

Licensee Web Services Portal – Phase 1

www.myccl.ca.gov

Feasibility Study Report

Community Care Licensing Division



June 1, 2009

PROJECT NAME: - Licensee Web Services Portal – Phase 1

PROJECT PROPOSAL SUMMARY

Project Objective Statement (POS)

The first phase of the Licensee Web Services Portal is designed to meet the business objectives described in a March 24, 2009 memorandum of Understanding between CDSS and the California Health Care Foundation (CHCF). A licensee web services strategy was first described in the approved 2006 Community Care Licensing Information Technology Strategic Plan. The phase 1 project will provide the foundation for licensees to enter information and transact business electronically with the community care licensing division.

In the first phase of the project the Community Care Licensing Division (CCLD) plans to develop a web based licensee services portal *enabling community care licensees to:*

1. Register for web based informational services in a secure environment. The account management functions of the existing website www.myccl.ca.gov will be enhanced for this purpose. Permissions will be administered for users authorized to use the web site, distinguishing between registered users who may only receive informational email communications and those registered users who may enter and maintain facility specific information into the licensee website.
2. Enter and maintain care home specific *consumer evaluation* information. This will provide consumers with a limited set of standardized set of information for evaluating the types of care, services and amenities available to be provided by the care home.
3. Enter and maintain facility specific information *required by licensing regulations*. This will include: contact information, such as the facility mailing address, telephone number, the name of the administrator, the email address; and the types of clients in care. Any confidential information will only be available to licensing staff. However, public information will also be made available to consumers.

The primary goal of phase 1 of the project is to capture information from licensees enabling care home *consumers* to:

4. Make informed care home placement decisions for themselves or their loved one. Consumers will be able to access the licensee entered consumer information that is necessary for an effective evaluation and selection of a licensed residential care home for themselves or a loved one. This will be accomplished in this phase by a minor revision to the existing CCLD facility search capability by: providing a direct link to the consumer information entered by the licensee; and by providing an electronic copy of this information to the California Health Care Foundation (CHCF), for publication on their website. In a future phase of the project the licensing facility search capability will be redesigned to provide consumers and other with a more robust and comprehensive facility search.

Finally, the project will enable *community care licensing staff* to.

5. Access the licensee entered information on their laptops, using the Lotus Notes based Field Automation System (FAS). For the public consumer information this will be accomplished by providing an *easy to use link* from the FAS to the care home consumer information stored in www.myccl.ca.gov . For the licensing information required by regulations, this will be accomplished by developing an *electronic interface* between the licensee web portal and the appropriate licensing database (LIS). This will provide accessibility to licensing field staff to the entire set of licensee entered and maintained information.



The development of the licensee web services portal will proceed in phases, based upon the availability of funding. The initial pilot version of the Licensee Web Service Portal, providing a licensing information update capability, will only support licensees for Residential Care Facilities for the Elderly (RCFE). The licensee information entry capabilities of the licensee web portal may eventually be expanded to other licensing categories, based on the success of the RCFE effort and the availability of resources.

Project Sponsor

Gary Palmer, Branch Chief
Community Care Licensing Division, Policy and Technical Support Branch

Project Priority and Strategic Fit

This project has a high priority strategic fit since the business requirements and the vision for the Licensee Web Portal were contained in the 2006 Community Care Licensing Information Technology Strategic Plan, which has been approved by the CDSS Directorate.

Project Cost and Funding

The Licensee Web Services Portal will be developed by Information Systems Division (ISD), utilizing staff and contractors acquired under the auspices of the University of California San Francisco. The funding for the initial phase of the project will be provided by a grant from the California Health Care Foundation. The grant is being administered by the University of California San Francisco (UCSF). Minor redirections of existing CCLD staff may occur during the planning, development and testing processes. These costs will be absorbed by CDSS within the existing budget.

Related/Dependent Projects

There are project inter-relationships but not inter-dependencies between this project and the Licensing Reform Automation Project (LRAP). The development of the automated interface between the Licensee Web Portal and the Field Automation System (FAS) will be closely coordinated with development activities presently underway with the Licensing Reform Automation Project (LRAP).

1.0 PROGRAM BUSINESS CASE

1.1 Business Program Background

The Community Care Licensing Division of the California Department of Social Services is the responsible for children and adults in out-of-home Family Child Care registered child care for infants upon providers for



...protecting the health and safety of children and adults...

provided residential care in licensed Group Homes, Small Family Homes, Foster Family Homes and Certified Family Homes. The residential children's settings also often provide care for severely troubled teenagers; children suffering from psychological problems and medically fragile children.

California regulatory enforcement agency protecting the health and safety of residing or spending a portion of their time care. Children are provided day care in Homes, Child Care Centers, and care settings (TrustLine). This includes and toddlers who are completely reliant long periods of time. Children are

In Adult Residential Facilities (ARFs) and Residential Care Facilities for the Elderly (RCFEs) the clients in care may include those who are mentally or developmentally disabled, those who may be suffering from Alzheimer's disease or other dementias, those who are in a weak and fragile physical condition, and in a small number of facilities, clients who are HIV-positive and chronically ill.

The primary responsibility of licensing is to protect the health and safety of clients in care through enforcement of licensing regulations. CCLD has a staff of approximately 1,100 and provides regulatory oversight of all facilities it licenses to ensure they provide for the health and safety of the approximately 1.4 million vulnerable clients in care statewide by complying with the licensing standards specified in the Health and Safety Code and Title 22 regulations.

A CCLD legacy website (www.cclld.ca.gov) was developed in the late 1990s to provide general licensing information to consumers, licensee, applicants, and other interested stakeholders. The legacy website also includes a facility search capability. The facility search is at www.cclld.ca.gov/docs/cclld_search/cclld_search.aspx. However, the legacy facility search feature does not contain much of the information essential for an effective consumer evaluation of a licensed care homes. The legacy website also does not enable applicants or licensees to enter or maintain information or to transact routine business electronically, thus limiting the information that can be electronically shared with consumers, licensees and licensing field staff. The CCLD recognizes the importance of sharing information and values the efficiencies web technology offers to electronically obtain and maintain this information.

The CCLD previously successfully pilot tested licensee entry web technology with two small web applications, demonstrating the ability to provide mutually beneficial web services. The first CCLD licensee web component was developed for Foster Family Agencies (FFAs). The primary purpose of the FFA pilot website is to enable licensees to enter and maintain profile and identifying information for Certified Foster Family Homes associated with each licensed FFA. The second licensing licensee

web application enables online fee payment using credit cards. Both projects successfully demonstrated the willingness and ability of licensees to utilize web technology for information entry and maintenance.

The CCLD also recently established a new web portal at www.myccl.ca.gov, enabling licensees to register for email access to periodic licensing information releases, emergency broadcasts and a future set of licensee web services. This new web portal has been established and envisioned as the licensee web services portal of the future.

This project has been enabled by a grant obtained from the California Health Care Foundation (CHCF), a California non-profit corporation. The grant funds and project contracts are being administered by the University of California San Francisco (UCSF). This project has been designed to meet the obligations and commitments associated with the CHCF grant proposal, to build upon our FFA web pilot experience and to expand the recently developed Licensee Web Portal to establish a foundation enabling the CCLD to leverage web technology and provide a range of value added services to all community care licensees and the consumers of community care in California.

1.2 Business Problem/Opportunity Statement(s)

Problems

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1. Consumers (the public) do not have a standardized set of descriptive care home information essential for the proper evaluation and selection of a licensed care facility, for themselves or their loved one. Many licensees have their own private websites, however, the information content and presentation is highly inconsistent and not suited for accurate comparison and evaluation of the type of care, services and amenities provided. CCLD also maintains a facility search web site providing care home information; however, it contains little of the most essential consumer information.
 2. Care home licensees are unable to securely and electronically enter and maintain a standardized set of *consumer information* that would assist consumers.
 3. Licensees are also unable to securely and electronically maintain information *required by licensing regulations* (typically profile information) about their care home. Critical information required by licensing regulations is sometimes out of date or unavailable to licensing field staff and emergency responders. This includes the most current contact information, such as the name of the administrator, telephone numbers, and email addresses as well as information about the types of clients and the number of clients presently in the care home. The information used by licensing field staff is often outdated or inaccurate because it is maintained by a cumbersome telephone and paper based process in licensing regional offices.
 4. Licensing inspection reports are presently not suitable for publication on a public website. The language used to cite deficiencies is inconsistently written and may not be easily understood by consumers. Also, confidential

information such as client names must often be redacted in a manual paper process in regional offices before the inspection report can be shared with the public.

5. Licensees are unable to electronically transact business with CCLD. The majority of business interactions between CCLD and licensees are paper or telephone update processes. There is a limited web services pilot capability in operation supporting Foster Family Agency Licensees and credit card payments. However, similar web based CCLD/licensee business interactions are not available to all the other licensing categories.
6. CCLD is unable to easily issue email broadcasts to select groups of licensees utilizing the information stored in the www.myccl.ca.gov. The current process is cumbersome and time consuming.

Opportunities

Creating a fully functional Licensee Web Services Portal will establish the business foundation of the future and enable CCLD to meet the program objectives and business requirements defined in this document. This first phase of the project will enable licensee to register for information services in a secure environment, to enter and maintain information required by licensing regulations and consumers and will provide the foundation for a future set of basic CCLD/ licensee business transactions, using the web.

This project is a foundational effort and will provide a first generation licensee web services portal for all RCFE community care licensees. The portal will evolve and eventually expand to other licensing categories as resources become available in the future.

1.3 Business Objectives

To resolve the problems defined in section 1.2 in a manner meeting the informational needs of the CCLD, licensees, consumers, the CHCF and others. The individual business objectives of the project are described along with the associated business requirements in the same following section.

1.4 Business Functional Requirements

Objective 1.4.1: Provide a licensee web portal enabling licensees to enter and maintain a limited set of about their facility as required by licensing regulations and by consumers. This information will be of assistance to the licensee, care home consumers, and licensing field staff.

Requirement 1.4.1.1: *Ability of licensees and interested third parties to register for use of the licensee web portal.* This requirement addresses the basic account management and information security functions of the website. During the registration process the licensee will be able to enter user ids (email address) and passwords for one or more licensee designated representative(s). Options will be provide to enable the licensee to request a range of information and services options.

The licensee web portal registration process will be in an environment conforming to CDSS information security requirements. Note: A basic registration capability was first implemented in December 2008. However, it must be enhanced before information entry and maintenance by licensees can be securely accommodated (see 1.4.1.2).

Requirement 1.4.1.2: *Ability to administer and maintain permissions to update public consumer information and confidential licensee information about a facility, using the MyCCL web portal. This includes special permissions by the licensee to enter and maintain public and confidential information in the licensee web portal account on behalf of the facility. One or more persons may be designated with update authority for entry and maintenance of this information. For example this may be the licensee, the spouse of the licensee, a board member, administrator or a trusted facility staff person. All other registered persons associated with the licensee would have read only authority to the website. The known web portal account categories and administrative permissions include:*

- Public MyCCL Account Users – any stakeholder or member of the public may register to receive any and all licensing information email communications. The person should be able to request email communication in the following three basic licensing program categories:
 - Child day care only
 - Children’s residential programs
 - Adult and senior care programs
 - All of the above
- State Licensee My CCL Account *Basic User*– licensee user registered to receive any and all licensee email communications. However, no special permissions are granted.
- State Licensee MyCCL Account *Administrative User*.
 - Entry and maintenance of confidential licensing information. This is a licensee website user, registered and approved by the licensee, provided the permission necessary to enter confidential licensing information. See 1.4.1.4.
 - Entry and maintenance of consumer information. This is the licensee website user, registered and approved by the licensee, provided the permission to enter public marketing information. See 1.4.1.3. It is anticipated that smaller care homes without web access may designate associations or other third parties with web access to perform this function.
- County Licensed Facility Associated Individual. Any county licensee may register and receive any and all licensing email communications similar to Licensee MyCCL Account Basic Users..

Requirement 1.4.1.3: *Ability of licensees (or their designees) to enter and continuously maintain information most essential for consumers researching and evaluating a licensed care home. For consumers this will include information necessary to evaluate the types of clients they serve care, and the services and amenities provided by the care home.*

A limited set of standardized consumer information will be collected from licensees in the licensee web portal, during the first phase of the project. The information will be organized into consumer friendly categories and sub-categories such as: contact information; descriptions of care home facilities and staffing; rates and fees; vacancies and admission requirements; and descriptions of basic services and amenities. The final organization and content of the consumer information will be determined in the planning stage of the project, with the assistance of a workgroup representing all stakeholders including licensees, advocacy groups and unaffiliated consumers. It is our expectation that consumer information will evolve and expand in future phases of the project.

The source of much of the essential consumer information is typically found in a care home program statement, which is a required licensing document. The program statement typically includes a description of a facility; the types of clients served (e.g. DD, dementia, hospice), staffing characteristics; monthly rates and types of payments accepted (private pay only or SSI), whether extra security such as locked perimeters or delayed egress devices is provided; whether smoking or pets are allowed; whether wheelchairs and scooters are accessible; whether they are an ALWPP participant; the total number of clients in care ; the total beds currently available; public contact information including a public contact name, public facility telephone number, public email address(s), a link (URL) to the licensee's own public website containing facility photos and other consumer information to be determined by surveys of licensees and consumer advocacy groups.

Requirement 1.4.1.4: *Ability of licensees (or their designees) to enter and continuously maintain information required by licensing regulations for use by community care licensing staff and others.* This requirement includes maintenance of facility profile information such as: the mailing address of the licensee, the name of the Administrator, the phone number of the facility, the types and number of clients in care and other information determined during consultation with program staff and licensees.

Public information, such as the public contact name and telephone number, a public email address and the URL of the licensee's private website will also be captured and made available to consumers and interested third parties. The final list of informational items in this category will be submitted for the approval of the CCLD Technical Support and Policy Branch Chief.

Objective 1.4.2: Provide consumers (the public) with access to the public licensee entered consumer information that is necessary for the proper evaluation and selection of a licensed care facility for their loved one.

Requirement 1.4.2.1: *Ability to publish the new licensee consumer information on the CCLD website, as a simple internet link from the existing licensing facility search function, www.cclld.ca.gov/docs/cclld_search/cclld_search.aspx .* In a future phase of development the CCLD plans to redesign the facility search criteria to make comprehensive use of the consumer data. However, a complete redesign of the

licensing facility search capability is not provided as part of the CHCF grant. However, as an interim measure, this minor modification to the search function will provide an easy to use link to consumer information that may have been entered by the licensee.

Requirement 1.4.2.2: *Ability to provide the CHCF and other interested third parties with electronic copies of an enhanced version of the facility file, containing the new consumer information, for publication in their own websites.* The enhanced version of the facility file will contain the public information available on the existing licensee facility file plus the new licensee consumer information entered on the licensee web portal. The enhanced version of the licensing facility file will be provided in XML and other standard formats.

Objective 1.4.3: Provide CCLD field staff with access to all the information entered by the licensee into the licensee web portal.

Requirement 1.4.3.1: *Ability to provide an electronic interface enabling access by field staff on their laptops, within the native FAS, to the information that is required by regulations.*

Requirement 1.4.3.2: *Ability to enable access to the licensee entered public consumer information by licensing staff, utilizing a web link to the Myccl website from the Field Automation System (FAS) system.*

Objective 1.4.4: Make preparations for the future publication of licensing inspection reports as part of consumer information on a public website. The objective is to be prepared to publish all or a portion of the licensing inspection reports electronically, on a date forward basis following the implementation of this capability.

Requirement 1.4.4.1: Ability to simplify and provide common language for licensing deficiencies for the most frequently occurring licensing regulatory violations. Drafting of the new citation language is underway as part of this project. The ability to incorporate the new citation language has already been addressed and is referred to as Common Language Drop Down, in the Field Automation System (FAS) by the Licensing Reform Automation Project (LRAP).

Requirement 1.4.4.2: Ability to ensure that confidential information in licensing inspection report is automatically unavailable in public versions of the licensing inspection report. This requirement is also being addressed by the Licensing Reform Automation Project.

Objective 1.4.5: Provide a means to measure success and accountability for the first phase of the licensee web services portal. Assume a final performance success measure will be jointly established by CCLD and the partnership team at the conclusion of project planning. As a draft performance measure, it is the expectation of licensing that 50% of eligible RCFE licensees will register for the new services and will enter information required by licensing regulations and the new consumer information, within 18 months following the release of this phase. Another 15% of

eligible licensees would register for the portal during each subsequent 12 month interval.

Requirement 1.4.5.1 *Ability to produce a monthly online management information report summarizing the activity performed within the Licensee Web Portal.* This would provide tallies of new licensees registering and already participating in the portal by facility type, and summaries of the major categories of information entered and updated by licensees in the portal. This report will be a means of quantifying services provided and will be a part of our accountability strategy.

Objective 1.4.6: Provide an automated email broadcast capability enabling CCLD to selectively send email messages to customized groups of licensees.

Licensees that register for the licensing web portal will automatically receive the email broadcast service. Email broadcasts will be used to provide routine informational releases, regional and statewide emergency alerts and notification of important changes in licensing regulations. (Note: This is an informational objective only. However it will be accomplished outside of the scope of the first phase of this project, since funding for this activity was not provided as part of the CHCF grant.

Requirement 1.4.6.1: *Ability to electronically extract, and assemble an ad-hoc group licensee email list, selecting the email addresses entered into the licensee web portal, by a combination of search criteria.* This will require an on demand selection and assembly of licensee group email lists using a combination of facility types and geographic locations. The following is an initial list of the potential licensee search scenarios that have been envisioned for constructing an on demand group email list.

- a. All licensed facilities.
- b. One or more facility types of facility, by facility type codes
- c. Selected facility types from one or more zip codes.
- d. Selected facility types from one or more area codes.
- e. Selected facility types by one or more cities.
- f. Selected facility types by one or more counties.

Requirement 1.4.6.2: *Ability to broadcast emails to registered licensees utilizing the customized on demand licensee group email list.* This requirement may be met by the purchase of one of the commercial off the shelf COTS products known to readily provide this type of capability.

Objective 1.4.7: Incorporate into the licensee web portal a basic set of licensing business transactions and electronic forms that can be electronically completed by the licensee. This final objective is described for informational purposes only. This objective and the associated business requirements will be more fully deferred to a future phase of licensee web portal development. (Note: This is an informational objective only intended for implementation in future phase of the project.)

Requirement 1.4.7.1: *Ability of licensees (or their designees) to enter and continuously maintain facility specific confidential emergency response information. This information is for use by community care licensing staff and emergency responders only during an emergency or statewide or regional disaster.* The licensee

will be able to enter and maintain confidential information critical in an emergency including a copy of their Emergency Disaster Plan (LIC 610), the *emergency only contacts*, names, phone numbers and email addresses of the licensee, administrator and key staff to be notified or contacted in the event of a serious regional or statewide emergency or disaster.

Other information in this category includes the current total census of the facility, the number of non ambulatory clients presently in care, the number and types of clients with restricted or specialized medical care requirements and other information determined to be useful to licensing staff and emergency responders during a statewide or regional emergency or disaster response. Note: This requirement is essential. However it will be accomplished in a future development phase of this project, since funding for this activity was not provided as part of the CHCF grant.

Requirement 1.4.7.2: *Ability for licensees to associate and disassociate staff persons or other designated adults requiring a background check clearance to a licensed facility.*

Requirement 1.4.7.3: *Ability for licensees to request criminal record transfers for staff persons or other designated adults requiring a background check clearance.*

Requirement 1.4.7.4: *Ability for licensees to enter legally required incident reports*

Requirement 1.4.7.5: *Ability to make credit card payments for licensing fees and civil penalties through the licensee web portal.*

Requirement 1.4.7.6: *Ability to enter standard licensing forms including, but not limited to, the LIC 500 Personnel Report, the LIC 308 Designation of Administrative Authority, and others to be determined.*

1.5 Business Assumptions and Constraints

Assumptions:

- Grant funds for the project will be provided by the CHCF.
- The grant funds will be administered by the UCSF.
- Legal authority is provided for the Licensee Web Services Portal development by the March 24 memorandum of understanding between the CDSS and the CHCF.
- An internal CDSS FSR is required for CDSS administrative approval of a project with a scope this small in effort.
- Community Care Licensing Division staff will be available to participate in all aspects of the project, including workgroups, document review and testing of the new website.
- Business requirements that cannot be met within the grant funds provided will be deferred to a subsequent phase of web portal development.
- A program manager provided by UCSF will perform the role of a part-time project manager and will be provided through the grant agreement, for task and schedule management and periodic project status meetings

- A program manager will be provided through the grant agreement as the CCLD program coordinator.
- CCLD will assemble a multi-disciplinary workgroup to meet periodically to further define business requirements and oversee web development activities
- Contracted consultants provided by the UCSF will be used as software developers for the Licensee Web Portal

Constraints

- The resources for the project are limited by the funding provided by the CHCF grant.

2.0 BASELINE ANALYSIS

2.1 Current business process

The majority of business interactions between CCLD and licensees are paper based or telephone based informational update processes. Within CCLD there is no process for capturing and storing consumer information for licensed facilities. The legacy Licensing Information System (LIS), the Field Automation System (FAS) and the regional offices paper file system collectively have inadequate capabilities and business processes for storing licensing required and consumer information.

2.2 Current business environment

Community Care Licensing Division maintains the legal authority and state/federal requirements for all residential care facilities for the elderly. The business is conducted by 7 subdivisions (programs), Specific to this project is the Adult and Senior Care program and the Continuing Care Contracts Branch. These programs monitor the financial and health/safety of Senior Care Residential environments.

2.3 Current IT infrastructure and operational support

The Community Care Licensing Division utilizes 5 primary data systems in the daily business of monitoring RCFEs. The Licensing Information System (LIS) is an ADABAS mainframe based environment that maintains the licensing facility descriptions, contact information and fee payment history. The second system is the Caregiver Background Check System (CBC) which maintains the criminal activity clearance information for all facility associated staff. This is also an ADABAS mainframe system. The Administrative Certification System (ACS) maintains the records of all administrators certified to work in a particular care setting. This system is currently being moved from Paradox into a web platform. The Continuing Care Contracts System (CCCs) contains the financial audit records for a particular category of RCFE that provides services to seniors until death. This system is also on Paradox with near plans to transition the data onto a web platform. Finally the Field Automation System (FAS) is the primary tool used by Licensing Program Analysts. The system maintains an electronic copy of all visitation related forms utilized by LPAs as they document the health and safety status of facilities during routine visits to facilities. The FAS is a Lotus Notes database. The FAS is stored on the primary tool of

business for the CCLD, the notebook laptop. LPA use the laptop to fill out the forms during a field visit and replicate this information when they return to their base licensing office.

3.0. PROPOSED SOLUTION

3.1 Proposal Description

The basic approach for this project is to plan and develop a limited scope upgrade to the new web portal for licensees, www.mycccl.ca.gov. The proposed upgrades to the licensee web services portal will address the informational problems and limitations described in the background section of this FSR. The scope of this part of the project also includes making the new licensee-entered information available to licensing staff. This will be accomplished by the development of an electronic interface and imbedded web links between the web services portal and the FAS Laptop system.

The major activities for this project are completion of the tasks in a traditional small scale IT system development life cycle. This will include the planning and development of the proposed new licensee web services and the electronic interface to the FAS provide the information to licensing staff.

For the planning and oversight of the project, the CCLD will assemble a multi-disciplinary workgroup, referred to as the Licensee Web Services Workgroup. This workgroup will have responsibility for surveying licensees and stakeholders, defining the business requirements for the licensee website and providing program guidance and oversight during the development, testing and implementation of the new web services. The CCLD Web Services workgroup will include a program manager with information technology expertise serving as the CCLD project manager and program coordinator. Several licensees will be chosen with the assistance of CHCF and one or more of the licensee associations. CCLD staff members and individuals representing consumers will also be invited to participate in the workgroup, in consultation with client advocacy groups.

The CCLD web services workgroup will schedule a series of planning and joint requirements definition planning sessions. The UCSF Project Director will coordinate, lead and facilitate the workgroup. The workgroup will initially meet to review the limited scope of the project, the known informational problems and the business objectives described in this proposal. The workgroup will develop one or more survey instruments for licensees and consumers to solicit feedback from interested stakeholders. After the surveys have been returned, the planning workgroup will jointly analyze and summarize the results of the surveys. The workgroup will use this information to help refine the business requirements for the new licensee web services.

Once the business requirements for new licensee web services have been finalized and approved by the CCLD executive staff and interested stakeholders, this part of the proposed project will move forward using standard Information Technology (IT) project development sequence steps including the design, development, testing and implementation of the software, staff training and procedures required for the new

web services and the electronic interface to the FAS laptop system. The Web Services workgroup will meet periodically during the development life cycle to ensure the project meets the business requirements, remains within scope and is properly tested and implemented. Once the licensee web services are ready for implementation, the workgroup will develop training and marketing aids to assist with the deployment of the new services.

The pilot project for the licensee web portal will be limited to licensed Residential Care Facilities for the Elderly (RCFE). This is consistent with the obligation of the CHCF grant. The portal will be expanded to other licensing categories based on the success of the pilot project and the availability of resources.

Additional future licensee web service project phases are envisioned to develop all essential licensee web services identified during the planning phase. Also, the project to publish the inspection reports and citation history on the web for consumers is defined in the licensing information technology strategic plan as part of the Licensing Reform Automation Project.

The proposed solution will resolve the problem(s)/opportunities(s) in the following manner:

- The solution will utilize standard CDSS web development technology and will interface with existing CCLD systems and databases –
- No new equipment for field office staff (servers, workstations, printers, etc.) is required.
- A memorandum of understanding (MOU) between the CDSS and the CHCF has define the administrative terms of the project
- Security requirements will be reviewed with the ISO
- Any required policy changes, laws, procedures will be addressed by CCLD as part of the project

3.2 Rationale for Selection

The solution was selected because it is:

- Achievable within the available resources: staff, funding, IT infrastructure.
- Meets the limited business objectives and requirements of the project
- Reduces errors and resources requirements associated with the current manual information entry and maintenance processes
- Provides a much requested consumer service to the general public.

3.3 Other Alternatives Considered

Alternative I – Continue with the current inadequate manual licensee information maintenance processes.

4.0 PROJECT MANAGEMENT PLAN

The CDSS recognizes the importance of using industry best practices for project management.

4.1 Project manager(s) and qualifications

CDSS has implemented a standard approach to managing IT projects. This approach is built on the Project Management Body Of Knowledge project management methodology, SIMM Sections 45, IT Project Oversight Framework and Section 200, Project Management Methodology. To ensure project success, CDSS requires:

- The use of qualified project management staff, including CDSS project management and technical oversight resources.
- Use of a consistent project planning, tracking and monitoring process.
- Use of a formal project plan, including a schedule that is maintained throughout the project.
- Use of a risk management process throughout the life of the project

4.2 Project Management Expertise

The project will use qualified project management staff. This will be accomplished by:

- Utilizing the department's Project Management Office for consultation on project management issues.
- A part time Project Manager will be provided by the UCSF as part of the grant contract agreement.

4.3 Project Management Methodology

This project will employ CDSS' IT Project Management methodology to ensure compliance with CDSS and control agency requirements. The CDSS methodology is based on the Project Management Body of Knowledge (PMBOK) and Institute of Electrical and Electronics Engineers (IEEE) project management policies and practices. These project management methodologies conform to the Project Management Methodology requirements for implementing IT projects as described in SIMM Section 200.

Project management activities for this project will include:

- Developing a project feasibility study report to describe the goals, objectives, scope boundaries, and the project roles and responsibilities.
- Developing and maintaining a project schedule and detailed task work plan which identifies all tasks, start and end dates, and critical dependencies.
- Communicating project status and updates to the project sponsor and various stakeholders in a monthly status meeting.
- Identifying and managing potential risks, issues, and changes in the monthly project status meeting.
- Conducting ongoing performance reviews, corrective actions, and project plan updates.

- Monitoring planned versus actual performance against the schedule and budget.
- Reviewing, collecting comments, and approving vendor project deliverables.
- Participating in testing and acceptance activities.
- Facilitating project close-out activities

4.4 Project Trade Off Matrix

TRADEOFF MATRIX			
	Most Flexible	Somewhat Flexible	Not Flexible
Scope		X	
Schedule	X		
Resources			X



4.5 Project Schedule, Major Milestones and Deliverables

Task Description	Start Date	End Date	Deliverable
Obtain internal CDSS administrative authority for the Licensee Web Services Portal - Phase 1 project	06/01/09	06/30/09	Internal Departmental Feasibility Study Report (FSR) approved by the CDSS Directorate
Establish administrative authority for project	Grant Award Date	+ 30 days	MOU between CDSS and CHCF was approved on March 24; grant formally awarded to UCSF on March 16
Prepare preliminary planning document for workgroup	05/15/09	6/05/09	RCFE consumer information preliminary planning document; call letter for workgroup participation
Distribute RCFE consumer information planning document to workgroup	06/05/09	06/05/09	Comments and suggestions received from licensee and consumer groups on the RCFE consumer information

Assemble Web Services Planning Workgroup	05/15/09	06/01/09	Multi- disciplinary Web Services workgroup is established: <ul style="list-style-type: none"> • Licensees • Consumer Advocates • UCSF • Licensing Staff
Web Services Workgroup meeting one - convene 1 day workgroup orientation session to initiate process to develop content of RCFE consumer information	06/10/09	06/10/09	Meeting summary, follow-up action plan, notes for updates to consumer information planning document
Develop content of RCFE consumer information planning document based on workgroup process	06/10/09	08/15/09	Final draft of RCFE Consumer Information Organization and content
Procure contract services for web and FAS interface IT developer	06/01/09	07/15/09	Contract awarded for all IT development tasks
Web developer onsite to begin project	07/15/09	08/01/09	Web developer
Develop enhancements to myccl Account management function	07/15/09	09/15/09	Upgrade to myccl account management is completed
Web Services Workgroup meeting two - convene session to meet web developer and make final adjustments to RCFE consumer information organization and content	09/09/09	09/09/09	Meeting summary, follow-up action plan, notes for updates to planning document
Design and develop screen prototype of the RCFE licensee information entry function: <ul style="list-style-type: none"> • Consumer info • Info required by regulations 	09/01/09	10/15/09	System Design Specification document and screen prototypes

Develop RCFE licensee information entry function	10/01/09	11/15/09	Alpha licensee Web services portal available for testing
Test licensee information entry function- CCLD staff	11/15/09	12/01/09	Beta licensee Web services ready for pilot testing by RCFEs
Create licensee information entry training aids- CCLD staff	12/01/09	12/31/09	Website PowerPoint training materials
Assemble and train pilot group of RCFE licensees to prepare for web information entry pilot	01/02/10	01/15/10	Pilot group of website users
Conduct pilot test of licensee information entry function	02/15/10	03/15/10	Pilot Demonstration of licensee web services entry function
Evaluate pilot/adjust web services licensee information entry function based on lessons learned	03/15/10	4/15/10	Production version of licensee Web services ready to deploy
Phased roll-out to all RCFE licensees interested in participating in web information entry	04/15/10	06/30/10	Licensee Web services information entry available to all registered RCFEs

Website Support Development

Design licensing analyst interface to licensee information entry function	11/15/09	12/15/09	System Design Specification document and prototype
Develop interface to LIS and internet links to enable display of information entered and maintained by licensees	12/15/09	01/15/10	Alpha interface version and screen displays are available for testing
Test LIS interface and links	01/15/10	02/15/10	Beta interface ready for pilot testing by field staff
Develop training aids for CCLD staff	01/15/10	02/15/10	PowerPoint training materials
Assemble team and conduct pilot test of CCLD field staff information users	02/15/10	03/15/10	Pilot test of interface and information links

Evaluate pilot/adjust web services interface based on lessons learned	03/15/10	04/15/10	Production version of interface is ready to deploy to all field staff
Develop management report for operational metrics	02/15/10	04/15/10	Basic management report is operational
Develop link in CCLD facility search to display new licensee entered consumer information	04/15/10	04/30/10	Facility search link to consumer info
Develop upgraded facility file for CHCF and others to contain new consumer info	05/01/10	06/30/10	New upgraded facility file with consumer info for CHCF and others

Develop Consumer-Friendly Citation Language for RCFE Inspection Reports

Summarize history of citations previously issued for RCFE regulatory violations	04/17/09	05/01/09	Electronic summary of RCFE citations issued since implementation of revised RCFE regulations Completed
Perform analysis of the recent history of RCFE citations issued	05/01/09	06/01/09	Analysis report of RCFE regulatory citations ; ranked priority list of regulatory violations selected for language development <ul style="list-style-type: none"> ✓ Most frequently occurring ✓ Highest risk ✓ High consumer interest
Develop methodology and format for the citation language for regulatory violations	06/01/09	06/30/09	Document describing methodology and citation language format
Develop citation language for the priority group of RCFE regulatory violations	07/01/09	09/30/09	Draft report of citation language for the priority group of regulations

Coordinate review of citation language by CCLD staff, CDSS Legal Division and workgroup members	10/01/09	10/31/09	Comments received on draft language from all reviewers; material distributed by email
Refine and update citation language based on comments by stakeholders and CDSS Legal Division	11/01/09	02/28/10	Final report of citation language for the priority group of RCFE regulations

Incorporate New Consumer-Friendly Citation Language into the RCFE Inspection Reports *

Design method to incorporate the new RCFE citation language into the laptop Field Automation System(FAS)	10/15/09	03/29/10	Information Technology design document describing the method
Develop and test changes to FAS	03/29/10	10/01/10	New language and inspection reports method available for pilot testing
Deploy the new violation language to the laptop of all RCFE licensing analysts	10/01/10	12/31/10	Language available to all RCFE licensing analysts

* Note: This business function development is an approved component of the Licensing Reform Automation Project (LRAP)

4.6 Project Status Tracking and Reporting

CCLD will designate a project coordinator and CCLD manager responsible for implementing this system. They will be working with ISD on implementing, testing, and tracking this project to meet the needs of state licensing.

UCSF and CCLD will designate a part time project manager for this effort.

The project steering committee will meet monthly to monitor progress and discuss the project's status, needs and open issues.

4.7 Project Roles and Responsibilities

Project Sponsor – Gary Palmer, Policy and Technical Support Branch Chief

Key Customers – Community Care Licensing

Project Team – CCLD – Dennis Walker, Martha Mills and Victoria Cowan

UCSF – Dr. Newcomer, Dr. Flores and Terry Donnelly

IT Developer – – contractor under the direction of the Information Systems Division (or other ISD technical resource)

- Perform systems analysis (requirements definition, etc)
- Design system
- Coding
- Testing
- Implementation / rollout
- Support and maintenance

Project Manager

Project Manager – Dennis Walker will be the part time project manager and will consult with UCSF, CCLD and ISD to ensure the roles and responsibilities are scaled appropriately for a project of this modest scope and complexity.

Project Sponsor

The Project Sponsor is responsible for approving the project. The Project Sponsor:

- sets the project priority,
- coordinates funding and resources with UCSF, the grant administrator,
- approves resource levels.

In addition, the Project Sponsor will:

- finalize (and approve any changes to) the project objectives, scope, and success criteria,
- ensure that the project team has the time and resources they need to achieve success,
- communicate the project purpose and value to the business management,
- commit specific resources from the business community,
- pave the way for change in the affected organizational units,
- participate in major project reviews and approve key deliverables,
- make key project decisions,
- ensure timely resolution of issues affecting project success

Project Steering Committee

Sheryl Jakaboski of Information Systems Division.
Gary Palmer of Community Care Licensing Division.
Dr Robert Newcomer of University of California San Francisco

Project Team

The project team will have the roles and responsibilities described in the DOF Project Management Methodology for Development Team, Configuration Management and Quality Assurance. CDSS will have one project team member identified to handle project administration.

As the project plan is built, a roles and responsibilities matrix will be developed and responsibilities for each activity will be completed. Provided in the current matrix is a detail of the project management activities and the top-level only on other activities. The following roles and responsibilities matrix provides a cross reference of major project groups to activities according to specified actions – perform, approve, final approval, review, contribute and executive oversight.

Independent Verification and Validation (IV&V)

The Licensee Web Portal project has not been classified as a critical project requiring IV&V support.

5.0 RISK MANAGEMENT PLAN

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 of the State Information Management Manual (SIMM). The Project Manager will be responsible for risk management and mitigation.

The Risk Management Plan identified in this FSR will be reviewed and updated monthly 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 any major new 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 three basic activities, Risk Identification, Risk Assessment and Risk Monitoring, consistent with DOF requirements and repeated in all project phases. Risk management for this project will be scaled appropriately for the resources required for the project.

5.1 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 Management Worksheet

Risk Category/Event	Probability	Consequences	Mitigation Plan
Plan and Schedule			
Scope changes may delay project completion and increase planned project budget	0.4	Project is delayed or budget projections increased due to changing requirements and additional requirements that were not in original scope.	Establish a Configuration Management process to review and determine if a change is considered mandatory. If a change is considered mandatory, project schedule tasks will be reviewed and modified to hold project schedule and cost within baseline.
Coordination of users for test and deployment may delay the schedule.	0.6	Resources may be stretched too thin to be effective. Schedule delays occur and negatively impact users and project stakeholders.	Create Test, Implementation Strategies and Communication Plans to ensure users are informed and involved.
Departmental or Division policy or budget priorities change	0.4	Project is delayed or deferred	Established joint CCLD/ISD steering committee to oversee project
Architecture and Infrastructure			
Development is delayed.	0.2	System is unusable or performance is degraded.	Insure adequate resources are available through the SDLC.
Other			
Existing staff do not have the requisite skill levels to complete specialized tasks.	0.4	System is unusable or performance is degraded	Identify skill sets needed and secure additional resources to assist with specific tasks.

6.0 COST ANALYSIS

6.1 Cost Summary

See attachment for a detail estimated cost of the project. These are the estimated costs for the project.

	FY 09/10 Costs	FY 11/12 Costs	FY 12/13 Costs
One-time Costs	\$156,350		
Continuing Costs	\$0	\$	\$
Impacted Program Costs	\$0	\$0	\$0
Program Income	\$0	\$0	\$0
Net Program Costs	\$0	\$0	\$0
Cost Savings	\$0		
Cost Avoidance	\$0		

6.2 Source of Funding

Resources will be provided in a grant from the California Health Care Foundation. The grant is being administered by the UCSF.

6.3 Cost Details

None of the costs will be incurred by CDSS. All cost detailed below will be paid for directly by the UCSF, with the work perform by UCSF staff and a contract developers.

<u>IT Development</u> (1840 hours * \$85 per hour)	\$156,350
<u>Project Management and program area coordination</u> Senior CCLD program managers provided by UCSF	\$ n/c
Total estimated cost	\$156,350