FY-15 Investment Brief

**I. Project Identification**

SACWIS Replacement Project – Planning Phase & VDI Infrastructure

**Project Title:**

**Agency Name Agency Business Unit**

DCFM1

Department of Children and Families

**Your Name** (Submitter)  **Phone Email**

Cindy.butterfield@ct.gov

Dcfcommissioner@ct.gov

860/550-6651

Cindy Butterfield

**Agency Head**   **Phone Email**

860/550-6354

860/550-6480

860/550-6651

860/560-5081

860/418-6347

Comm. Joette Katz

**Agency CIO / IT Director**  **Phone Email**

Brian.clonan@ct.gov

Brian Clonan

**Agency CFO**  **Phone Email**

Cindy.butterfield@ct.gov

Cindy Butterfield

**Project Manager (if known) Phone Email**

Mark.lin@ct.gov

Mark Lin

**OPM Budget Analyst**  **Phone Email**

Joan.soulsby@ct.gov

Joan Soulsby

**II. Project Details**

1. **Project Dates**

**Proposed Start Date** (MM/DD/YYYY) **Expected Completion Date** (MM/DD/YYYY) **Project Duration** (in months)

8 months

11/01/2014

06/30/2015

1. **Project Description -** This information will be used for listings and report to the Governor and
 General Assembly on capital funded projects.

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 found to not be federally compliant and in need of replacement. The Department will need to engage in a planning phase to create a statement of work and receive federal approval for the project, allowing for federal reimbursement.

1. **Summary.**

|  |
| --- |
|  **Summary - Describe the high level summary of this project in plain English without technical jargon** |
| The Department will work with a consulting firm to create a statement of work and planning document for submission to the federal government in order to seek approval for the project and the reimbursement funding. This is the first stage of the project. An analysis of the current system and functionality is documented. This analysis is then compared against new functionality and specifications. The analysis will also provide a plan to integrate information from DSS’s CMS system and join the two systems for information sharing and reporting.  |
| **Purpose – Describe the purpose of the project** |
| The SAWCIS Project - Planning Phase is required by the federal government and will allow the State to seek federal reimbursement for the project. The Planning Phase is also essential to the success of the production phase of the SACWIS replacement project to ensure that a compliant SACWIS system is designed that will meet all the needs of the Department.  |
| **Importance – Describe why this project is important** |
| State Child Welfare agencies are required to supply to the federal government complex data reporting. The SACWIS system is also the case management system for all child welfare cases in the State of Connecticut and is integral to maintaining the health and safety of children in the care of DCF. The modernization of the SACWIS system will allow for worker mobility, increasing productivity and in turn the safety of the children served by the Department.  |
| **Outcomes – What are the expected outcomes of this project** |
| The Planning Phase outcomes will be:1. The creation of a statement of work that will lead to a fully compliant SACWIS system.
2. Federal approval to continue with the development of the system
3. Completion of the first phase of setting up the hardware for a Virtual Desktop Infrastruture (VDI) to allow for worker mobility and create a hardened security environment.
 |
| **Approach and Success Evaluation – Provide details of how the success of the project will be evaluated** |
| 1. Federal approval of the planning documents.
2. Initial VDI hardware purchased and readied for operation.
 |

1. **Business Goals**. List up to 10 key business goals you have for this project, when (FY) the goal
is expected to be achieved, and how you will measure achievement, Must have at least one.
Please use action phrases beginning with a verb to state each goal. Example: "Reduce the
Permitting process by 50%". In the Expected Result column, please explain what data you will use to
demonstrate the goal is being achieved and any current metrics.

|  |  |  |  |
| --- | --- | --- | --- |
| **Business Goal (Action Phase)** | **Target FY for Goal** | **Current Condition** | **Expected Result** |
| Approval of the planning documents associated with the replacement of the SACWIS system.  | 06/30/2015 | Beginning planning stages of the statement of work.  | An approved planning document from the federal government and federal reimbursement of planning costs.  |
| Initial installation of hardware to support a VDI. | 06/30/2015 | Requisitions have been created to make the purchases. | Completion of the initial stage of VDI set up.  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. **Technology Goals**. From a technical perspective, following the above example, list up to 10 key technology goals you have for this project and in which Fiscal Year (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: “Improve transaction response time by 10%".

|  |  |  |  |
| --- | --- | --- | --- |
| **Technology Goal** | **Target FY for Goal** | **Current Condition** | **Expected Result** |
| Improve federal reporting | 06/30/2017 | Non-compliant reporting. | Fully compliant reporting. |
| Improve worker efficiency and mobility impacting child safety | 06/30/2017 | Low levels of efficiency and lack of mobility.  | Highly efficient, mobile operations improving child welfare outcomes.  |
|  |  |  |  |

1. **Priority Alignment.** The criteria in this table, in concert with other factors, will be used to determine project
 priorities in the capital funding approval process. Briefly describe how the proposed projects will align with each criterion.

|  |  |  |
| --- | --- | --- |
| **Priority Criterion** | **Y/N** | **Explanation** |
| Is this project aligned with the Governor’s Key Priorities? | Y | DCF’s SACWIS system will improve outcomes for child welfare and integrate the State’s Social and Human Services systems for greater efficiencies.  |
| Is this project aligned with business and IT goals of your agency? | Y | The SACWIS system is the cornerstone of the Child Welfare management. Many LEAN event initiatives will be possible with this replacement system.  |
| Does this project reduce or prevent future increases to the agency’s operating budget? | N | Difficult to project but will lead to greater worker efficiency.  |
| Will this project result in shared capabilities? | Y | This system will build on DSS’s CMS system allowing for 90% reimbursement to phases of this project.  |
| Is this project being Co-developed through participation of multiple agencies?  | Y | DCF will work closely with DSS.  |
| Has the agency demonstrated readiness to manage project of this size and scope? | Y | DCF has assembled a team to implement this project.  |
| Is the agency ready to deliver the business value proposed?  | Y | DCF will further refine this plan through the development of the planning document and statement of work.  |

1. **Organizational Preparedness**. Is your agency prepared to undertake this project? Is senior management committed, willing to participate, and willing to allocate the necessary time, energy and staffing resources? How will the project be managed and/or governed and who will make the key project decisions?

The Commissioner is fully behind the replacement of the SACWIS and has assembled a team to develop the new system. The Department has assigned a project manager, and the project is under the direction of the Deputy Commissioner of Administration.

1. **Project Ramp Up**. If capital funds are awarded for this project, how long will it take to ramp up? What are the key ramp-up requirements and have any off these already been started? For example, has a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

The Department has conducted a RFI and has selected vendors that were on State contract to develop the statement of work and the actual production of the new SACWIS system. All procurement activities have been completed and the Planning phase of the project can begin immediately.

1. **Organizational Skills**. Do you have the experienced staff with the proper training to sustain this initiative once it’s a production system? Do you anticipate having to hire additional staff to sustain this? What training efforts are expected to be needed to maintain this system?

The Department has been altering and maintaining the current SACWIS system for 20 years. It is believed that the new system will require less labor to alter and maintain. The Department is integrating its staff into the production process and will be able to maintain the system on its own.

1. **Financial Estimates.** From IT Capital Investment Fund Financial Spreadsheet

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Estimated Total Development Cost** | **Estimated total Capital Funding Request** | **Estimated Annual Operating Cost** | **One Time Financial Benefit** | **Recurring Annual Financial Benefit** |
| $2,210,000 | $2,210,000 |  | $1,989,000 |  |
| **Explanation of Estimates** |
| 1. Consulting fees for the development of the APDU and the Statement of Work $1,486,000
2. Cost of initial infrastructure hardware to build a VDI environment $724,000
3. One Time Financial Benefit of $1,989,000 is the projected federal reimbursement of costs related to the SACWIS project and interoperability with the CMS system.
 |
| **Assumptions: Please list key assumptions you are using to estimate project development and implementation costs** |
| Estimated time to complete the planning phase based on State Contract pricing for both consultation and equipment.  |

III. **Expanded Business Case**

1. **Project Impact.** Beyond the top business goals identified in Section II, 1) What impacts will this project
 have, if any, in the targeted areas below, 2) What would be the impact of not doing this project, 3) How will the project demonstrate benefits are achieved.

|  |  |  |
| --- | --- | --- |
| **(1) Impact Area (Vision)** | **Y/N** | **Description of Project Impact** |
| Will this project provide efficient and easily accessible services for all constituents? | Y | Worker efficiency will improve from use of the mobility devices and modernization of the SACWIS system.  |
| Will this project promote open and transparent government with the citizens of the state? | Y | The new system will allow for timely and accurate reporting.  |
| Will this project establish efficient and modern business processes? | Y | The new system will allow for the implementation of the several LEAN events.  |
| Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?  | Y | This new system will have this capability.  |

|  |
| --- |
| 2) What is the expected impact of NOT doing this project? |
| The Federal government is supportive of this replacement project. The current system is not compliant. We have been given approval to move forward with the new system. If the state does not move forward with the new system, future federal revenue will be at risk. The system is currently on a mainframe, has time limited functionality and is in danger of failing without replacement, impacting child health and safety.  |

|  |
| --- |
| (3) How will you demonstrate achievement of benefits? |
| Upon completion of the planning stage of the project it is unlikely that there will be any evident benefits. This stage of the project is essential to the success of the project in general that will reap multiple benefits in the are of child welfare and resource efficiencies.  |

1. **Statutory/Regulatory Mandates.**  1) Cite and describe federal and state mandates that this project in intended to address. 2) What would be the impact of non-compliance?

|  |
| --- |
| 1. Statutory / Regulatory Mandates:
 |
| Federal SACWIS system non-compliance can lead to a lack of revenue due to inaccurate reporting and the determination that systems are unsafe due to a lack of available information to workers.  |

|  |
| --- |
| 1. Impact of non-compliance:
 |
| Loss of potentially of over $100 million in federal revenue annually.  |

1. **Primary Beneficiaries.**  Who will benefit from this project (citizens businesses, municipalities, other
state agencies, staff in your agency, other stakeholders) and in what way?

|  |
| --- |
| In this initial planning phase, the beneficiaries will be the state agencies and federal government involved in and funding the project. They will benefit from a well planned document that will be used in the second phase of implementation.  |

**Important:**

* **If you have any questions or need assistance completing the form please contact Jim Hadfield or John Vittner**
* **Once you have completed the form and the** [IT Capital Investment Fund Financial Spreadsheet](http://www.ct.gov/opm/lib/opm/finance/itim/investment_brief_financial_spreadsheets_fy13_v4_0.xlsx) **please e-mail them to Jim Hadfield and John Vittner**

John Vittner, (860) 418-6432; John.Vittner@ct.gov

Jim Hadfield, (860) 418-6438; Jim.Hadfield@ct.gov