

State of California
Health and Human Services Agency
Department of Social Services



County Expense Claim Reporting Information System
(CECRIS)

Special Project Report

Submittal 1: January 2012



Information Technology Project Request



**Special Project Report
Executive Approval Transmittal**

Department Name

Social Services

Project Title (maximum of 75 characters)

Project Acronym

County Expense Claim Reporting Information System

CECRIS

FSR Project ID

FSR Approval Date

Department Priority

Agency Priority

5180-153

12/31/2007

1

I am submitting the attached Special Project Report (SPR) in support of our request for the California Technology Agency's approval to continue development and/or implementation of this project.

I certify that the SPR was prepared in accordance with the State Administrative Manual Sections 4945-4945.2 and that the proposed project changes are consistent with our information management strategy as expressed in our current Agency Information Management Strategy (AIMS).

I have reviewed and agree with the information in the attached Special Project 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).

APPROVAL SIGNATURES

Chief Information Officer

Date Signed

Printed name: Kären Cagle

Budget Officer

Date Signed

Printed name: Brian Dougherty

Department Director

Date Signed

Printed name: Will Lightbourne

Agency Chief Information Officer

Date Signed

Printed name: Shell Culp, Acting

Agency Secretary

Date Signed

Printed name: Diana Dooley



Executive Approval Transmittal IT Accessibility Certification

Yes or No

Yes	The Proposed Project Meets Government Code 11135 / Section 508 Requirements and no exceptions apply.
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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.
Yes	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
No	<p>Meeting the accessibility requirements would constitute an "undue burden" (i.e., a significant difficulty or expense considering all agency resources).</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>
No	<p>No commercial solution is available to meet the requirements for the IT project that provides for accessibility.</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>



**Special Project Report
Executive Approval Transmittal
IT Accessibility Certification
(continued)**

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
No	<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>



2. Information Technology Project Summary Package

2.1 Section A: Executive Summary

1.	Submittal Date	01/2012
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2.	Type of Document	FSR	SPR	PSP Only	Other:
	Project Number	5180-153	X		

3.	Project Title	County Expense Claim Reporting Information System	Estimated Project Dates	
	Project Acronym	CECRIS	Start	End
			02/01/2011	11/28/2016

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

6.	Project Objectives
	<p>The objective of the CECRIS project is to develop and implement a Commercial Off The Shelf (COTS) or a three-tier software application that is based upon re-engineered business processes and meets all of the objectives and functional requirements outlined in the Feasibility Study Report. The project will include all system development lifecycle phases for software development and include resources for change management and stakeholder training. The project will provide users internal and external to the California Department of Social Services (CDSS) with streamlined processes to manage the County Expense Claim (CEC) business process, report expenditures, and receive reimbursement for these expenditures in a timely and efficient manner. In addition, the project will support the CEC auditing, payment, and federal reporting processes. The proposed solution addresses these five major challenges facing CDSS with the current process:</p> <ul style="list-style-type: none"> • Lack of a centralized repository of information that is available to users on an as-needed basis for updates, inquiries, and reporting; • Error prone manual processes and outdated poorly designed information systems; • No strategic plan or personnel resources for technical support and enhancement of the current applications; • Lack of staff to manage an increasingly complex reporting requirements; • Competing demands for providing support and guidance to County Welfare Departments (CWDs). <p>As a result of the capabilities provided by the recommended solution, users will be able to manage an increasing workload with existing staff while also improving data quality and usefulness.</p>

7.	Proposed Solution
	<p>The CDSS proposes to replace the CEC System with a COTS or three-tier software solution hosted at the Office of Technology Services. The solution will be developed by a vendor with technical oversight provided by the CDSS Information Systems Division (ISD). The new system will enable the CDSS to perform the CEC claiming process in an efficient, reliable manner that accurately accounts for the distribution of over \$7 billion annually in state and federal funds.</p>



2.1 Section A: Executive Summary (continued)

8.	Major Milestones	Est. Complete Date
	Project Start	01/31/2012
	Procurement – System Developer	06/10/2014
	System Design	01/05/2015
	System Development	07/16/2015
	Testing	01/18/2016
	Implementing Change Management	01/18/2016
	Rollout	04/19/2016
	Project Closeout	11/28/2016
	PIER	11/28/2016
	Key Deliverables	
	Business Process Re-engineering	05/15/2014
	Requirements Specification	11/28/2014
	Finalize HW & SW Specs & Config	12/22/2014
	Prep and Approve Data model & System Design	01/05/2015
	Development	06/04/2015
	Documentation	07/16/2015



Project #	5180-153
Doc. Type	SPR

2.2 Section B: Project Contacts

Executive Contacts						
	First Name	Last Name	Area Code	Phone #	Ext.	E-mail
Agency Secretary	Diana	Dooley	916	654-3454		Diana.Dooley@chhs.ca.gov
Dept. Director	Will	Lightbourne	916	657-2598		Will.Lightbourne@dss.ca.gov
Budget Officer	Brian	Dougherty	916	657-3750		Brian.Dougherty@dss.ca.gov
CIO	Kären	Cagle	916	654-1039		Karen.Cagle@dss.ca.gov
Project Sponsor	Fran	Mueller	916	657-3266		Fran.Mueller@dss.ca.gov

Direct Contacts						
	First Name	Last Name	Area Code	Phone #	Ext.	E-mail
Doc. prepared by	Kirk	Haley	916	653-1237		Kirk.Haley@dss.ca.gov
Primary contact	Kirk	Haley	916	653-1237		Kirk.Haley@dss.ca.gov
Project Manager	TBD	TBD	916	TBD		TBD



2.3 Section C: Project Relevance to State and/or Departmental Plans

1.	What is the date of your current Operational Recovery Plan (ORP)?	Date	08/2011
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	08/2011
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	AIMS
		Page #	52

Project #	5180-153
Doc. Type	SPR

		Yes	No
4.	Is the project reportable to control agencies?	x	
	If YES, CHECK all that apply:		
x	a) The project involves a budget action.		
x	b) 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	c) 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).		
x	d) The project meets a condition previously imposed by Finance.		



2.4 Section D: Budget Information

Project #	5180-153
Doc. Type	SPR

Budget Augmentation Required?														
No														
Yes	<input checked="" type="checkbox"/>		If YES, indicate fiscal year(s) and associated amount:											
			FY	2011/2012	FY	2012/2013	FY	2013/2014	FY	2014/2015	FY	2015/2016	FY	2016/2017
				\$8,333		\$100,000		\$306,778		\$1,290,667		\$431,297		\$0

PROJECT COSTS

1.	Fiscal Year	2011/2012	2012/2013	2013/2014	2014/2015	2015/2016	2016/2017	TOTAL
2.	One-Time Cost	\$8,333	\$100,000	\$306,778	\$1,290,667	\$431,297	\$0	\$2,137,075
3.	Continuing Costs	\$0	\$0	\$0	\$0	\$28,098	\$51,547	\$79,645
4.	TOTAL PROJECT BUDGET	\$8,333	\$100,000	\$306,778	\$1,290,667	\$458,320	\$51,547	\$2,216,720

PROJECT FINANCIAL BENEFITS

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



2.5 Section E: Vendor Project Budget

Project #	5180-153
Doc. Type	SPR

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

VENDOR PROJECT BUDGET

1.	Fiscal Year	2011/2012	2012/2013	2013/2014	2014/2015	2015/2016	2016/2017	TOTAL
2.	Primary Vendor Budget	\$0	\$0	\$215,111	\$1,290,667	\$430,222	\$0	\$1,936,000
3.	Independent Oversight Budget	\$0	\$0	\$0	\$0	\$0	\$0	\$0
4.	IV&V Budget	\$0	\$0	\$0	\$0	\$0	\$0	\$0
5.	Other Budget	\$8,333	\$100,000	\$91,667	\$0	\$0	\$0	\$200,000
6.	TOTAL VENDOR BUDGET	\$8,333	\$100,000	\$306,778	\$1,290,667	\$430,222	\$0	2,136,000

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

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

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

PRIMARY VENDOR CONTACTS

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
11.									
12.									
13.									



2.6 Section F: Risk Assessment Information

Project #	5180-153
Doc. Type	SPR

RISK ASSESSMENT

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

General Comment(s)
<p>Preventative measures to reduce CECRIS risks will be incorporated in Fiscal Year (FY) 2011-12 through the initiation of maintenance modifications to the current system. Implementing these modifications will reduce the risk of failure on our current system during the requirements and development phase of the CECRIS. The modified system will provide a solid base for the business requirements in the CECRIS. In addition, during the development phase of the CECRIS it is our plan to cease all modifications to the current system. This in turn will enable us to commit the appropriate level of support and resources to the development and implementation of the CECRIS.</p>



3. Proposed Project Change

A Special Project Report (SPR) is being submitted as required to explain the changes in schedule, scope, and cost for the County Expense Claim Reporting Information System. This SPR reflects the schedule delay, reductions in cost, the consideration of a Commercial Off the Shelf (COTS) solution, a shift away from contracted Project Management, Independent Validation and Verification (IV&V) and Independent Project Oversight Consultants (IPOC) to state staff performing these services and proposes solutions to minimize the effects of the delay.

3.1 Project Background/Summary

The existing CEC system and its supporting business processes enable CWDs to obtain state and federal reimbursement for costs incurred in the administration of public assistance programs. Data from the CEC system is used to meet federal reporting requirements, process payments to CWDs, and to bill other state departments for funding. The current CEC system has limited functionality and is very difficult to modify due to the low quality of the source code and lack of a cohesive system design. The increase in public assistance programs, federal requirements for additional fiscal detail and reporting, and staff attrition has compounded the difficulty of maintaining the system at a level which effectively supports the program function of the CEC and fulfills federal reporting requirements. The increased transparency requirements of the American Reinvestment and Recover Act resulted in substantial overtime costs to the CDSS because the CEC was not designed for this level of transparency.

Currently, the CECRIS project is in the Planning phase. As with any project, the execution and continuation of any information technology project remains subject to the availability of funding and legislative concurrence for funding and expenditure authority in accordance with the normal state budget process.

3.2 Project Status

The Department of Finance (DOF) approved the Feasibility Study Report (FSR) (DOF Project Number 5180-153) on December 31, 2007. The original schedule called for a completion date of January 31, 2011. Due to the unprecedented financial crisis beginning in 2008, funding for the CECRIS project has been delayed until FY 2011-2012. The Project start date is delayed until January 31, 2012 to reflect the use of state staff versus contract staff for key functions and updated information regarding procurement timelines, which required subsequent discussions and adjustments to cost and schedule.



Since the December 2007 FSR, the project submitted a SPR in May 2011 to address the delay in project start. With review of this submission, CTA requested:

- That IV&V, IPOC and Project Management services be performed by state staff.
- A review of the procurement timelines and consideration of a COTS solution in addition to a custom build.

These changes have been incorporated into this SPR. Consultation with the Office of Systems Integration regarding the reasonableness of the procurement timelines for both the Procurement Support Vendor and the System Developer has led to a determination that the procurement timelines in the approved FSR were no longer feasible based on the required time for similar procurements of these types. The timelines were adjusted accordingly.

3.3 Reason for Proposed Change

Scope Deviation	CDSS will now consider a COTS solution in addition to a custom build, if such a solution is available and meets the business requirements of the project.
Schedule Deviation	Schedule will exceed 10% of the original FSR schedule. The project is expected to end in November 2016.
Costing Deviation	The cost of the project will increase by \$598,690 as a result of increase to the project schedule to support procurement timelines, changes associated with the use of state staff for project management, and the inclusion of state staff costs for IV&V, IPOC, legal and procurement services.

The project schedule has shifted twenty months since the May 2011 SPR. Extension of the project schedule resulted from the review of the procurement timelines, identification and inclusion of CDSS staff costs for procurement, legal, IV&V and IPOC services, as well as determination of the state staff hours necessary for project management. The project initiation milestone has been extended by three months. The Procurement Support Vendor procurement has been extended by three and a half months, and the System Developer procurement extended by 14 months.

3.3.1 Scheduled Delay Factors

There are two main factors contributing to the change in the CECRIS schedule:

- 1) Delay in securing project funding
- 2) A decision to shift away from contracted Project Management, IV&V and IPOC to state staff performing these services.



3.4 Proposed Project Change

Proposed Scope Change: Scope is changed to reflect our consideration of a COTS solution in addition to a custom build.

Proposed Schedule Change: The CECRIS Project is requesting extension of the project schedule.

Major Milestones Completion Changes: Depicts the changes to major project milestones completion dates based on schedule changes from the December 2007 FSR. Descriptions of the activities associated with these major milestones are provided below.

Table 0 – Major Milestones Completion Changes

MAJOR MILESTONE	FSR COMPLETION DATE	SPR COMPLETION DATE
Project Initiation	November 2009	January 2012
System Developer Procurement	April 2009	June 2014
System Design	May 2010	January 2015
System Development	October 2010	July 2015
Testing	January 2011	January 2016
Implement Change Management	January 2011	April 2016
Rollout	January 2011	April 2016
Project Closeout	April 2012	November 2016

The extensions to the project schedule have modified the project costs for state staff, CWD staff, and project management staff. The identification of CDSS staff for procurement, IV&V, IPOC and legal staff have also increased the overall project costs.

Proposed Cost Change: The CECRIS Project is requesting a project increase of \$1,225,171 to support the needed staff, schedule extension and contract services changes.

Table 1 below identifies the differences for increase in identified staffing and the schedule extension. These costs are redirected costs and not new staff.



Table 1 – Summary of CDSS Staff Budget Cost Changes

CDSS STATE STAFF COSTS	FSR	SPR	DIFFERENCE
CDSS Staff Salaries & Benefits			
Increase for 5%			
Increase for Additional CDSS Staff			
Legal Staff	0	\$156,333	\$156,333
Procurement Staff	0	\$131,497	\$131,497
ISD Staff (IV&V, IPOC, PM)	0	\$967,341	\$967,341
Increase for Schedule Extension	0		
SPR Change Total	0	\$1,225,171	\$1,225,171
Revised CDSS Staff Total	0	\$1,225,171	\$1,225,171

The changes to Project Management have decreased the additional project funding needed as the use of State staff is considered redirected costs. The costs for Project Management are based on hours estimated to be needed for successful project management and are at the rate of a Senior Information Systems Analyst (Specialist). This rate was used as staff used may be at a higher rate or at a lower rate. Actual costs will be based on the hours at level of the staff performing the task. Table 2 below identifies the hours and costs by SFY.

Table 2 – Summary of Project Management Costing

	SFY 11/12	SFY 12/13	SFY 13/14	SFY 14/15	SFY 15/16	SFY 16/17	Total
SFY							
PY	0.75	0.75	0.75	0.75	0.75	0.75	
COST	\$18,484	\$110,904	\$110,904	\$110,904	\$110,904	\$36,968	\$499,068

Table 3 below identifies the differences for the schedule extension, change to Project Management from non-State entity to State staff and the increase to the Procurement Support Vendor contract to support the System Developer procurement timeline. The Other Contract Services increases the additional project funding needed to support the System Developer timeline.

Table 3 – Summary of Contract Services Budget Cost Changes

CONTRACT SERVICES COSTS	FSR	SPR	DIFFERENCE
Project Management	\$537,650	\$0	(\$537,650)
Decrease for Modification to State Staff			
Increase for Schedule Extension			
Other Contract Services	\$284,375	\$200,000	(\$84,375)
Increase for Schedule Extension	0	0	
Maintenance & Operations Support	\$108,000	0	(\$108,000)
SPR Change Total	0	\$200,000	
Revised Contract Services Total	\$930,025	\$200,000	(\$730,025)



3.5 Impact of Proposed Change on the Project

The project schedule was approved to launch in FY 2008-2009. Due to a lack of legislative approval for project funding and expenditure authority, the project has been delayed to FY 2011-2012. The project schedule has also increased by 18 months to reflect recommended, feasible procurement timelines.

3.6 Feasible Alternatives Considered

The rationale and alternative discussed in Section 5.2 of the FSR still apply with this change.

3.7 Implementation Plan

The implementation plan discussed in Section 5.0 of the FSR still applies for this SPR.



4. Economic Analysis Worksheet (EAW) Package SIMM Section 20C

SIMM 20C30C, Rev. 01/2012

Department: California Department of Social Services

Project: CECRIS

EXISTING SYSTEM/BASELINE COST WORKSHEET

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

Date Prepared: 01/05/2012

	FY 2011/2012		FY 2012/2013		FY 2013/2014		FY 2014/2015		FY 2015/2016		FY 2016/2017		TOTAL	
	PYs	Amts	PYs	Amts										
Continuing Information														
Technology Costs														
Staff (salaries & benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Hardware Lease/Maintenance		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0
Contract Services		1,000,000		500,000		350,000		402,500		402,500		402,500		3,057,500
Data Center Services		0		0		0		0		0		0		0
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
Total IT Costs	0.0	1,000,000	0.0	500,000	0.0	350,000	0.0	402,500	0.0	402,500	0.0	402,500	0.0	3,057,500
Continuing Program Costs:														
Staff	326.7	26,363,859	334.0	26,946,684	341.0	27,511,358	347.6	28,043,974	347.6	28,043,974	347.6	28,043,974	2044.5	164,953,823
Other		117,107		128,260		133,836		133,836		133,836		133,836		780,711
Total Program Costs	326.7	26,480,966	334.0	27,074,944	341.0	27,645,194	347.6	28,177,810	347.6	28,177,810	347.6	28,177,810	2044.5	165,734,534
TOTAL EXISTING SYSTEM COST	326.7	27,480,966	334.0	27,574,944	341.0	27,995,194	347.6	28,580,310	347.6	28,580,310	347.6	28,580,310	2044.5	168,792,034



California Department of Social Services
County Expense Claim Reporting Information System SPR

SIMM 20C30C, Rev. 01/2012

PROPOSED ALTERNATIVE: SQL Server, DTS Hosted, Browser Based Front End

Date Prepared: 01/05/2012

Department: California Department of Social Services
Project: CECRIS

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

	FY 2011/2012		FY 2012/2013		FY 2013/2014		FY 2014/2015		FY 2015/2016		FY 2016/2017		TOTAL	
	PYs	Amts	PYs	Amts										
One-Time IT Project Costs														
Staff (Salaries & Benefits)	0.7	98,274	2.3	308,623	2.3	303,040	5.5	495,218	4.9	452,952	0.6	80,541	10.8	1,738,648
Hardware Purchase		0		0		0		0		0		0		0
Software Purchase/License		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services														
Software Customization		0		0		215,111		1,290,667		430,222		0		1,936,000
Project Management		0		0		0		0		0		0		0
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0
Other Contract Services		8,333		100,000		91,667		0		0		0		200,000
TOTAL Contract Services		8,333		100,000		306,778		1,290,667		430,222		0		2,136,000
Data Center Services		0		0		0		0		1,075		0		1,075
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
Total One-time IT Costs	0.7	106,607	2.3	408,623	2.3	609,818	5.5	1,785,885	4.9	884,249	0.6	80,541	10.8	3,875,723
Continuing IT Project Costs														
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.3	23,449	0.0	23,449
Hardware Lease/Maintenance		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Data Center Services		0		0		0		0		28,098		28,098		56,196
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
Total Continuing IT Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	28,098	0.3	51,547	0.0	79,645
Total Project Costs	0.7	106,607	2.3	408,623	2.3	609,818	5.5	1,785,885	4.9	912,347	0.9	132,088	10.8	3,955,368
Continuing Existing Costs														
Information Technology Staff	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other IT Costs		0		0		0		0		0		0		0
Total Continuing Existing IT Costs	0.0	0	0.0	0										
Program Staff	326.5	26,363,859	326.5	26,363,859	326.5	26,363,859	326.5	26,363,859	326.5	26,363,859	322.3	26,001,640	1306.0	157,820,935
Other Program Costs		117,107		117,107		117,107		117,107		117,107		103,165		688,698
Total Continuing Existing Program Costs	326.5	26,480,966	322.3	26,104,805	###	158,509,633								
Total Continuing Existing Costs	326.5	26,480,966	322.3	26,104,805	###	158,509,633								
TOTAL ALTERNATIVE COSTS	327.2	26,587,572	328.8	26,889,589	328.8	27,090,783	332.0	28,266,850	331.4	27,393,313	323.2	26,236,893	###	162,465,000
INCREASED REVENUES		0		0		0		0		0		0		0



California Department of Social Services
County Expense Claim Reporting Information System SPR

SIMM 20C30C, Rev. 01/2012

ALTERNATIVE #1: MS Access and SQL Server Database

Date Prepared: 01/05/2012

Department: California Department of Social Services

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

Project: CECRIS

	FY 2011/2012		FY 2012/2013		FY 2013/2014		FY 2014/2015		FY 2015/2016		FY 2016/2017		TOTAL	
	PYs	Amts	PYs	Amts										
One-Time IT Project Costs														
Staff (Salaries & Benefits)	0.2	18,552	5.1	338,543	0.4	29,439	0.0	0	0.0	0	0.0	0	5.7	386,534
Hardware Purchase		0		0		0		0		0		0		0
Software Purchase/License		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services														
Software Customization		0		1,469,600		0		0		0		0		1,469,600
Project Management		0		396,000		0		0		0		0		396,000
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		161,000		14,000		0		0		0		175,000
Other Contract Services		100,000		0		0		0		0		0		100,000
TOTAL Contract Services		100,000		2,026,600		14,000		0		0		0		2,140,600
Data Center Services		0		0		0		0		0		0		0
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
Total One-time IT Costs	0.2	118,552	5.1	2,365,143	0.4	43,439	0.0	0	0.0	0	0.0	0	5.7	2,527,134
Continuing IT Project Costs														
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.3	23,449	0.3	23,449	0.3	23,449	0.9	70,347
Hardware Lease/Maintenance		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		108,000		75,000		75,000		75,000		333,000
Data Center Services		0		0		8,322		8,322		8,322		8,322		33,289
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
Total Continuing IT Costs	0.0	0	0.0	0	0.0	116,322	0.3	106,772	0.3	106,771	0.3	106,771	0.9	436,636
Total Project Costs	0.2	118,552	5.1	2,365,143	0.4	159,761	0.3	106,772	0.3	106,771	0.3	106,771	6.6	2,963,770
Continuing Existing Costs														
Information Technology Staff	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other IT Costs		0		0		0		0		0		0		0
Total Continuing Existing IT Costs	0.0	0	0.0	0										
Program Staff	326.7	26,363,859	334.0	26,946,684	341.0	27,511,358	347.6	28,043,974	354.3	28,587,543	354.3	28,587,543	2057.9	166,040,961
Other Program Costs		117,107		128,260		133,836		133,836		133,836		133,836		780,710
Total Continuing Existing Program Costs	326.7	26,480,966	334.0	27,074,944	341.0	27,645,194	347.6	28,177,810	354.3	28,721,379	354.3	28,721,379	2057.9	166,821,671
Total Continuing Existing Costs	326.7	26,480,966	334.0	27,074,944	341.0	27,645,194	347.6	28,177,810	354.3	28,721,379	354.3	28,721,379	2057.9	166,821,671
TOTAL ALTERNATIVE COSTS	326.9	26,599,518	339.1	29,440,087	341.4	27,804,955	347.8	28,284,582	354.6	28,828,150	354.6	28,828,150	2064.4	169,785,441
INCREASED REVENUES		0		0		0		0		0		0		0



SIMM 20C30C, Rev. 12/2011

ECONOMIC ANALYSIS SUMMARY

Date Prepared: 01/05/2012

Department: California Department of Social Services

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

Project: CECRIS

	FY 2011/2012		FY 2012/2013		FY 2013/2014		FY 2014/2015		FY 2015/2016		FY 2016/2017		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
EXISTING SYSTEM														
Total IT Costs	0.0	1,000,000	0.0	500,000	0.0	350,000	0.0	402,500	0.0	402,500	0.0	402,500	0.0	3,057,500
Total Program Costs	326.7	26,480,966	334.0	27,074,944	341.0	27,645,194	347.6	28,177,810	347.6	28,177,810	347.6	28,177,810	2044.5	165,734,534
Total Existing System Costs	326.7	27,480,966	334.0	27,574,944	341.0	27,995,194	347.6	28,580,310	347.6	28,580,310	347.6	28,580,310	2044.5	168,792,034
PROPOSED ALTERNATIVE	SQL Server, DTS Hosted, Browser Based Front End													
Total Project Costs	0.7	106,607	2.3	408,623	2.3	609,818	5.5	1,785,885	4.9	912,347	0.9	132,088	10.8	3,955,368
Total Cont. Exist. Costs	326.5	26,480,966	326.5	26,480,966	326.5	26,480,966	326.5	26,480,966	326.5	26,480,966	322.3	26,104,805	1306.0	158,509,633
Total Alternative Costs	327.2	26,587,572	328.8	26,889,589	328.8	27,090,783	332.0	28,266,850	331.4	27,393,313	323.2	26,236,893	1316.8	162,465,000
COST SAVINGS/AVOIDANCES	(0.5)	893,394	5.2	685,355	12.2	904,411	15.6	313,460	16.2	1,186,997	24.4	2,343,417	727.7	6,327,034
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(0.5)	893,394	5.2	685,355	12.2	904,411	15.6	313,460	16.2	1,186,997	24.4	2,343,417	727.7	6,327,034
Cum. Net (Cost) or Benefit	(0.5)	893,394	4.7	1,578,749	16.9	2,483,160	32.5	2,796,620	16.2	1,186,997	40.6	3,530,414		
ALTERNATIVE #1	MS Access and SQL Server Database													
Total Project Costs	0.2	118,552	5.1	2,365,143	0.4	159,761	0.3	106,772	0.3	106,771	0.3	106,771	6.6	2,963,770
Total Cont. Exist. Costs	326.7	26,480,966	334.0	27,074,944	341.0	27,645,194	347.6	28,177,810	354.3	28,721,379	354.3	28,721,379	2057.9	166,821,671
Total Alternative Costs	326.9	26,599,518	339.1	29,440,087	341.4	27,804,955	347.8	28,284,582	354.6	28,828,150	354.6	28,828,150	2064.4	169,785,441
COST SAVINGS/AVOIDANCES	(0.2)	881,448	(5.1)	(1,865,143)	(0.4)	190,239	(0.2)	295,728	(7.0)	(247,840)	(7.0)	(247,840)	(19.9)	(993,407)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(0.2)	881,448	(5.1)	(1,865,143)	(0.4)	190,239	(0.2)	295,728	(7.0)	(247,840)	(7.0)	(247,840)	(19.9)	(993,407)
Cum. Net (Cost) or Benefit	(0.2)	881,448	(5.3)	(983,694)	(5.7)	(793,455)	(5.9)	(497,727)	(7.0)	(247,840)	(14.0)	(495,680)		



SIMM 20C30C, Rev. 01/2012

PROJECT FUNDING PLAN

Department: California Department of Social Services

All Costs to be in whole (unrounded) dollars

Date Prepared: 01/05/2012

Project: CECRIS

	FY 2011/2012		FY 2012/2013		FY 2013/2014		FY 2014/2015		FY 2015/2016		FY 2016/2017		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
TOTAL PROJECT COSTS	0.7	106,607	2.3	408,623	2.3	609,818	5.5	1,785,885	4.9	912,347	0.9	132,088	16.6	3,955,368
RESOURCES TO BE REDIRECTED														
Staff	0.7	98,274	2.3	308,623	2.3	303,040	5.5	495,218	4.9	452,952	0.6	80,541	16.2	1,738,648
Funds:														
Existing System		0		0		0		0		0		0		0
Other Fund Sources		0		0		0		0		0		0		0
TOTAL REDIRECTED RESOURCES	0.7	98,274	2.3	308,623	2.3	303,040	5.5	495,218	4.9	452,952	0.6	80,541	16.2	1,738,648
ADDITIONAL PROJECT FUNDING NEEDED														
One-Time Project Costs	0.0	8,333	0.0	100,000	0.0	306,778	0.0	1,290,667	0.0	431,297	0.0	0	0.0	2,137,075
Continuing Project Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	28,098	0.3	51,547	0.3	79,645
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	0.0	8,333	0.0	100,000	0.0	306,778	0.0	1,290,667	0.0	459,395	0.3	51,547	0.3	2,216,720
TOTAL PROJECT FUNDING	0.7	106,607	2.3	408,623	2.3	609,818	5.5	1,785,885	4.9	912,347	0.9	132,088	16.6	3,955,368
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
FUNDING SOURCE*														
General Fund	52%	55169	52%	211462	52%	315581	52%	924195	52%	472140	52%	68356	38%	1506407
Federal Fund	43%	46161	43%	176934	43%	264051	43%	773288	43%	395046	43%	57194	32%	1260434
Special Fund	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
Reimbursement	5%	5277	5%	20227	5%	30186	5%	88401	5%	45161	5%	6538	4%	144091
TOTAL FUNDING	100%	106607	100%	408623	100%	609818	100%	1785885	100%	912347	100%	132088	74%	2910931

*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.



Questionnaire for Information Security and Privacy Components

Information Security Officer (ISO) Role and Responsibilities

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

The CDSS Information Security Program will ensure preservation of availability of California Department of Social Services (CDSS) information assets related to the Administration Division's County Expense Claim Reporting Information System (CECRIS) 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 CECRIS since project proposal.

3. Will the ISO be involved in developing and reviewing the security testing efforts? ISO has been and will continue to be involved in the development/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 (system)? The Fiscal Systems Bureau within the CDSS Administration Division will own the CECRIS system.
2. Who will be the custodians and users of the system? The Fiscal Systems Bureau will be the custodian of the CECRIS system and the users will consist of various organizations throughout the Administration Division and Fiscal staff from 63 County Welfare Departments.



3. Has the data for the system been classified by the owner? Explain. **Yes. The data contained in CECRIS is fiscal data of a non-sensitive nature which does not include social security numbers or any other protected information.**
4. Does the project require development of new application code or modification of existing code? Explain. **Yes. Development of new code will be required.**
5. Will your agency share the data for the system with other entities? If so, who? **Yes.**
 - a. Federal partners – Administration of Children and Families, Center for Medicaid Services, Division of Cost Allocation
 - b. Local city/county partners – 63 County Welfare Departments, Fiscal Staff
 - c. State agency partners – California Department of Health Care Services
 - d. Judicial branch
 - e. Universities
 - f. Researchers – California Department of Social Services Research Services Branch, non-profit researchers working with the California Department of Social Services
 - g. Others – California Welfare Directors Association
6. If data for the system is to be shared with other entities, will your agency implement data exchange agreements with the entities? Explain. **No. These agreements are not currently required for the sharing of this data.**
7. Are there checkpoints throughout the software development life cycle (SDLC) verifying and certifying that the security requirements are being met? **Yes. The Fiscal Systems Bureau has established checkpoints to verify that the security requirements will be met throughout the SDLC.**
8. At what points will risk assessments be performed throughout the SDLC? **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.

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. Federal expenses and fiscal data will be recorded within this database.](#) [No.](#)
11. Does your state agency's Five Year IT Capital Plan address information security and privacy as related to this system? [Yes.](#)



Appendix A – Changes from Department of Finance Approved FSR

- 1.0 PROJECT APPROVAL TRANSMITTAL**
Names changed to reflect current executive staff

- 2.0 INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE**
Project will now begin February 1, 2012

- 3.0 BUSINESS CASE**
No changes

- 3.1 BUSINESS PROGRAM BACKGROUND**
No changes

- 3.2 BUSINESS PROBLEM/OPPORTUNITY**
No changes

- 3.3 BUSINESS OBJECTIVES**
No changes

- 3.4 BUSINESS FUNCTIONAL REQUIREMENTS**
No changes

- 4.0 BASELINE ANALYSIS**
No Changes



4.1 CURRENT METHOD

No changes

4.2 TECHNICAL ENVIRONMENT

No changes

5.0 PROPOSED SOLUTION

In addition to the generic 3 tier custom build system described in the FSR, Commercial Off The Shelf (COTS) software will also be considered as a viable solution, in recognition of the increase in effective COTS software since the writing of the original FSR. This will allow for maximum flexibility.

Furthermore, this solution will not duplicate any functionality within FI\$CAL because this system is not a State Operations system and is used by Local Governments for Local Assistance. The FI\$CAL approved CDSS' exemption request on October 20, 2011.

5.1 SOLUTION DESCRIPTION

Per 5.0, COTS software will be considered in addition to the custom build solution described in the FSR to maximize flexibility.

5.1.21 COSTS AND BENEFITS

The Project Management, IV&V (Independent Validation and Verification) and IPOC (Independent Project Oversight) functions will now be performed by CDSS ISD versus contracted staff.

5.2 RATIONAL FOR SELECTION

No changes

5.3 OTHER ALTERNATIVES CONSIDERED

No changes

6.0 PROJECT MANAGEMENT PLAN

The project management plan has been updated to reflect a new anticipated start date of February 1, 2012.

6.1 PROJECT MANAGER QUALIFICATIONS

The PM will be a state staff and will be required to be CA-PMM Cal Qualified (CalQ), versus a vendor staff.



6.2 PROJECT MANAGEMENT METHODOLOGY

No changes

6.3 PROJECT ORGANIZATION

See Appendix D.

6.4 PROJECT PRIORITIES

No changes

6.5 PROJECT PLAN

The project management plan has been updated to reflect an anticipated start date of February 1, 2012. All functions and timelines previously attributed to the contracted PM, IV&V or IPOC will be done internally by CDSS ISD.

6.6 PROJECT MONITORING

CDSS ISD will now be responsible for IV&V and IPOC. There will be no independent oversight contractor.

6.7 PROJECT QUALITY

No changes

6.8 CHANGE MANAGEMENT

No changes

6.9 AUTHORIZATIONS REQUIRED

No changes

7.0 RISK MANAGEMENT PLAN

Please see Appendix C

7.1 RISK MANAGEMENT WORKSHEET

No changes

7.2 RISK TRACKING AND CONTROL

CDSS ISD will perform the monitoring functions previously attributed to the IV&V and IPOC contractors in this section. There will no longer be any contracted IV&V or IPOC of the project.



8.0 ECONOMIC ANALYSIS WORKSHEETS

Updated EAW pages are provided in this SPR. They reflect the delay in the start of the project, schedule extension and changes to contract services based on the elimination of the project management, IV&V and IPOC contracts.



Appendix B – Project Management Schedule

ID	Task Name	Duration (Work Days)	Planned Start	Planned Finish
1	Develop & Implement CECRIS	1412	7/1/2011	11/28/2016
2	Project Initiation	153	7/1/2011	1/31/2012
3	Prepare SPR and Documents	13	7/1/2011	7/19/2011
4	Department and Agency Approval	7	7/20/2011	7/28/2011
5	SPR Approval from CTA	70	10/26/2011	1/31/2012
6	Project Planning	615	2/1/2012	6/10/2014
7	Procurement Planning	615	2/1/2012	6/10/2014
8	<i>Procure Procurement Support Vendor</i>	93	2/1/2012	6/8/2012
9	Prepare SOW	15	2/1/2012	2/21/2012
10	Advertise to CMAS Vendors	10	2/22/2012	3/6/2012
11	Establish Evaluation Criteria	4	3/7/2012	3/12/2012
12	Select Evaluation Team	2	3/13/2012	3/14/2012
13	Bid Process	20	3/15/2012	4/11/2012
14	Evaluate Proposals	15	4/12/2012	5/2/2012
15	Select Vendor	1	5/3/2012	5/3/2012
16	Award Contract	26	5/4/2012	6/8/2012
17	<i>Procure System Developer</i>	517	6/18/2012	6/10/2014
18	Develop Requirements	112	6/18/2012	11/20/2012
19	Develop RFP	113	6/18/2012	11/21/2012
20	Develop Evaluation Plan	13	11/22/2012	12/10/2012
21	Bid Process	292	12/11/2012	1/22/2014
22	Select Vendor	40	1/23/2014	3/19/2014
23	Award/Execute Contract	59	3/20/2014	6/10/2014



ID	Task Name	Duration(Work Days)	Planned Start	Planned Finish
24	Project Plan	47	2/1/2012	4/5/2012
25	Develop Project Charter	20	2/1/2012	2/28/2012
26	Develop Project Schedule	15	3/1/2012	3/21/2012
27	Develop Project Management Plan/Work Plan	35	2/16/2012	4/4/2012
28	Conduct Project Kick-off Meeting	1	4/5/2012	4/5/2012
29	Business Process Re-engineering	272	5/1/2013	5/15/2014
30	System Design	150	6/10/2014	1/5/2015
31	Requirements Specification	63	9/3/2014	11/28/2014
32	Finalize HW & SW Specs & Config	21	11/24/2014	12/22/2014
33	Prepare and Approve Data Model & System Design	31	11/24/2014	1/5/2015
34	System Development	138	1/6/2015	7/16/2015
35	Development	108	1/6/2015	6/4/2015
36	Documentation (desk manual for end users and reference guide)	128	1/20/2015	7/16/2015
37	Testing	250	2/3/2015	1/18/2016
38	Test Planning	70	2/3/2015	5/11/2015
39	Unit, Integration, System, & Performance Testing	70	5/12/2015	8/17/2015
40	Data Conversion	30	9/15/2015	10/26/2015
41	User Acceptance Testing	80	9/29/2015	1/18/2016
42	Implement Change Management Plan	67	1/18/2016	4/19/2016
43	Rollout	103	11/27/2015	4/19/2016
44	Implement Training Plan	102	11/27/2015	4/18/2016
45	Go Live	1	4/19/2016	4/19/2016
46	Project Closeout	225	1/19/2016	11/28/2016
47	Implement Continuing Maintenance & Ops Plan	1	1/19/2016	1/19/2016



California Department of Social Services
County Expense Claim Reporting Information System SPR

48	Post Implementation Evaluation Report	66	8/29/2016	11/28/2016
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Appendix C – Risk Management Plan

RISK MANAGEMENT PLAN

The CDSS Office of Systems Oversight (OSO) will perform Independent Project Oversight (IPO) for the CECRIS Project. Oversight will be based on SIMM Section 45, IT Project Oversight Framework.

The OSO will confirm the establishment and proper implementation of a process to manage the project schedule, budget, and scope against baseline. The OSO will prepare quarterly Executive Project Status Report (EPSR) for the Steering Committee and the Independent Project Oversight Report for the California Technology Agency.

The project's Risk Management Plan documents the processes and procedures used to identify risks associated with the project and how they will be managed. The project follows the risk management processes identified by the CDSS' Project Management Office and the SIMM. The Project Manager will be responsible for risk management and mitigation.

The Risk Management Plan will be developed and maintained throughout the life of the project. Project risks will be identified at the start of the project and reviewed continuously throughout the project for additional risks or determination that a particular risk is no longer considered a probability. A risk mitigation plan will be created for each identified risk, with the mitigation plan detailing definable and measurable actions to drive the risk probability towards zero within sixty 60 days. If the risk probability does not drive towards zero within that time period, than the risk mitigation plan will be updated with new definable and measurable actions to drive the risk probability towards zero. The Project Manager provides monthly risk status updates to the Project Sponsor and stakeholders.

The risk management process consists of five basic activities, Risk Identification, Risk Assessment and Risk Tracking and Control, Changes and Corrective Actions and Risk Management Plan Updates, and is repeated in all project phases.

Risk Identification

The Risk Management Worksheet identifies the potential sources of risk associated with this project. The risks identified on the worksheet will be re-evaluated on a bi-weekly basis throughout the project, or more frequently if required. In addition, the Project Manager will include all identified risks in the detailed project plan using the standard project management planning tools adopted by CDSS. The detailed project plan will encompass the entire structure of the project and its deliverables, providing a comprehensive framework for assessing each aspect of the project for potential risk.

Risk Assessment

Risk analysis and mitigation involves evaluating risks to assess the range of possible impacts on the project. Risk mitigation focuses on identifying definable and measurable actions to drive the risk probability towards zero within sixty 60 days. If the risk probability is not driven to zero within that time period, then another risk mitigation plan will be created. The Project Manager will determine which risks warrant a response.



Risk Tracking and Control

The Project Manager will monitor risk throughout the project. A risk management database will be used to track risks and MS Project will be used to monitor project areas and critical path activities. Information that will be tracked includes:

- ✓ Top Ten Risk Events
- ✓ Number of Risk Items Resolved to Date
- ✓ Number of New Risks since Last Report
- ✓ Number of Risks requiring updated mitigation plans
- ✓ Project risks will be discussed at status meetings and formally summarized in status reports.

Changes and Corrective Actions

Changes to risk status and mitigation plans will be made as needed and documented. Changes typically occur due to a change in risk profile (e.g., change in likelihood, change to the impact, and change to the probability) or change in project status (e.g., change in project approach or profile changes impact or probability of a risk).

If a mitigation plan does not appear to be driving a risk probability towards zero within sixty (60) days, the mitigation plan will be changed to drive the risk probability towards zero.

Risk Management Plan Updates

The Risk Management Plan will be reviewed monthly to ensure the process is still effective. All risks will be reviewed monthly to ensure the risk profiles are correct and current and to verify the risk priorities.



Appendix D – CECRIS Project Organization Chart

