

Information Technology Capital Investment Program
Project Status Report

To: Information Technology Strategy and Investment Committee
John Vittner, Office of Policy and Management

From: Cindy Butterfield, CCWIS Project Director

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Agency: Department of Children and Families
Project: CCWIS Replacement Project - Planning Phase

Project Manager: Cindy Butterfield/Valter Borges

Reporting Period: Project Inception through 06/30/2017

Total Funds Requested: \$5,674,558

Total Funds Allotted to Agency: \$5,674,558

Accumulative Total Capital Fund Expenditures to Date: \$4,302,347

Brief Project Description/Summary:

DCF's SACWIS Replacement Project – Planning Phase, will replace DCF's current child welfare case management and reporting system. The current system has been in operation for 20 years and has been cited as not being federally compliant and in need of replacement. The Department has worked with a consulting firm to create a Request for Proposal (RFP) and the required federal planning documents in order to seek reimbursement approval for project costs. An analysis of the current system functionality is well documented and forms the basis for the 2800+ requirements for the new solution.

To support growing demand for comprehensive service delivery, with increasingly complex prompts and tracking, SACWIS (now called "LINK" in Connecticut) needs a total system replacement. This was further emphasized during and after an on-site visit by federal officials in April of 2014, after which LINK was placed in a non-SACWIS status and Federal Financial Participation was reduced from 50% to 35%. The current system is built in an antiquated application (PowerBuilder), which has limited long-term sustainability.

On August 1, 2016 the new Federal CCWIS regulations will take effect replacing the old SACWIS regulations.

Through the initiative the agency expects to develop a federally compliant CCWIS that will eliminate redundancy of data entry, streamline workers' daily tasks, and improve interoperability with other agency systems and programs. It is DCF's intention to join Connecticut's other social and human service agencies in the provision of timely, effective and accurate services to our respective (and common) client populations through the use of technologies that interact with one another in an enterprise-wide basis to facilitate administration of eligibility and enrollment into programs, and monitor service delivery while reducing costs. The new CCWIS initiative will be federally funded at a rate of 50% reimbursement through IV-E Claiming.

DCF will explore utilizing existing "enterprise" components in partnership with DAS-BEST. DCF plans to add new capabilities and components for use by this same growing group of agencies, to improve data exchanges and interoperability among health and human service programs. Using and contributing to the State's enterprise approach for health and human services, we anticipate jointly building much greater interoperability using common technologies and teams who have participated in prior efforts and intuitively comprehend how to build upon those solutions.

Summary of Progress Achieved to Date:

08/18/2017

DCF's IAPD was approved by the Federal ACF for \$130 million.

DCF is working with DAS and the OAG to develop and complete the Master Agreement Contract and the Statement of Work template, ensuring it meets the needs of an Agile project. Negotiations are on-going with the Master Contract vendors and it is estimated that all the contracts will be signed by early Fall.

The Project has added an Agile Project Manager and an Agile Coach to the Project Management Office. The Agile Project Manager and the Agile Coach have many years of experience overseeing Agile Project Management. The PM has been developing the Statements of Work, and organizing and assembling the teams using Agile methods. The Team is getting the work product to a shovel ready state, reducing delays and allowing DCF to react quickly once the contracts and acquisition of funding has been completed.

DCF continues to Lean processes in preparation of upcoming statements of work. A great deal of effort is going into designing the Team structure for production. The project plans to have 9 teams operating at once in production.

The Technology Stack has been selected and DCF is planning for acquisition and standing up the stack for implementation. DCF is researching project management software for managing Agile projects and Agile Training for the staff working on the project.

01/05/2017

DCF worked closely with DAS to finalize the RFP, developing a scoring instrument and issuing the RFP. The RFP Bidders' conference was well attended. DAS received many proposals for consideration. Approximately half the submissions were to develop the entire solution, while others focused on specific specialty areas. The pool of proposals was robust enough to give DCF a good number of options to consider. In November of 2016, DCF and DAS held several RFP evaluator sessions and scored the proposals. DCF determined it will be using an Agile / Scrum model of development. The Agile approach will allow for modular development with discrete pieces being developed and delivered to the customer for use quickly. To that end, DCF considered the possibility of creating a Master contract instead of awarding the RFP to one vendor. The Master contract will give DCF the ability to create a pool of vendors choose from to develop specific modules of the system. This would allow for continued competition between the vendors. A key advantage to this approach is the diversification of risk by not being locked into one vendor. If the modules being delivered are not up to DCF's expectation, DCF can choose to work with another vendor on the contract, easily and quickly. As the project matures, DCF could potentially work with two vendors at once and reduce the production time for the system. The RFP scoring has been completed and DAS is beginning to work with the vendors to negotiate the contract. We believe the contract negotiations may take up to 6 months, being completed by June, 2017.

During the contract negotiation period, DCF is pursuing demonstrations with vendors to determine the software to be purchased and used in the technology stack. DCF will be harmonizing the technology stack, making it as simple, cost effective, and functional as possible. Once the demonstrations have occurred DCF will commence purchasing the stack to have it ready for production once the contract is awarded.

DCF is in the midst of training all project staff on Lean practices and has begun a Lean process on all 160 workflows that were created. KPMG had condensed the 160 workflows to 80 for production of the RFP but did not actually use Lean practices. DCF will engage in Leans to ensure that all value added activities have been retained, as well as readying the current system for policy and practice changes. The Leans will be completed and finalize the workflows for automation.

Successful Agile implementation requires staff training on Agile production and the creation of "User Stories" to document each step of the workflow. DCF is working with DAS, and ACF from the Federal government to acquire Agile training.

DCF is in the midst of completing the Implementation Advanced Planning Document (IAPD) for submission to ACF. This document is required to receive approval from the Federal Government and to make the production of the new system applicable for federal reimbursement. Up to this point the project has been requesting reimbursement for the planning phase. As we enter the implementation phase a new document must be submitted and approved. DCF has been working closely with ACF and has found ACF very supportive of this effort, offering resources and advice to ensure success.

Previous Report:

DCF had selected Deloitte off the Master contract to work on implementing the new SACWIS system. DCF pursued contract negotiations which led to a proposed contract and budget. The decision was then made to pursue an RFP. DCF pursued and was approved for bonding funds to continue the planning and implementation of an RFP.

Between September and December 2015 DCF has been updating its business process flows and working on securing the services of KPMG for the assistance in the creation of the RFP. DCF is working in partnership with DAS procurements to create an RFP and held facilitated sessions to review and confirm all our current business process flows in their current and future states as well as using a Requirements capturing system (JAMA) to capture all requirements for the new system. Starting in January 2016 and going through July 2016, agency subject matter experts met to review and finalize business processes and creating the RFP. DCF has submitted an Updated Planning Document to ACF to secure additional FFP dollars for the planning and RFP aspects of the work. On December 4, 2015 DCF submitted a PAPD-U to ACF for review and approval. The PAPD-U estimated a total of \$5.2 million in state expenses associated with this planning phase. These PAPDU was approved by ACF on December 18, 2016.

At the same time that DCF was planning a new SACWIS, ACF has released new rules for what has been coined the Comprehensive Child Welfare Information System (CCWIS) pronounced 'See-Wis'. The requirements of the new system have to include these new guidelines and standards in addition to the well-established CFR 45 federal register rules for Welfare. These also include all the same Title IV-A, Title IV-B, Title IV-E mandates but also expand and mandate a more comprehensive data quality focus and plan, and also a focus on data exchange with partner agencies.

Additionally there are the Juan F Consent Decree rules, Federal Reporting (AFCARS, NCANDS, NYTD, IRS), and state and federal laws that continue to apply.

Security is always a priority including confidentiality, HIPAA, SSA, and State and Federal laws.

As of July 29th, 2016, DCF has completed the materials necessary to prepare the CCWIS RFP. From September 2015 until July 29th, 2016 DCF has performed the following work:

- 11 Business Domains documented with 168 detailed workflows for current business processes, including detailed narratives to describe these processes.
- Review and Analysis of CCWIS newly published regulations and alignment of scope of work with CCWIS Regulations 1355.50 through 1355.57.
- Analysis and review of current business processes with 93 subject matter experts distributed across regional and central operations and across the various business domains.

- Comprehensive review of existing pain points and areas of inefficiency and opportunities for process enhancement working in conjunction with 93 subject matter experts.
- Creation of optimized business flows for CCWIS system documented in 100 workflows, along with a detailed narrative.
- Creation of functional and technical requirements to support each of the 100 workflows in the system.
- Worked with DAS Contracting, DAS BEST, OPM, AAG, ACF, and 18F to create RFP, Objectives, Principles, and contracting language in order to align with CCWIS regulations, Federal and State Best Practices in IT Procurement, Development and Implementation.
- Held Agile Procurement and Agile Development Workshop along with BEST, DAS, OPM, DSS, ACF, and 18F.
- Worked with ACF to secure FFP funding for the continuation of the planning phase until full IAPD is created after the RFP responses have been received, and to create a comprehensive data quality plan and Interface strategy plan.
- Worked with DAS Contracting, DAS BEST and ACF in the planning of the RFP release and subsequent vendor conference.

Issues and Risks:

Lack of funding to support current SACWIS (LINK) and CCWIS simultaneously.
Lack of resources (Office Space, Qualified Personnel).

Next Steps & Project Milestones:

Next Phase(s) 01/25/2017:

Items overlap from the previous period report. Directly below are the anticipated outcomes for the period of 2/1/17 to 6/30/17:

- Submission of IAPD and a Data Quality Plan to the ACF
- Completion of Lean Events on 160 workflow
- Agile Training for all Project employees and other State Stakeholders
- Demos conducted of proposed technology stack products
- Selection and purchase of the technology stack
- Writing of Statements of Work and User Stories for the first two modules to prepare for automation
- Awarding of master contract agreement
- Release of statement of work for evaluation and selection of the System Integrator from the master contract for the first module
- Begin production on the first production module, Careline and the system dependencies created from a modular production approach.
- Hiring of IV & V, QA, PMO and Project Advisory

Submitted 7/1/2016: Next Phase(s):

After the RFP is posted the next phase is to allow vendors to respond, allow for time to demonstrations, Questions and Answer period and to score each of the different systems or vendors.

This next phase is estimated to take 6-9 months from August 1, 2016 through April 30, 2017 per established DAS protocol.

- Release RFP on August 1, 2016.
- Vendor Conference to be held, anticipated date August 15, 2016.
- Receive Vendor's proposals anticipated by September 12, 2016.
- Review of proposals, scoring and selection of vendors, and contract negotiations.
- Submit IAPD to ACF for funding.

In an effort to be prepared to build a modular system the following work will be done during this planning phase:

- Analysis of module dependencies, workflow dependencies, and technical dependencies
- Detailed Analysis of usage of Forms in relation to modules, workflows, pre-population, and approvals.
- Detailed Analysis of types of alerts, notifications.
- Document upstream and downstream dependencies in Jama for all requirements
- Analysis of Federal Reporting needs and relationships to each workflow and requirement.
- Establishing the baseline environment for project tracking
- Establishing the baseline environment for DCF Portal
- Establishing MOU and Enterprise resources with DAS-BEST
- Create and document data quality plan
- Establish baseline environment and standards for interface exchanges
- Create and document interfaces and work to establish MOU's with various agencies.
- Training on Agile Methodologies
- On Site Shadowing of respective child welfare workers by CCWIS staff to understand the child welfare environment and needs of the staff.
- Business Transformation, Change Management and Governance to keep current affairs in sync with CCWIS requirements.