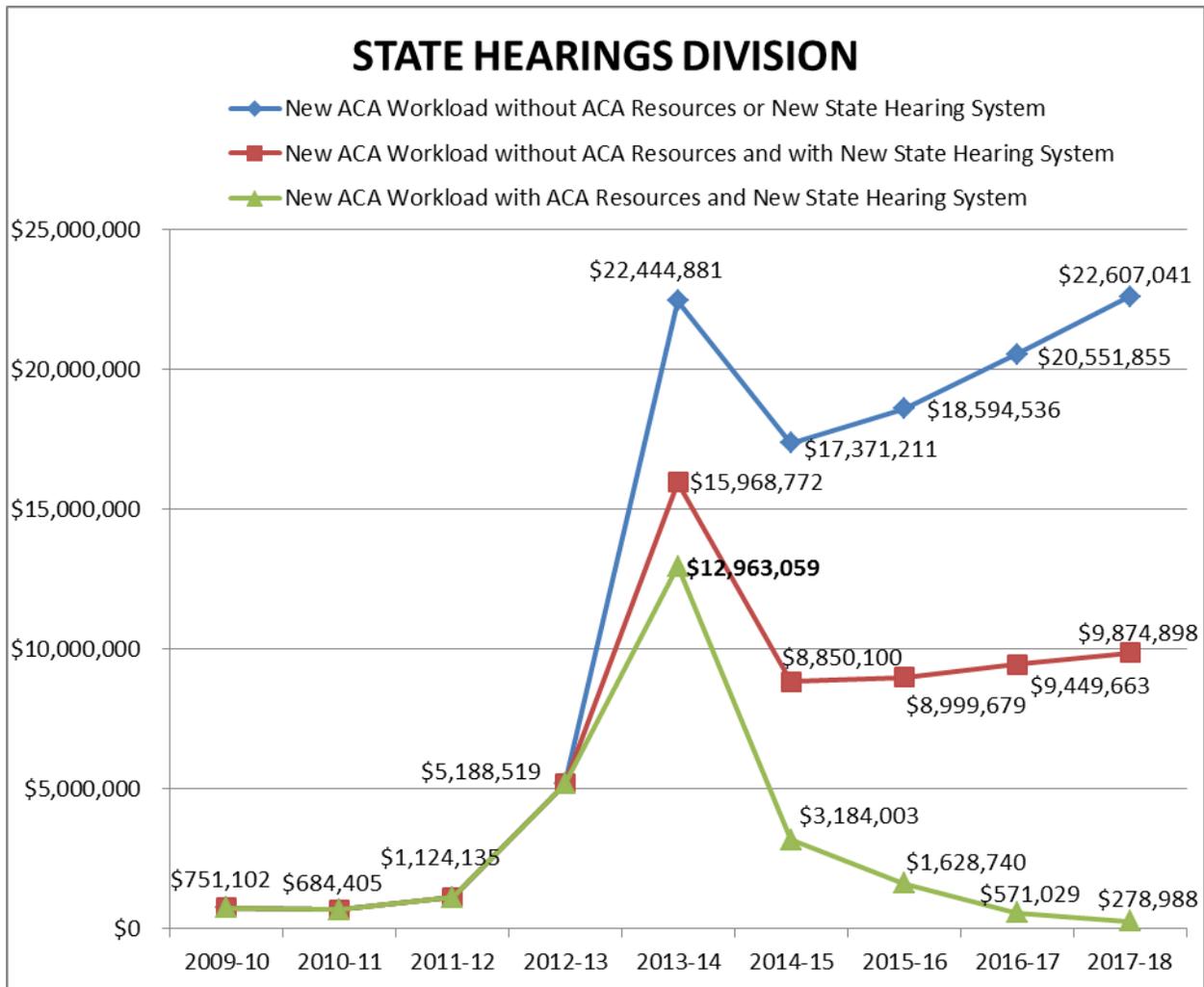
- Estimates include IHSS 8% Reduction, Medicaid Expansion and Covered Cal ACA Workload.
- FY 2013-14 includes a first year penalty estimate of \$7.5 million for expanded Medicaid and ACA workload. CBAS experience has shown a 40% percent late case rate for first year programs due to lack of resources and delays in establishing procedures and policies.



- Covered California Workload will not be subject to Ball/King Penalties.
- Late case volumes are determined by factoring a historical efficiency factor into the total written decisions volume of cases above ALJ capacities.
- Efficiencies for a new State Hearings System based on a COTS solution determined through analysis of SHD business requirements with CDSS ISD.

APPENDIX A-2

Estimated Impact on State General Fund of State Hearings Penalties for Late Decisions



Assumptions: (Savings will be post system deployment)

- Estimates include IHSS 8% Reduction, Medicaid Expansion and Covered Cal ACA Workload.



- FY 2013-14 includes a first year penalty estimate of \$7.5 million for expanded Medicaid and ACA workload. CBAS experience has shown a 40% percent late case rate for first year programs due to lack of resources and delays in establishing procedures and policies.
- Covered California Workload will not be subject to Ball/King Penalties.
- Late case volumes are determined by factoring a historical efficiency factor into the total written decisions volume of cases above ALJ capacities.
- Efficiencies for a new State Hearings System based on a COTS solution determined through analysis of SHD business requirements with CDSS ISD.

**EXISTING SYSTEM/BASELINE COST WORKSHEET**

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

Date Prepared:

	FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		TOTAL	
	PYs	Amts	PYs	Amts										
<b>Continuing Information</b>														
<b>Technology Costs</b>														
Staff (salaries & benefits)	5.0	447,238	5.0	447,238	5.0	447,238	5.0	447,238	5.0	447,238	5.0	447,238	30.0	2,683,428
Hardware Lease/Maintenance		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Data Center Services		349,011		369,952		392,149		415,678		440,618		467,055		2,434,463
Agency Facilities		0		0		0		0		0		0		0
Other		62,425		62,425		62,425		62,425		62,425		62,425		374,550
<b>Total IT Costs</b>	<b>5.0</b>	<b>858,674</b>	<b>5.0</b>	<b>879,615</b>	<b>5.0</b>	<b>901,812</b>	<b>5.0</b>	<b>925,341</b>	<b>5.0</b>	<b>950,281</b>	<b>5.0</b>	<b>976,718</b>	<b>30.0</b>	<b>5,492,441</b>
<b>Continuing Program Costs:</b>														
Staff	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other		243,000		257,580		273,035		289,417		306,782		325,189		1,695,002
<b>Total Program Costs</b>	<b>0.0</b>	<b>243,000</b>	<b>0.0</b>	<b>257,580</b>	<b>0.0</b>	<b>273,035</b>	<b>0.0</b>	<b>289,417</b>	<b>0.0</b>	<b>306,782</b>	<b>0.0</b>	<b>325,189</b>	<b>0.0</b>	<b>1,695,002</b>
<b>TOTAL EXISTING SYSTEM COSTS</b>	<b>5.0</b>	<b>1,101,674</b>	<b>5.0</b>	<b>1,137,195</b>	<b>5.0</b>	<b>1,174,847</b>	<b>5.0</b>	<b>1,214,758</b>	<b>5.0</b>	<b>1,257,063</b>	<b>5.0</b>	<b>1,301,907</b>	<b>30.0</b>	<b>7,187,443</b>

EXIS Detail

<b>Annual Cost for SHS Support</b>	2014/15	2015/16	2016/17	2017/18	2018/19
Annual Production Costs - Staff	447,238	447,238	447,238	447,238	447,238
Annual Production Costs - Equip	-	-	-	-	-
<b>Total Cost for SHS Support</b>	<b>447,238</b>	<b>447,238</b>	<b>447,238</b>	<b>447,238</b>	<b>447,238</b>
<b>Annual Cost for SHS Printing</b>					
Daily, Weekly, Monthly Print	82,000	86,920	92,135	97,663	103,523
State Costs to Enter	161,000	170,660	180,900	191,754	203,259
<b>Total Cost for SHS Printing</b>	<b>243,000</b>	<b>257,580</b>	<b>273,035</b>	<b>289,417</b>	<b>306,782</b>
<b>Total Annual Costs</b>	<b>690,238</b>	<b>704,818</b>	<b>720,273</b>	<b>736,655</b>	<b>754,020</b>
<b>Data Center Charges</b>					
SHS	349,011	369,952	392,149	415,678	440,618

**Annual Production Costs - Staff**

ISD (Salary Wages & Benefits)	PY	Salary & Bene	OEE/Other	Total
SPA	3.0	92,658	12,485	315,429
AISA	2.0	84,632	12,485	194,234

**Data Center Charges**

System	System Title	Annual Cost
SHS	SHS	349,011
<b>Annual total for all SHS Matches</b>		<b>349,011</b>

EXIS Detail

2019/20

447,238

-

447,238

109,734

215,454

325,189

772,427

467,055





ALT(P) Detail

	PY	2014/15	PY	2015/16	PY	2016/17	PY	2017/18	PY	2018/19	PY	2019/20
(RFP Development)		141,440		-		-		-		-		-
OSI Procurement Supp		112,000		-		-		-		-		-
<b>Total Contract Services</b>		<b>2,799,440</b>		<b>296,000</b>		<b>530,000</b>		<b>142,000</b>		<b>-</b>		<b>-</b>

<b>Data Center Services</b>		-		84,000		-		-		-		-
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**Other**

	Salary & Benefits	OEE / Other First year	OEE / Other Ongoing	Total Yr 1	Total Ongoing
<b>IT Staff</b>					
<b>Infrastructure Staff</b>					
System Software Spec II (2)	105,666	16,176	12,485	121,842	118,151
<b>Programmer Staff</b>					
Staff Programmer Analyst	96,363	16,176	12,485	112,539	108,848
Sr Programmer Analyst	111,076	16,176	12,485	127,252	123,561
Assos Info Systems Analyst	87,998	16,176	12,485	104,174	100,483
<b>Project Management Staff</b>					
DPM II	111,068	16,176	12,485	127,244	123,553
<b>Project Oversight Staff</b>					
Sr Info Systems Analyst	105,854	16,176	12,485	122,030	118,339

	Salary & Benefits	OEE / Other First year	OEE / Other Ongoing	Total Yr 1	Total Ongoing
<b>Program Staff</b>					
Staff Service Manager I	97,103	21,502	14,000	118,605	111,103
Assoc Goven Prog Analyst	84,316	20,166	14,000	104,482	98,316

<b>Hardware</b>					
Switches	-	28,000	-	-	-
Blade Server	-	190,000	-	-	-
SAN	-	86,000	-	-	-
Support	-	75,000	-	-	-
<b>Total Hardware</b>	<b>-</b>	<b>379,000</b>	<b>-</b>	<b>-</b>	<b>-</b>

<b>Software</b>					
VM Ware	-	38,000	-	-	-
<b>Total Software</b>	<b>-</b>	<b>38,000</b>	<b>-</b>	<b>-</b>	<b>-</b>

<b>Data Center</b>	-	84,000	-	-	-
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**Continuing IT Costs**

<b>IT Staff</b>											
Infrastructure Staff	Salary & Benefits	-	-	0.0	-	1.0	105,666	1.0	105,666	1.0	105,666
	Other / OE&E	-	-	-	-	-	12,485	-	12,485	-	12,485
Programmer Staff	Salary & Benefits	-	-	0.0	-	1.5	443,156	0.0	-	0.0	-
	Other / OE&E	-	-	-	-	-	56,183	-	-	-	-
Project Mangement Staff	Salary & Benefits	-	-	0.0	-	0.5	55,534	0.0	-	0.0	-
	Other / OE&E	-	-	-	-	-	6,243	-	-	-	-
Project Oversight Staff	Salary & Benefits	-	-	0.0	-	0.0	-	0.0	-	0.0	-

ALT(P) Detail

		PY	2014/15	PY	2015/16	PY	2016/17	PY	2017/18	PY	2018/19	PY	2019/20
Existing STAFF	Other / OE&E		-		-		-		-		-		-
	Salary & Benefits		-		-	0.0	-	0.0	-	5.0	447,238	5.0	447,238
	Other / OE&E		-		-		-		-		62,425		62,425
<b>Total IT Staff</b>	Salary & Benefits	0.0	-	0.0	-	0.0	-	3.0	604,356	6.0	552,904	6.0	552,904
	Other / OE&E						-		74,910		74,910		74,910
<b>Program Staff</b>													
SSM II	Salary & Benefits	0.0	-	0.0	-	0.0	-	0	-	0	-	0	-
	Other / OE&E		-		-		-		-		-		-
AGPA (3)	Salary & Benefits	0.0	-	0.0	-	0.0	-	0.0	-	0	-	0	-
	Other / OE&E		-		-		-		-		-		-
Existing AGPA	Salary & Benefits	0.0		0.0		0.0		0	-	0	-	0	-
	Other / OE&E								-		-		-
<b>Total Program Staff</b>	Salary & Benefits	0.0	-	0.0	-	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E						-		-		-		-
<b>Total Cont. IT Project Staff</b>	Salary & Benefits	0.0	-	0.0	-	0.0	-	3.0	604,356	6.0	552,904	6.0	552,904
	Other / OE&E						-		74,910		74,910		74,910
<b>Hardware</b>													
Switches			-		-		-		-		-		28,000 * refresh
Blade Server			-		-		-		-		-		190,000 * refresh
SAN			-		-		9,500		9,500		9,500		95,500 * refresh
Support			-		-		-		-		-		75,000 * refresh
<b>Total Hardware</b>			-		-		9,500		9,500		9,500		388,500 * refresh
<b>Software</b>													
VM Ware			-		-		-		8,134		12,200		12,200
COTS License(s)			-		-		-		166,667		250,000		250,000
<b>Total Software</b>			-		-		-		174,801		262,200		262,200
<b>Data Center</b>													
			-		-		84,000		84,000		84,000		84,000
<b>Total Cont Project Costs</b>			-		-		93,500		947,567		983,514		1,362,514



		PY	2014/15	PY	2015/16	PY	2016/17	PY	2017/18	PY	2018/19	PY	2019/20
<b>One-Time Project Costs</b>													
<b>IT Staff</b>													
<b>Programmer Staff - 1 Staff Programmer</b>													
Analyst (technical)	Salary & Benefits	2.0	185,316	2.0	185,316	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		40,666		24,970		-		-		-		-
<hr/>													
Total IT Staff	Salary & Benefits	2.0	185,316	2.0	185,316	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		40,666		24,970		-		-		-		-
<hr/>													
<b>Total Project Staff</b>	Salary & Benefits	<b>2.0</b>	<b>185,316</b>	<b>2.0</b>	<b>185,316</b>	<b>0.0</b>	<b>-</b>	<b>0.0</b>	<b>-</b>	<b>0.0</b>	<b>-</b>	<b>0.0</b>	<b>-</b>
	Other / OE&E		40,666		24,970		-		-		-		-

<b>Hardware Purchase</b>			-		-		-		-		-		-
<b>Software Purchase/License</b>			-		-		-		-		-		-
<b>Contract Services</b>													
Software Licenses			-		-		-		-		-		-
Software Customization			-		-		-		-		-		-
IV&V			-		-		-		-		-		-
Other Contract Services (RFP Development)			-		-		-		-		-		-
OSI Procurement Supp			-		-		-		-		-		-
<hr/>													
Total Contract Services			-		-		-		-		-		-

<b>Data Center Services</b>			-		-		-		-		-		-
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<b>Other</b>			40,666		24,970								
<b>IT Staff</b>													
<b>Programmer Staff</b>													
Staff Programmer Analyst	Salary & Bene		92,658	OEE / Other First year	20,333	OEE / Other Ongoing	12,485	Total Yr 1	112,991	Total Ongoing	105,143		

**Continuing IT Costs**

<b>IT Staff</b>													
Programmer Staff	Salary & Benefits		-		-	2.0	92,658	2.0	92,658	2.0	92,658	2.0	92,658
	Other / OE&E		-		-		12,485		12,485		12,485		12,485
Existing STAFF	Salary & Benefits		-		-	5.0	447,238	5.0	447,238	5.0	447,238	5.0	447,238
	Other / OE&E		-		-		62,425		62,425		62,425		62,425
<hr/>													
Total IT Staff	Salary & Benefits	0.0	-	0.0	-	7.0	539,896	7.0	539,896	7.0	539,896	7.0	539,896
	Other / OE&E						74,910		74,910		74,910		74,910
<hr/>													
<b>Total Cont. IT Project Staff</b>	Salary & Benefits	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>7.0</b>	<b>539896.0</b>	<b>7.0</b>	<b>539896.0</b>	<b>7.0</b>	<b>539896.0</b>	<b>7.0</b>	<b>539896.0</b>
	Other / OE&E						74,910		74,910		74,910		74,910

**Hardware**

ALT(1) Detail

	PY	2014/15	PY	2015/16	PY	2016/17	PY	2017/18	PY	2018/19	PY	2019/20
Switches		-		-								
Blade Server		-		-								
SAN		-		-								
Support		-		-								
<b>Total Hardware</b>		-		-		-		-		-		-
<b>Software</b>		-		-		-		-		-		-
<b>Total Software</b>		-		-		-		-		-		-
<b>Data Center</b>		-		-		-		-		-		-
<b>Total Cont Project Costs</b>		-		-		614,806		614,806		614,806		614,806



		PY	2014/15	PY	2015/16	PY	2016/17	PY	2017/18	PY	2018/19	PY	2019/20
<b>One-Time Project Costs</b>													
<b>IT Staff</b>													
<u>Infrastructure Staff - Systems Software</u>													
Specialist II (technical)	Salary & Benefits	2.0	203,170	2.0	203,170	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		40,666		32,818		-		-		-		-
<u>Programmer Staff - 1 Senior</u>													
Programmer Analyst (Technical)	Salary & Benefits	2.0	213,552	2.0	213,552	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		40,666		24,970		-		-		-		-
<u>Programmer Staff - 1 Staff Programmer</u>													
Analyst (technical)	Salary & Benefits	4.0	370,632	4.0	370,632	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		81,332		49,940		-		-		-		-
<u>Programmer Staff - Assoc Info Systems</u>													
Analyst	Salary & Benefits	2.0	185,316	2.0	169,264	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		40,666		24,970		-		-		-		-
<u>Project Mangement Staff - Senior</u>													
Information Systems Analyst (technical) - Limited Term	Salary & Benefits	1.0	101,765	1.0	101,765	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		20,333		12,485		-	0.0	-	0.0	-	0.0	-
<u>Project Oversight Staff - Senior</u>													
Information Systems Analyst (technical) - Limited Term	Salary & Benefits	1.0	101,765	1.0	101,765	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		20,333		12,485		-	0.0	-	0.0	-	0.0	-
<hr/>													
Total IT Staff	Salary & Benefits	12	1,176,200	12	1,160,148	-	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		243,996		157,668		-		-		-		-
<b>Program Staff - Limited Term</b>													
SSM II	Salary & Benefits	0.0	-	0.0	-	0.0	-	-	-	-	-	-	-
	Other / OE&E		-		-		-		-		-		-
AGPA (2)	Salary & Benefits	0.0	-	0.0	-	0.0	-	-	-	-	-	-	-
	Other / OE&E		-		-		-		-		-		-
<hr/>													
Total Program Staff	Salary & Benefits	0.0	-	0.0	-	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		-		-		-		-		-		-
<hr/>													
<b>Total Project Staff</b>	Salary & Benefits	<b>12.0</b>	<b>1,176,200</b>	<b>12.0</b>	<b>1,160,148</b>	<b>0.0</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
	Other / OE&E		<b>243,996</b>		<b>157,668</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<hr/>													
<b>Hardware Purchase</b>			379,000		11,000		-		-		-		-
<b>Software Purchase/License</b>			38,000		-		-		-		-		-
<b>Contract Services</b>													
Software Licenses			-		-		-		-		-		-
Software Customization			173,312		85,600		3,587,760		-		-		-
<i>CalHeers</i>			-		-		-		-		-		-
<i>SAWS</i>			-		-		-		-		-		-
<i>Surge</i>			-		-		-		-		-		-
<i>HBEX</i>			-		-		-		-		-		-
IV&V			60,000		80,000		120,000		-		-		-

ALT(2) Detail

	PY	2014/15	PY	2015/16	PY	2016/17	PY	2017/18	PY	2018/19	PY	2019/20
Other Contract Services												
(RFP Development)		50,000		-		-		-		-		-
OSI Procurement Supp		45,000		45,000		-		-		-		-
<b>Total Contract Services</b>		<b>328,312</b>		<b>210,600</b>		<b>3,707,760</b>		<b>-</b>		<b>-</b>		<b>-</b>

<b>Data Center Services</b>		84,000		-		-		-		-		-
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**Other**

<b>IT Staff</b>	Salary & Bene	OEE / Other First year	OEE / Other Ongoing	Total Yr 1	Total Ongoing
<b>Infrastructure Staff</b>					
System Software Spec II (2)	101,585	20,333	12,485	121,918	114,070
<b>Programmer Staff</b>					
Staff Programmer Analyst (4)	92,658	20,333	12,485	112,991	105,143
Sr Programmer Analyst (2)	106,776	20,333	12,485	127,109	119,261
Assos Info Systems Analyst (2)	84,632	20,333	12,485	104,965	97,117
<b>Project Management Staff</b>					
Sr Info Systems Analyst	101,765	20,333	12,485	122,098	114,250
<b>Project Oversight Staff</b>					
Sr Info Systems Analyst	101,765	20,333	12,485	122,098	114,250

<b>Program Staff</b>	Salary & Bene	OEE / Other First year	OEE / Other Ongoing	Total Yr 1	Total Ongoing
Staff Service Manager I	105,731	19,362	12,499	125,093	118,230
Assos Info Systems Analyst (2)	83,743	19,362	12,499	103,105	96,242

<b>Hardware</b>					
Switches	28,000	-	-	-	-
Blade Server	190,000	-	-	-	-
SAN	86,000	-	-	-	-
Support	75,000	-	-	-	-
IVR Server	-	7,000			
Telephony Hardware	-	4,000			
<b>Total Hardware</b>	<b>379,000</b>	<b>11,000</b>	<b>-</b>	<b>-</b>	<b>-</b>

<b>Software</b>					
VM Ware	38,000	-	-	-	-
IVR Software	-	14,400			
Text to Speech Resources	-	8,400			
<b>Total Software</b>	<b>38,000</b>	<b>22,800</b>	<b>-</b>	<b>-</b>	<b>-</b>

<b>Data Center</b>	84,000	-	-	-	-
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**Continuing IT Costs**

<b>IT Staff</b>													
Infrastructure Staff	Salary & Benefits	-	-	2.0	203,170	2.0	203,170	2.0	203,170	2.0	203,170	2.0	203,170

ALT(2) Detail

		PY	2014/15	PY	2015/16	PY	2016/17	PY	2017/18	PY	2018/19	PY	2019/20
Programmer Staff	Other / OE&E		-		-		24,970		24,970		24,970		24,970
	Salary & Benefits		-		-	8.0	753,448	8.0	753,448	8.0	753,448	8.0	753,448
	Other / OE&E		-		-		99,880		99,880		99,880		99,880
Project Mangement Staff	Salary & Benefits		-		-	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		-		-		-		-		-		-
Project Oversight Staff	Salary & Benefits		-		-	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		-		-		-		-		-		-
Existing STAFF	Salary & Benefits		-		-	5.0	447,238	5.0	447,238	5.0	447,238	5.0	447,238
	Other / OE&E		-		-		62,425		62,425		62,425		62,425
<b>Total IT Staff</b>	Salary & Benefits	0.0	-	0.0	-	15.0	1,403,856	15.0	1,403,856	15.0	1,403,856	15.0	1,403,856
	Other / OE&E		-		-		187,275		187,275		187,275		187,275
<b>Program Staff</b>													
SSM II	Salary & Benefits	0.0	-	0.0	-	0.0	-	0	-	0	-	0	-
	Other / OE&E		-		-		-		-		-		-
AGPA (2)	Salary & Benefits	0.0	-	0.0	-	0.0	-	0	-	0	-	0	-
	Other / OE&E		-		-		-		-		-		-
Existing AGPA	Salary & Benefits	0.0	-	0.0	-	0.0	-	0	-	0	-	0	-
	Other / OE&E		-		-		-		-		-		-
<b>Total Program Staff</b>	Salary & Benefits	0.0	-	0.0	-	0.0	-	0.0	-	0.0	-	0.0	-
	Other / OE&E		-		-		-		-		-		-
<b>Total Cont. IT Project Staff</b>	Salary & Benefits	0.0	-	0.0	-	15.0	1,403,856	15.0	1,403,856	15.0	1,403,856	15.0	1,403,856
	Other / OE&E		-		-		187,275		187,275		187,275		187,275

<b>Hardware</b>													
Switches			-		-		-		-		-		28,000 * refresh
Blade Server			-		-		-		-		-		190,000 * refresh
SAN			-		-		9,500		9,500		9,500		95,500 * refresh
Support			-		-		-		-		-		75,000 * refresh
IVR Server			-		-		-		-		-		-
Telephony Hardware			-		-		-		-		-		-
<b>Total Hardware</b>			-		-		9,500		9,500		9,500		388,500 * refresh

<b>Software</b>													
VM Ware			-		-		12,200		12,200		12,200		12,200
IVR Software			-		-		13,200		13,200		13,200		13,200
<b>Total Software</b>			-		-		25,400		25,400		25,400		25,400

<b>Data Center</b>			-		84,000		84,000		84,000		84,000		84,000
<b>Total Cont Project Costs</b>			-		84,000		1,710,031		1,710,031		1,710,031		2,089,031

**ECONOMIC ANALYSIS SUMMARY**

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

Date Prepared:

	FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		TOTAL	
	PYs	Amts	PYs	Amts										
<b>EXISTING SYSTEM</b>														
Total IT Costs	5.0	858,674	5.0	879,615	5.0	901,812	5.0	925,341	5.0	950,281	5.0	976,718	30.0	5,492,441
Total Program Costs	0.0	243,000	0.0	257,580	0.0	273,035	0.0	289,417	0.0	306,782	0.0	325,189	0.0	1,695,002
Total Existing System Costs	5.0	1,101,674	5.0	1,137,195	5.0	1,174,847	5.0	1,214,758	5.0	1,257,063	5.0	1,301,907	30.0	7,187,443

	<b>ACMS - Appeals Case Management System</b>													
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts		
<b>PROPOSED ALTERNATIVE</b>														
Total Project Costs	11.0	4,068,413	11.0	2,014,137	11.0	1,840,637	8.5	1,795,798	6.0	1,087,037	6.0	1,472,248	53.5	12,278,271
Total Cont. Exist. Costs	5.0	1,101,674	5.0	1,137,195	5.0	1,174,847	5.0	1,214,758	0.0	0	0.0	0	20.0	4,628,473
Total Alternative Costs	16.0	5,170,087	16.0	3,151,332	16.0	3,015,484	13.5	3,010,556	6.0	1,087,037	6.0	1,472,248	73.5	16,906,744
COST SAVINGS/AVOIDANCES	(11.0)	(4,068,413)	(11.0)	(2,014,137)	(11.0)	(1,840,637)	(8.5)	(1,795,798)	(1.0)	170,026	(1.0)	(170,341)	(43.5)	(9,719,300)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(11.0)	(4,068,413)	(11.0)	(2,014,137)	(11.0)	(1,840,637)	(8.5)	(1,795,798)	(1.0)	170,026	(1.0)	(170,341)	(43.5)	(9,719,300)
Cum. Net (Cost) or Benefit	(11.0)	(4,068,413)	(22.0)	(6,082,550)	(33.0)	(7,923,187)	(41.5)	(9,718,985)	(42.5)	(9,548,959)	(43.5)	(9,719,300)		

	<b>Do Not Procure New System</b>													
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts		
<b>ALTERNATIVE #1</b>														
Total Project Costs	2.0	225,982	2.0	210,286	7.0	1,099,090	7.0	1,128,147	7.0	1,158,947	7.0	1,185,385	32.0	5,007,837
Total Cont. Exist. Costs	5.0	1,101,674	5.0	1,137,195	5.0	1,174,847	5.0	1,214,758	5.0	1,257,063	5.0	1,301,907	30.0	7,187,443
Total Alternative Costs	7.0	1,327,656	7.0	1,347,481	12.0	2,273,937	12.0	2,342,905	12.0	2,416,011	12.0	2,487,292	62.0	12,195,280
COST SAVINGS/AVOIDANCES	(2.0)	(225,982)	(2.0)	(210,286)	(7.0)	(1,099,090)	(7.0)	(1,128,147)	(7.0)	(1,158,947)	(7.0)	(1,185,385)	(32.0)	(5,007,837)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(2.0)	(225,982)	(2.0)	(210,286)	(7.0)	(1,099,090)	(7.0)	(1,128,147)	(7.0)	(1,158,947)	(7.0)	(1,185,385)	(32.0)	(5,007,837)
Cum. Net (Cost) or Benefit	(2.0)	(225,982)	(4.0)	(436,268)	(11.0)	(1,535,358)	(18.0)	(2,663,505)	(25.0)	(3,822,452)	(32.0)	(5,007,837)		

	<b>Custom Build</b>													
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts		
<b>ALTERNATIVE #2</b>														
Total Project Costs	12.0	2,249,508	12.0	1,646,216	15.0	5,230,516	15.0	1,522,756	15.0	1,522,756	15.0	1,901,756	84.0	14,073,508
Total Cont. Exist. Costs	5.0	1,101,674	5.0	1,137,195	0.0	0	0.0	0	0.0	0	0.0	0	10.0	2,238,869
Total Alternative Costs	17.0	3,351,182	17.0	2,783,411	15.0	5,230,516	15.0	1,522,756	15.0	1,522,756	15.0	1,901,756	94.0	16,312,377
COST SAVINGS/AVOIDANCES	(12.0)	(2,249,508)	(12.0)	(1,646,216)	(10.0)	(4,055,669)	(10.0)	(307,998)	(10.0)	(265,693)	(10.0)	(599,849)	(64.0)	(9,124,933)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(12.0)	(2,249,508)	(12.0)	(1,646,216)	(10.0)	(4,055,669)	(10.0)	(307,998)	(10.0)	(265,693)	(10.0)	(599,849)	(64.0)	(9,124,933)
Cum. Net (Cost) or Benefit	(12.0)	(2,249,508)	(24.0)	(3,895,724)	(34.0)	(7,951,393)	(44.0)	(8,259,392)	(54.0)	(8,525,085)	(64.0)	(9,124,933)		

**PROJECT FUNDING PLAN**

Department: Social Services

All Costs to be in whole (unrounded) dollars

Date Prepared:

Project: Appeals Case Management System

	FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20		TOTALS	
	PYs	Amts												
<b>TOTAL PROJECT COSTS</b>	<b>11.0</b>	<b>4,068,413</b>	<b>11.0</b>	<b>2,014,137</b>	<b>11.0</b>	<b>1,840,637</b>	<b>8.5</b>	<b>1,795,798</b>	<b>6.0</b>	<b>1,087,037</b>	<b>6.0</b>	<b>1,472,248</b>	<b>53.5</b>	<b>12,278,271</b>
<b>RESOURCES TO BE REDIRECTED</b>														
Staff	0.0	0	0.0	0	0.0	0	0.0	0	5.0	447,238	5.0	447,238	10.0	894,476
Funds:														
Existing System		0		0		0		0		809,825		854,669		1,664,495
Other Fund Sources		0		0		0		0		0		0		0
<b>TOTAL REDIRECTED RESOURCES</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>5.0</b>	<b>1,257,063</b>	<b>5.0</b>	<b>1,301,907</b>	<b>10.0</b>	<b>2,558,971</b>
<b>ADDITIONAL PROJECT FUNDING NEEDED</b>														
One-Time Project Costs	11.0	4,068,413	11.0	2,014,137	11.0	1,747,137	5.5	750,569	0.0	0	0.0	0	38.5	8,580,256
Continuing Project Costs	0.0	0	0.0	0	0.0	93,500	3.0	1,045,230	1.0	(170,026)	1.0	170,341	5.0	1,139,045
<b>TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR</b>	<b>11.0</b>	<b>4,068,413</b>	<b>11.0</b>	<b>2,014,137</b>	<b>11.0</b>	<b>1,840,637</b>	<b>8.5</b>	<b>1,795,798</b>	<b>1.0</b>	<b>(170,026)</b>	<b>1.0</b>	<b>170,341</b>	<b>43.5</b>	<b>9,719,300</b>
<b>TOTAL PROJECT FUNDING</b>	<b>11.0</b>	<b>4,068,413</b>	<b>11.0</b>	<b>2,014,137</b>	<b>11.0</b>	<b>1,840,637</b>	<b>8.5</b>	<b>1,795,798</b>	<b>6.0</b>	<b>1,087,037</b>	<b>6.0</b>	<b>1,472,248</b>	<b>53.5</b>	<b>12,278,271</b>
Difference: Funding - Costs	0.0	0	0.0	0	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	0.0	0	0.0	0
<b>FUNDING SOURCE *</b>														
General Fund	44.0%	1,790,102	44.0%	886,220	44.0%	809,880	44.0%	790,151	44.0%	478,296	44.0%	647,789	44.0%	5,402,439
Federal Fund	24.0%	976,419	24.0%	483,393	24.0%	441,753	24.0%	430,992	24.0%	260,889	24.0%	353,340	24.0%	2,946,785
Special Fund	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0
Reimbursement	32.0%	1,301,892	32.0%	644,524	32.0%	589,004	32.0%	574,655	32.0%	347,852	32.0%	471,120	32.0%	3,929,047
<b>TOTAL FUNDING</b>	<b>100.0%</b>	<b>4,068,413</b>	<b>100.0%</b>	<b>2,014,137</b>	<b>100.0%</b>	<b>1,840,637</b>	<b>100.0%</b>	<b>1,795,798</b>	<b>100.0%</b>	<b>1,087,037</b>	<b>100.0%</b>	<b>1,472,248</b>	<b>100.0%</b>	<b>12,278,271</b>

\*Type: If applicable, for each funding source, beginning on row 29, describe what type of funding is included, such as local assistance or grant funding, the date the funding is to become available, and the duration of the funding.

