CALIFORNIA DEPARTMENT OF CHILD SUPPORT SERVICES
P.O. Box 138006, Sacramento, CA 95813-8006

Reason for this Transmittal

[ ] State Law or Regulation Change
[ ] Federal Law or Regulation Change
[ ] Court Order or Settlement Change
[ ] Clarification requested by One or More Counties
[X] Initiated by DCSS

September 14, 2000

CSSIN LETTER NO. 00-03

TO: ALL IV-D DIRECTORS
ALL DISTRICT ATTORNEYS
ALL COUNTY ADMINISTRATIVE OFFICERS
ALL BOARDS OF SUPERVISORS

SUBJECT: CCSAS Charter and DCSS Progress Report

The purpose of this letter is to transmit two documents reporting our progress in the formation of the new Department of Child Support Services (DCSS) as well as status on the statewide automated system. These documents are:

1. CCSAS Project Charter; and
2. California Department of Child Support Services…A New Beginning.

The California Child Support Automated System (CCSAS) Project Charter, developed collaboratively with the California Health and Human Services Agency (CHHSA), DCSS, Franchise Tax Board and various stakeholders, defines program needs and how the project will be conducted. All parties formally approved the charter on July 21, 2000. It includes the governance model, describes the overall management of the project, and the 13 high-level business goals that will help frame the project scope. The CCSAS Project Charter is available via the Internet at www.ftb.ca.gov/other/index.htm. The Charter is used as the basis for project planning.

The second document was originally developed for a legislative briefing to report on where the department is today in establishing the new statewide child support program. Due to the high interest across the child support community about our progress, we decided to do a broader distribution of the document. The content provides a high level status on all the program initiatives and automation projects currently underway. In addition to all California IV-D Directors, County Boards of Supervisors and Administrative Officers, we are distributing the “new beginning” document to legislative members, the federal Office of Child Support Enforcement (Central and Regional Offices) as well as various advocate and stakeholder organizations.

We sincerely hope you and your staff find these documents helpful in understanding what is being accomplished in the restructuring of the California child support program and implementing a statewide automated system to support it.

If you have any questions or concerns, please don't hesitate to contact any member of the DCSS executive team.

Sincerely,

CURTIS L. CHILD
Director

State of California

California Child Support Automation System

Project Charter

July 21, 2000

The mission of the California Child Support Automation System Project is to create for the State of California a uniform, single statewide system for child support that delivers effective and efficient services to all users and customers of the system.

State of California

California Child Support Automation System

Project Charter

Prepared in Partnership with—
Department of Child Support Services, Project Owner
Franchise Tax Board, Project Agent
Health and Human Services Agency

July 21, 2000

Additional copies of this charter are available from the Franchise Tax Board, California Child Support Automation System Project (Mail Stop M-1), P. O. Box 1907, Rancho Cordova, CA 95741-1907.
Telephone Number: (916) 845-6459, or
through the Internet at http:/www.ftb.ca.gov

***We** the undersigned approve the California Child Support Automation System (CCSAS) Project Charter, mandated by Assembly Bill 150 (Ch. 479, Stats. 1999). We believe that the Charter effectively establishes the State's course for the successful development, procurement and implementation of CCSAS.*

Grantland Johnson, Secretary, California Health and Human Services Agency	
Signature	Grantland Johnson
Date 7/18/00	
Curtis Child, Director, California Department of Child Support Services	
Signature	
Date 7/17/00	
Gerald H. Goldberg, Executive Officer, California Franchise Tax Board	
Signature	
Date 7/21/2000	

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY GRAY DAVIS, *Governor*

CALIFORNIA DEPARTMENT OF CHILD SUPPORT SERVICES

July 21, 2000

To All Interested Parties:

As the Director of the California Department of Child Support Services (DCSS), I am pleased to present the California Child Support Automation System (CCSAS) Project Charter.

With the passage of child support reform legislation in September 1999, California has taken the first steps toward a massive restructuring of its child support program. In addition to creating DCSS and expanding the state's role in administering child support, the legislation requires that responsibility for the program at the local level be moved out of the district attorneys' offices into new local child support agencies in each county. The new legislation also requires that the Department, in collaboration with the Franchise Tax Board (FTB) and the federal Office of Child Support Enforcement, build a single statewide automation system that will serve all child support customers in the state.

An important first step for the CCSAS was the development of this Project Charter. Project charters are widely used by both public and private sector organizations to define the approach, goals, responsibilities, priorities and risks of a project and to achieve consensus between all of the major stakeholders. I believe that the creation of this Project Charter has fulfilled these objectives and now sets the course for the successful development, procurement and implementation of CCSAS.

FTB, working as an agent for the DCSS, is responsible for the development and implementation of CCSAS, which will operate in all 58 counties. CCSAS will bring uniformity to the way that counties provide child support services. CCSAS will also bring California into compliance with state and federal child support system regulations. FTB's long history of developing and implementing complex automation projects helps ensure that CCSAS will be successful.

It is my intention to ensure that the Department and local child support agencies will provide high quality service in a manner that is responsive to the needs of our customers. Successful development and implementation of CCSAS will go a long way toward ensuring that high quality service. DCSS and FTB will be working collaboratively with counties and county workers, child support advocacy groups, federal and state government agencies and other interested parties during the design and implementation of CCSAS so that it will meet the needs of California's children.

It is an exciting time for the child support program in California and I welcome your input and participation as we embark on establishing a child support program that will ensure that all children receive the support to which they are entitled.

Sincerely,

Curtis L. Child
Director

TABLE OF CONTENTS

Project Charter Overview
Background 1
Purpose of Charter 2
Impact Statement 4
Project Assumptions 9
Project Scope
Scope Refinement—System Capabilities 10
Scope Refinement—Transition and Management 12
Business Goals 14
Technology Goals 18
Project Strategies and Approach
Project Strategies 19
Project Planning and Management 20
Requirements Engineering 20
Technology Planning 21
System Procurement 22
Development and Testing 24
Transition 25
Maintenance and Enhancement 25
Project Risk Statement
Management Risks 26
Procurement Risks 27
Development Risks 27
Transition Risks 28
Project Governance
Roles and Responsibilities 29
Secretary, CHHS 29
Project Owner 29
Project Agent 30
Chief Deputy Director, DCSS 31
Project Director 31
Project Advisory Group 32
DCSS Executive Management Team 32
Project Core Team 33
Executive Steering Committee 34
Independent Verification and Validation (IV&V) 34
Contract Authority 35
Glossary of Terms 36
Exhibit 43

Project Charter Overview

Background

Since 1950, the Federal Government has become increasingly involved with child support enforcement. This involvement intensified in 1975 with amendments to the Social Security Act that created Part D of Title IV (i.e., IV-D) and established the Office of Child Support Enforcement. Additionally, throughout the 1970s and 1980s, there were federal legislative actions to enhance the provisions of Title IV-D. A major legislative initiative was the passage of the Family Support Act of 1988 (FSA 88). The Act emphasized child support as the first line of defense against welfare dependence. It also mandated that each state develop and implement a single statewide automated child support enforcement system by October 1, 1995; this deadline was later extended to October 1, 1997.

In December 1992, the State of California entered into a contract to develop and implement the Statewide Automated Child Support System (SACSS) in 57 California counties (Los Angeles was to remain independent). SACSS was intended to meet the federal mandate to have a child support system, compliant with the FSA 88, operational in California by October 1, 1995. However, the SACSS system implementation was unsuccessful, leading to a November 1997 agreement to terminate the SACSS contract.

In 1996, the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) amended the Social Security Act to increase federal automation requirements by requiring all states to establish and operate a State Disbursement Unit (SDU) and State Case Registry (SCR) by October 1, 1998.

By early 1998, the state, working with the California District Attorneys Association, had developed a plan to create a statewide child support system based on the formation of four to seven consortia. Each consortium would consist of multiple counties operating on one of the existing child support systems, as approved by the state, to meet the FSA 88 requirements. The state would also develop and implement, through a competitive bid process, the SDU and SCR components to meet the PRWORA requirements.

The consortia plan was presented to the legislature in March 1998, and became the basis for the child support budget bill, Assembly Bill (AB) 2779 (Ch. 329, Stats. 1998). AB 2779 was passed in August 1998 and required California to implement a consortia-based system that would lead to a federally compliant system by October 2001.

In January 1999, an Implementation Advance Planning Document (IAPD), which identified a four-system consortia approach, was submitted for federal approval by the Administration for Children and Families (ACF). In its review, ACF

informed the state that the proposed consortia-based alternative system configuration submitted for approval did not meet the criteria required by federal law. Responding to ACF's concerns, Governor Davis, members of the Legislature and other involved parties decided to reconsider the mid-1998 decision to proceed with a consortia-based approach.

On September 24, 1999, Governor Davis signed three major child support bills into law (AB 150, Ch. 479, Stats. 1999; AB 196, Ch.478, Stats. 1999; and SB 542, Ch. 480, Stats. 1999). These laws restructured California's child support enforcement program and require the state to implement a single statewide automated child support system. The legislation created the new Department of Child Support Services (DCSS) and transferred child support program responsibility from the California Department of Social Services (CDSS) to DCSS. This legislation also mandated the creation of local child support agencies, and transferred control of the day-to-day local delivery of child support services from the county district attorneys to the new local child support agencies. In addition, this legislation transferred responsibility for the statewide automation development project, now referred to as the California Child Support Automation System (CCSAS), from California's Health and Human Services Agency Data Center (HHSDC) to the Franchise Tax Board (FTB).

An important first step in moving forward with the CCSAS project is the development of the Project Charter.

Purpose of Charter

AB 150 mandates the creation of a single statewide Child Support Automation System by FTB as the agent for DCSS. The legislation also requires DCSS and FTB to develop a Project Charter, approved by FTB's Executive Officer, DCSS's Director, and the Secretary of California's Health and Human Services Agency (CHHS), prior to commencement of procurement activities.

This charter has been developed, through the efforts of the CCSAS Project Charter Steering Committee (including the Director of DCSS, Project Owner; the Executive Officer of FTB, Project Agent; and the Deputy Secretary of Health and Human Services Agency), Project Charter working groups (including representatives from DCSS and FTB), and stakeholders (including representatives from the local child support agencies, child support advocate groups, the Judicial Council, and business and financial organizations).

The Project Charter:

- Identifies the primary entities and individuals impacted by implementation of the CCSAS

- Identifies the assumptions under which the CCSAS Project will be initiated, procured, developed, implemented and maintained
- Defines the strategic Business Goals of the Child Support Program with respect to statewide system automation, thus setting the initial CCSAS Project scope
- Provides a process for refining the initial project scope
- Provides a foundation for identifying business improvement opportunities that will then be explored during business and technical analyses
- Establishes a framework for preparing, implementing and monitoring project documents such as the Project Management Plan and the Procurement Plan
- Identifies the risks associated with the development and implementation of the project and how those risks may be reduced
- Establishes the governance structure for the ultimate oversight, decision making and guidance for the total CCSAS Project effort
- Provides a foundation for developing an agreement for project planning, spending, contracting, executing, controlling, and reporting during the life of the project

The CCSAS Project Charter represents the current agreement between the Project Owner (DCSS) the Project Agent (FTB) and the Secretary, Health and Human Services Agency (CHHS). This charter reflects an agreement among parties at a particular point in the project life cycle and is, therefore, subject to future change; any significant change in project direction will result in updates to the charter that will be reviewed and approved by the Executive Steering Committee.

Impact Statement

Implementation of CCSAS will significantly impact a number of entities and individuals. These impacts range in scope from changes in business processes to changes in the amount of child support monies a custodial party (CP) may receive. Entities that are impacted may experience staffing changes.

The following list reflects the primary entities and individuals that will be impacted by the implementation of CCSAS[1].

Local Child Support Agencies

- **Transition to the Statewide System** – Previous experience with transitioning counties from one automated child support system to another has shown that there are significant personnel and resource impacts. The primary impacts are:

  - **Business Process Changes** – Implementation of CCSAS will significantly alter county business practices. In addition to the changes required to accommodate differences in how the automated systems perform the same function, there will be new functions added and some functions eliminated or reduced in scope (particularly in the payment processing and disbursement functions that will be performed centrally in CCSAS by the SDU). These changes will require retraining of local personnel.
  - **Local Infrastructure Changes** – Local child support agencies and FTB must ensure that the local Information Technology infrastructure is in conformance with CCSAS system infrastructure requirements. This may result in changes in local infrastructure. Local agencies must also implement configuration management procedures to ensure locally initiated infrastructure changes do not degrade CCSAS performance.
  - **Customer Service Impacts** – Implementation of centralized payment processing and disbursement will create changes in local customer service business practices in the area of client financial inquiries.
  - **Resource Availability** – County personnel must assist with data conversion issues and receive training on the CCSAS system at the same time they are providing services to their clients using their interim system. This may result in staffing shortages or reduced service levels.

[1] This section of the charter addresses entities and individuals that will be impacted by CCSAS implementation. Entities and individuals whose actions can impact CCSAS are described in the Risk section of the charter.

California Department of Justice (DOJ)

- **California Parent Locator Service (CPLS)** – CPLS is currently a primary source of locate data to local child support agencies. The exchange of data between various external agencies, such as Federal Parent Locator Service (FPLS), FTB and the Employment Development Department (EDD), may transition from CPLS to CCSAS. The central point for the electronic exchange of locate requests between California and other out-of-state jurisdictions using the CSENet interface may transition from CPLS to CCSAS.
- **California Central Registry (CCR)** - The CCR is the repository for interstate child support cases. Current CCR functionality may be integrated into the CCSAS system in order to meet federal certification requirements.

Department of Child Support Services

- **Program Impacts**
  - **Fund Management** - The IV-D Fund Management process, currently managed by DCSS Accounting, will be integrated within CCSAS, pursuant to federal certification requirements.
  - **Increased Management Responsibilities** – DCSS must, pursuant to federal requirements, monitor and provide contractual oversight of the SDU and child support system operations.
  - **Reports and Audits** - The business processes used in producing federal and state reports and in supporting audits will change due to centralized data collection.

- **Automation Impacts**
  - **Integrated Database, Credit Reporting System and other DCSS Automated Systems** – DCSS currently operates systems that facilitate tax intercepts, report to credit bureaus and implement other federally mandated activities. Many of these functions may be incorporated into CCSAS.
  - **PRISM Project** – The PRISM project will require significant reduction or reassignment of staff and resources after CCSAS implementation. The amount of the reduction will depend on the CCSAS strategy for handling legacy data required for audit purposes.

Franchise Tax Board (FTB)

- **Current FTB Programs** - The Franchise Tax Board administers the Financial Institutions Data Match (FIDM) program, performs child support collections and administers the tax intercept program that includes intercepts for delinquent child support payments. These FTB functions will expand, contract or dissolve once the statewide system is implemented.

- **CAMP** – Recently enacted legislation regarding the FTB's authority to collect and enforce child support orders is being implemented by the CAMP project. The status of the CAMP project is unclear once CCSAS is in operation.
- **Operation of Parallel Systems** – As counties convert to the statewide system, CCSAS will need to successfully integrate and coordinate with the management of the parallel operations of the Child Support Collections Program, CAMP and FIDM until CCSAS implementation is completed.

State and Local IV-A[2] Agencies

- **Automated IV-A System Changes** - Some county IV-A agencies perform functions that may be performed by CCSAS. (For example, some counties have the IV-A system pay the disregard[3] while other counties have the IV-D system pay the disregard in order to meet the 48-hour disbursement timeline mandated in federal law.) These IV-A systems will require modification.
- **Reimbursement of TANF Funds** - County IV-A agencies currently receive reimbursement for TANF monies expended from child support payments that are collected. This reimbursement is often received via a journal voucher action (since both IV-A and IV-D accounts are controlled by the county). This reimbursement process will require modification.

County Auditor/Controllers

- **Payment Processing** – Many local child support agencies rely on the county auditor/controller to process and print child support warrants. Implementation of CCSAS will alter this relationship.[4]

Health and Human Services Data Center (HHSDC)

- **Network Infrastructure** – HHSDC currently provides the network infrastructure and processing services for over 30 counties. Implementation of CCSAS may change processing and network infrastructure requirements. The magnitude of these changes is unknown at this time.
- **Statewide IV-A Data Centralization Project** – The CalServ Middleware Project is intended to provide a standardized interface to all counties running one of the four IV-A consortia systems. The last IV-A consortia

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[2] IV-A refers to Title IV, Part A of the Social Security Act. This portion of the act created the Temporary Assistance for Needy Families program (often referred to as "welfare").

[3] Disregard is a portion of the child support payment, not to exceed the first $50 of the current support collection, which is paid to the TANF family in addition to the TANF grant, and not calculated as income to the family in determining the amount of the grant.

[4] It is uncertain how CCSAS will address the requirement for the local agency to issue an emergency payment "on-the spot" to a CP. This function could still require auditor/controller participation.

system completion date is currently estimated to be in the middle of 2003. CalServ must accommodate and interface to CCSAS. Once CCSAS is implemented, CalServ will experience increased transaction volumes.

IV-D Case Members

- **Submittal of Payments** - Centralization of the collection child support monies (via the SDU) will impact how Non-Custodial Parents (NCPs) submit child support monies. Payments currently made to local child support agencies will now be made to the SDU.
- **Receipt of Payments** - Centralization of the disbursement of child support monies will impact how CPs receive child support monies. CPs may not receive payments as timely due to processing time required by the SDU and mailing from a centralized location.
- **Amount of Payments** - Statewide allocation, the splitting of child support monies amongst all parties entitled to receive monies from a particular NCP will cause some CPs to receive smaller payments than they have received previously and other CPs to receive larger payments (or payments that they were entitled to but had not previously received).

Non-IV-D Custodial Parties

- **Receipt of Payments** - Centralization of the disbursement of child support payments will impact how CPs receive child support. CPs who received payments directly from NCP employers will now receive them from the SDU. Timeliness of the receipt of these payments may be impacted due to processing time required by the SDU and mailing from a centralized location.
- **Amount of Payments** – Some CPs will receive smaller payments than they have received previously due to the consistent application of statewide allocation rules.

Employers

- **Submittal of Wage Assignment Payments** - Employers currently forward IV-D wage assignment payments directly to FTB and local child support agencies. Implementation of the State Disbursement Unit will simplify this process by requiring employers to forward all IV-D child support wage assignment payments and all Non-IV-D wage assignment payments for wage orders established on or after January 1, 1994, to the SDU. This will increase the opportunities for consolidation of payments, facilitate the use of EFT and decrease the number of CP addresses that must be maintained.
- **Employer Inquiries and Problem Resolution** - Employers currently contact FTB and/or local child support agencies when they have questions or problems with wage assignment submittals. After CCSAS

implementation, employers will direct these questions and problems to a central customer service unit.

Courts

- **Standardization –** County courts may be impacted by increased standardization of child support activities. For example, all IV-D guideline calculations may be provided by CCSAS instead of the multiple guideline calculation programs currently approved by the Judicial Council. Standardization of forms and form sets may also cause business process changes within county courts.

Other State and Federal Agencies

- **Interagency Agreements –** As a result of the centralization of child support functionality within CCSAS, agencies that have current agreements with DOJ, counties, and other entities to provide or receive data, may have to alter these agreements.
- **Interfaces –** Outside agencies that interface with DCSS may require additional staff and resources to test new interfaces or interfaces that have moved from DOJ or local child support agencies to CCSAS.
- **Post Office –** Centralization of child support functionality will reduce the number of Address Notification Requests received by the Post Office.
- **Interjurisdictional Entities –** Centralization of California child support functionality and increased data sharing capacity may impact external entity systems, processes or resources.

Financial Institutions

- **Automated Submission of Locate Requests** – Implementation of CCSAS will result in an increased level of asset location requests. Financial institutions will need to coordinate formats and processing with the state.
- **Automated Submission of Levies** – Implementation of CCSAS will result in an increased level of liens/levies being submitted to financial institutions. Financial institutions will need to coordinate formats and processing with the state.
- **SDU** – Financial institutions will be required to interact with a centralized payment disbursement function. New procedures for resolving issues will need to be put in place. Direct deposit levels may increase.

Project Assumptions

The Project Charter Steering Committee identified the following factors that, for project planning purposes, are considered to be true, real or certain in the current or future environment. These assumptions are not identified in any order of priority. If these assumptions prove to be invalid, the success of the project may be impacted.

- The charter serves as the foundation for the CCSAS Project from which the initial project scope is defined.
- At the very least, the CCSAS Project will meet the mandated federal requirements.
- The Business and Technology Goals identified within this Project Charter directly support the program as it exists today.
- The overall statewide project can be logically divided into manageable sub-projects, and these sub-projects can be developed and implemented independently.
- DCSS program development and CCSAS Project business analysis will identify new business requirements.
- The project will ensure that processes are in place to address significant program changes.
- The federal automation penalties will not compromise the quality or success of the project.
- Adequate program and technical resources from DCSS and the Local child support agencies will be available, as needed, for the project.
- The state's performance-based procurement process does not conflict with federal procurement regulations.
- There will be vendors willing to partner with the Project Agent to design, develop, implement, and maintain the new system.
- Valid performance measures can be developed based on measurable data and tied to vendor compensation.
- The project will include participation from local child support agencies, advocates and other identified stakeholders.

These project assumptions are addressed throughout the various sections of this charter.

Project Scope

To ensure that the CCSAS Project is properly aligned with the Child Support Program, the Project Owner, Project Charter Steering Committee and stakeholders identified and prioritized specific Business and Technology Goals. These goals define the scope of the statewide system automation effort with respect to (1) system capabilities, and (2) system transition and management activities.[5] Together, the documents that specify the system capabilities and transition and management activities define the elements of project scope.

The scope of the CCSAS Project begins with the Business and Technology Goals, which define the broadest possible scope of the project. Additionally, AB 150, by mandating specific project activities, further defines the scope of management activities. Investing in project planning activities, such as business requirement definition and the identification of roles and responsibilities, leads to a refinement of system capabilities and transition and management scope that culminates with signed contracts with selected contractors. The factors that influence scope refinement are Project Owner acceptance and approval of planning deliverables, the outcome of DCSS policy development and the resolution of potential conflicts with current Federal and State mandates, the availability of project and program resources to complete activities and resolve issues, contractor understanding and acceptance of the performance based procurement model, the timely resolution of issues and contractor proposed system life cycle costs. Influences on project scope will be managed through frequent communication with the Project Owner, DCSS staff involvement in planning activities, forecasted and revised resource estimates, documented processes and methodologies, such as a defined issue resolution process, and early communication of the intent to use a performance based procurement.

Scope Refinement: System Capabilities

The CCSAS Project will refine the scope of system capabilities through an iterative process. This process includes at least three planned decision points for determining whether or not a given capability is within scope, as defined by the Business and Technology Goals. These Project Owner decision points will be:

(1) just prior to the start of the business analysis
(2) just prior to the release of the Solicitation for Conceptual Proposal (SCP)
(3) at the time the final negotiated contract is signed

[5] Transition activities may include converting and importing existing data into the statewide system; providing user training, customer service and help desk services; conducting outreach programs for the public, employers and institutions; and identifying and resolving potential changes to child support policies, practices and procedures.

Necessary system capabilities will be documented as business requirements[6], and all changes to business requirements will be managed and controlled through a documented change control process. The Project Owner is the final approval authority for determining whether or not a given capability is within the project scope, and these decision points represent milestones for seeking Project Owner approval on scope refinement.

Decision Point 1: The Project Owner, with recommendations from the Project Core Team, will prioritize each potential system capability and decide which of the business improvement capabilities will be studied further during business analysis.[7] The availability of project and program resources to conduct the business analysis and resolve issues must also be considered in this decision.

To develop its recommendations, the Project Core Team will examine each Goal to identify Automated System Objectives (ASOs) that describe desired capabilities of the statewide system. The Project Core Team will then compare ASOs to federal and state policy, regulations and statute to identify mandated capabilities and opportunities for business improvement and issues that must be resolved in order to implement the capability. The results of this analysis will be the basis of the recommendations provided to the Project Owner.

Decision Point 2: The Project Owner will approve the incorporation of specific capabilities into the business requirements baseline released with the initial SCP. The business requirement baseline includes both functional and technical capabilities.

Refinement of system capabilities scope continues during business analysis with the user community and business-driven technology planning efforts. During the business analysis, the Project Core Team will identify additional business rules, types of users, existing technological capabilities and conflicts with best practices, policy, regulation and statute and current organizational responsibilities. Business-driven technology planning efforts will expose relationships between system functions and data and identify design constraints on the system solution. The business analysis and technology planning efforts will result in the identification of new, or changes to, potential system capabilities. Each potential new capability will be mapped against the Business and Technology Goals to verify that the capability is within scope. The Project Core Team will also consider each capability in terms of feasibility with respect to cost, schedule and technical viability and will prioritize each capability in terms of importance to the business

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[6] Business requirements include both functional and technical capabilities.

[7] By definition, mandatory capabilities must be studied during business analysis.

Decision Point 3: The signed, negotiated contract constitutes the third planned Project Owner decision point for refining the scope of system capabilities. The Project Owner and/or his/her designee will participate in contract negotiations. All subsequent changes to business requirements are managed as changes to the contract.

After release of the SCP, the Project Core Team will engage in confidential discussions with individual contractors to refine the contractor's proposed solution. These discussions will provide insight to the state on how the contractor's solution meets mandated capabilities and leverages the opportunities for business improvements. Upon contractor selection, the Project Core Team will finalize the scope of system capabilities during contract negotiations. With the selected contractor, each non-mandatory requirement is re-examined in terms of feasibility with respect to cost, schedule and technical viability, and a final priority will be assigned.

Scope Refinement: Transition and Management

Refining the scope of system transition and management activities will also be conducted through an iterative process that includes at least three planned Project Owner decision points. These decision points are:

(1) just prior to the release of the Invitation to Partner
(2) just prior to the release of the Solicitation for Conceptual Proposal (SCP)
(3) at the time the final negotiated contract is signed

Decision Point 1: The Project Owner will approve the initial scope of system transition and management efforts, based upon recommendations from the Project Core Team, which will be reflected in the Invitation to Partner.

Prior to releasing the Invitation to Partner, the Project Core Team will provide recommendations to the Project Owner regarding the roles and responsibilities of each organizational entity with respect to system transition and management activities. Roles and responsibilities are defined in the Interagency Agreement (IA) and in specific planning documents, such as the Procurement Plan. The roles and responsibilities will be consistent with the scope of the project as defined by the Business Goals. For example, the Business Goal that relates to improving service provided to case members suggests a public outreach effort. The Project Owner may decide that the responsibility for public outreach lies with DCSS. Therefore, public outreach would be outside the scope of the CCSAS Project. Other transition activities, such as conversion, are so closely related to system development and implementation that responsibility for those activities must be assigned to the project.

The CCSAS Project Management Office (PMO) will identify project management and system development standards, policies and processes consistent with the mandates of AB 150. Other efforts that will precede the Invitation to Partner are the development of (1) a Project Management Plan that includes risk management, (2) issue resolution and change control policies, and (3) a Procurement Plan that defines the statewide system procurement approach. The roles and responsibilities, procurement planning activities and project management policies and procedures establish the initial scope of system transition and management efforts consistent with the Business Goals and AB 150. This initial scope is conveyed to prospective contractors in the Invitation to Partner.

Decision Point 2: The Project Owner will approve the refined scope of system transition and management efforts, based upon recommendations from the Project Core Team, which will be reflected in the Solicitation for Conceptual Proposal.

After release of the Invitation to Partner, the Project Core Team will continue to refine the scope of transition and management efforts. This will be done by examining aspects of the business within the scope of the Business and Technology Goals, assigning responsibility for specific transition activities, and developing supporting management processes and methodologies. Issues raised during business analysis and the execution of management processes, such as risk assessment, will result in a better understanding of the depth and breadth of transition activities and the development of specific transition strategies. These strategies will include further definition of responsibility for transition activities; for example, distinguishing between, and assigning responsibility for, the different facets of customer service would in turn affect the scope of management efforts. The result of this refinement is a declaration of project scope that facilitates the estimation of resource needs and cost/schedule. This refined scope, including the system capabilities scope, is conveyed to prospective contractors in the SCP and forms the basis for contractors to develop their proposed solutions.

Decision Point 3: During contract negotiations the SCP will outline those transition activities for which the CCSAS Project and the selected vendor are responsible and establish a refined scope of system transition efforts that remains consistent with the Business and Technology Goals, management strategies and AB 150. Contractual requirements for system transition and project management and system development standards, policies and processes are finalized during contract negotiations. The final, negotiated contract establishes the final scope of transition and management activities. All future changes to transition scope are managed as changes to the contract. The deliverable for Decision Point 3 is the final, signed contract.

Business Goals

The CCSAS Project will deliver a single statewide automated system that meets federal certification requirements, uniformly implements state policy and regulation, is consistent with the mandates of AB 150, and meets the business needs of the child support program. The Business Goals reflected in this document represent this vision.

The Business Goals are organized around common themes into the Goal Sets listed below. While only the Business Goal Sets are included in the body of the charter, the complete text of the Business Goals is provided as an exhibit. The number assigned to each Business Goal Set indicates the set's priority.

GOAL SET 1.0 Increase Performance, Accuracy, and Timeliness
Beneficiaries: State and Local Child Support Program and its Customers

The primary purpose of this Goal Set is to maximize the performance and timeliness of the Child Support Program (CSP) as administered by both the Department of Child Support Services and local child support agencies. This Goal Set seeks to improve the program so that it meets or exceeds both federal performance incentive criteria and federal case processing timeliness requirements. It also seeks to meet or exceed those program service delivery requirements established by the State of California.

GOAL SET 2.0 Improve Service Provided to Case Members
Beneficiaries: Case Members

The primary purpose of this Goal Set is to improve the service to Case Members (i.e., Custodial Parties and Non-Custodial Parents who have IV-D cases) by increasing their knowledge of and access to CSP business processes. This Goal Set seeks to improve Case Member access to case information; the case intake process; the delivery and usefulness of CSP documents; Case Member complaint and problem resolution; the processing, receipt and disbursement of support payments; relationships among Case Members; and, the education of Case Members regarding the services available to them.

GOAL SET 3.0 Increase Caseworker Efficiency & Effectiveness
Beneficiaries: Caseworkers and Case Members

The primary purpose of this Goal Set is to improve the business processes administered by local Caseworkers to better serve Case Members. This Goal Set seeks to provide Caseworkers with the tools, knowledge, information and forms

necessary to perform their jobs effectively and efficiently, thus reducing time and costs associated with providing service to Case Members.

GOAL SET 4.0 Improve Data Quality, Privacy and Confidentiality
Beneficiaries: Case Members and General Public

The primary purpose of this Goal Set is to improve the overall quality of data maintained within the CSP as well as safeguarding the individual's privacy and confidentiality. This Goal Set seeks to provide adequate safeguards against unauthorized access to or disclosure of data; provide for efficient and effective correction of inaccurate or incomplete data; and minimize the capture and retention of data not required for CSP business.

GOAL SET 5.0 Enable Data-Driven Decision Making and Performance Measurement
Beneficiaries: State and Local Child Support Program

The primary purpose of this Goal Set is to ensure that the CSP decision makers have all necessary statistical, financial and program management information available to effectively and efficiently administer the program. This Goal Set seeks to provide information responsive to authorized requests for both standardized and on demand reports for purposes of evaluating program opportunities and ongoing performance.

GOAL SET 6.0 Improve Employer Relationships
Beneficiaries: Employers

The primary purpose of this Goal Set is to minimize the burden placed on Employers to meet their responsibilities to provide payments and employee information. This Goal Set seeks to provide Employers with easy and convenient processes to meet their payment and reporting responsibilities; provide Employers with necessary information and instructions; minimize duplicative employer reporting; and facilitate the resolution of problems encountered by Employers.

GOAL SET 7.0 Improve Financial Institution Relationships
Beneficiaries: Banks, Credit Unions, Other Financial Institutions

The primary purpose of this Goal Set is to improve relationships with financial institutions related to locating and securing assets of Non-Custodial Parents and expedite payments to Custodial Parties. This Goal Set seeks to maximize the ability of Financial Institutions associated with asset location and compliance with

liens and levies; provide effective and efficient processes for the administration of the State Disbursement Unit; and, provide timely and accurate communication of program changes to Financial Institutions.

GOAL SET 8.0 Ease Impact of Centralized Collection and Distributions on Non IV-D Population
Beneficiaries: Non IV-D Payers and Payees

The primary purpose of this Goal Set is to mitigate the impact on Non IV-D Non-Custodial Parents, and Custodial Parties (i.e., those individuals whose orders are not enforced by the CSP) of the requirement that wage assignments must be allocated, distributed and disbursed through the CSP. This Goal Set seeks to establish efficient payment processes to expedite payment to Custodial Parties; provide necessary payment information to both payers and payees; and facilitate the resolution of problems and complaints.

GOAL SET 9.0 Improve Centralized CSP Operations Effectiveness and Efficiency
Beneficiaries: State Child Support Program & Case Members

The primary purpose of this Goal Set is to improve the business processes administered by state CSP staff to support local child support agencies and to better serve Case Members. This Goal Set seeks to provide CSP staff with the necessary tools, knowledge, information and forms to support statewide best practices and local operations and to increase disbursement to families.

GOAL SET 10.0 Improve Third Party Interactions
Beneficiaries: Local Child Support Program, IRS, EDD, FTB & Other Third Parties

The primary purpose of this Goal Set is to improve the interfaces, data exchanges and communication between the CSP and various Third Parties who are responsible for providing Case Member information and financial data. This Goal Set seeks to minimize duplication of data, maximize the accuracy and timeliness of data, and ensure processes for effective Third Party complaint resolution and payment processing.

GOAL SET 11.0 Improve Interjusdictional Case Processing Effectiveness and Efficiency

Beneficiaries: Other States, U.S. Possessions, Foreign Governments, Tribal Councils, Case Members

The primary purpose of this Goal Set is to improve those business processes administered by the CSP with other jurisdictions (i.e., those separate entities with their own authority and power) through a variety of actions including agreements and Administrative Enforcement Interstate requests. This Goal Set seeks to facilitate interjurisdictional payment processing, maximize the ability to exchange Case Members information, initiate and process cases, and process requests for CSP services.

GOAL SET 12.0 Improve CSP Interactions with Courts/Judicial Council

Beneficiaries: Judicial Council, Judges, Commissioners, Family Law Facilitators, Court Clerks, County Recorders, Bar Association

The primary purpose of this Goal Set is to improve those CSP processes that require interactions with the Courts and Judicial Council. This Goal Set seeks to improve the processes for filing legal documents and scheduling court actions, maximize the exchange of information between CSP and the Courts, and facilitate consistent case processing statewide through outreach and education with the Courts and the use of standardized Judicial Council forms.

GOAL SET 13.0 Meet Federal Requirements

Beneficiaries: State and Local CSP & Administration for Children and Families

The primary purpose of this Goal Set is to ensure that the CSP meets both the federal requirements for a Statewide Automated System and the State Disbursement Unit. This Goal Set also seeks to ensure that other CSP operations, which may be subject to audit, are compliant with federal standards.

Technology Goals

The Technology Goals recognize that a successful statewide system solution not only meets requirements, but also provides best value to the business, ensures effective transition without disruption of existing services and is accepted by the user. The Technology Goals listed below support the development of technical requirements, transition planning and project management processes and procedures:

- Maximize the ease of system maintenance and enhancement through the use of open architecture and standards
- Maximize the cost effectiveness of the automated system
- Maximize quality results in a reasonable timeframe
- Manage change to business areas and mitigate implementation risks
- Minimize the adverse impact of project development on existing operations over the course of the project

Project Strategies and Approach

Project Strategies

The CCSAS Project Strategies reflect how the Business and Technology Goals will be met and include the mandates of AB 150 as well as lessons learned from past child support automation efforts. The strategies listed below are not prioritized.

- Ensure an implementation that phases in system capabilities in manageable releases that provide business value and are technically viable
- Select the solution based on business value, not necessarily lowest cost
- Qualify vendors based on past performance on similar contracts
- Establish structured, proven system development and implementation methods, processes and standards that provide traceability between Business and Technology Goals, requirements, design components and test cases, establish control gates for deliverable acceptance, and employ proof-of-concept and prototyping techniques
- Provide for open competition and shared risk with the vendor partner
- Compensate vendors based on achieving predefined performance measures
- Establish structured, proven project management policies, standards and procedures for the project and the vendor(s)

These strategies will guide the selection of processes to be followed during the project; the definition of deliverables resulting from the selected processes; the identification of key decision points; the selection of software tools required to support the project's processes; and the creation of supporting materials for project control and coordination. These strategies will also guide development of technical requirements of the system such as maintainability, scalability, portability, interoperability and adaptability.

Project Approach

Project Planning and Management

Project Initiation

CCSAS Project planning begins with the examination of DCSS program needs. The Business Goals documented in the Project Charter represent these DCSS program needs and establish the project direction. Once approved, the Project Charter confirms alignment within DCSS, stakeholders and FTB as to the intent and nature of the project and will be used as the basis for project planning.

Project Management Office (PMO) Establishment

Under the direction of the Project Director, the PMO will ensure that there are uniform policies and practices, consistent standards, continuous risk and quality management programs, software management tools and an integrated Project Management Plan for the CCSAS Project life cycle. The PMO will also identify required project management and system development standards and procedures that are required of the vendor. The PMO organization will be staffed with state civil service personnel and contract consultants who are recognized experts in the field of project management.

To accomplish this, the PMO will develop, document and coordinate the project's core management processes and disciplines applicable to the CCSAS Project life cycle. The PMO organization will also develop, implement, and maintain the Project Management Plan (PMP) and other plans such as scope management, risk management, configuration management, and quality assurance management.

Requirements Engineering

The CCSAS Project will use a structured, repeatable process to define and manage business requirements. This process will ensure the traceability of business requirements, both functional and technical capabilities, to the Business and Technology Goals.

Business Analysis

CCSAS Project staff, with significant involvement of selected County and DCSS staff, will use a structured analysis modeling technique to analyze existing business processes in order to identify business requirements. Best Practices and strategic planning initiatives developed by DCSS will be integrated into the business process models so that business improvements are reflected in the CCSAS business requirements. The business analysis will help determine the organization of system components by identifying relationships between business functions and data.

In order to manage scope, the business requirements will be mapped to Business and Technology Goals and prioritized to distinguish mandated capabilities from desired capabilities. These desired capabilities will be candidates for technology innovation and cost/schedule trade-offs. Business requirements will also be aligned with statewide operating policies that reflect the integration of Best Practices into the requirements.

Requirements Definition Tools and Techniques

In coordination with the Project Management Plan, the project will develop a Requirements Definition and Management Plan that will document the business analysis approach and requirements management processes (i.e., the requirements change control process). The requirements management process controls changes to business requirements by ensuring that only authorized changes are made, fully tested, approved, and migrated in a controlled manner, and that an audit trail of all changes is maintained.

Business requirements will be maintained in a database that provides upward traceability to Business and Technology Goals and downward traceability to data flow diagrams, and ultimately to vendor derived system/software requirements and system/software design components. The project will also use a Business Requirements Specification (BRS) as the formal requirements document that links business requirements and business process models (data flow diagrams, data definitions and data models).

Technology Planning

Technology planning will be used to develop the project's fundamental architectural vision and to determine how best to phase in the implementation of CCSAS capabilities. Key components of the technology planning process will determine:

- How the system can be logically divided into manageable sub-projects
- How to organize applications and data to implement Automated System Objectives and/or identified business constraints
- How to use appropriate technologies to implement Automated System Objectives, identified business constraints, or industry best practices
- What design and architectural principles to use to support Automated System Objectives, business constraints, and industry best practices

This technology planning will result in the articulation of specific automation priorities and technical requirements, including design, system performance and operating environment requirements. It will also enhance the project management

and transition plans by suggesting system implementation approaches and contract data requirements.

System Procurement

The CCSAS Project intends to use a Performance Based Procurement model, a form of Alternative Procurement referenced in AB 150 that has been successfully used by FTB in previous high-risk complex projects. The Performance Based Procurement model is focused on procuring strategic business solutions based not on lowest cost, but on the value provided to the owner of the system. It creates strategic partnerships with vendors that result in shared project risks and compensation based upon measured performance and realized value.

Procurement Strategy

The CCSAS will be procured in multiple phases. This procurement strategy will be articulated in the Invitation to Partner and refined based on the outcome of the business analysis. With an understanding of how data and technology relate to system capabilities and business priorities, the Project Core Team will devise the optimal approach for phased development and implementation. Based on this phased delivery approach and considering potential system integration and project management risks, a competitive procurement approach that acknowledges and mitigates project risk will be developed.

As envisioned for the CCSAS Project, system procurement will require the completion of the following activities:

- Development of Performance Measures for Vendor Compensation
- Development of Acceptance Criteria
- Partner Qualification
- Non-confidential Discussions with Qualified Partners
- Development of the Solicitation for Conceptual Proposal
- Confidential Discussions with Qualified Partners
- Proposal Refinement
- Proposal Evaluation and Selection
- Procurement Contracting

Vendor Compensation Performance Measures

A key element of Performance Based Procurement is that vendor compensation is based on realized value. Performance measures are the method for assessing value, and Critical Success Factors (CSFs) are the starting point for developing performance measures. CSFs, established by the Project Owner, will be derived from Business and Technology Goals and project management policies. From these CSFs, contract specific performance measures will be developed. Although initial performance measures will be developed early in the procurement process (i.e., prior to the development and release of the Solicitation for Conceptual

Proposal), the performance measures will be refined during confidential discussions with vendor partners and finalized during contract negotiations.

CCSAS is considering the following categories of performance measures:

1. **Program Performance:** A measure of the business value provided to the IV-D Program, derived from Business and Technology Goals and correlated to IV-D program measures.

2. **System Performance:** A measure of the technical merit of specified system capabilities, derived from service level and technical requirements and tracked when certain deliverables are deployed into the production environment.

3. **Vendor Performance:** A measure that anticipates project success by assessing how well the partner is conducting system development activities, derived from product oriented project management principles/practices; application of technical methods; technical architecture; application of design principles; and measures of software quality.

Upon charter approval, the CCSAS Project will develop recommended Critical Success Factors and, with Project Owner approval, submit draft performance measures to the qualified partner pool during non-confidential discussions. Performance measures will be finalized in the contract, as approved by the Project Owner.

Acceptance Criteria

Acceptance criteria specify the conditions under which the Project Owner will accept the delivered product. Acceptance of deliverables acts as a "control gate" for deciding whether or not to pass into the next phase of system development. The CCSAS Project will define and document specific acceptance criteria in order to promote a clear understanding of state expectations with respect to product quality. Acceptance criteria will be developed for specification and design documents, formal design reviews and incremental "software builds" (i.e., progressive cycles of development).

Partner Qualification

Contractors will be qualified as potential partners based on an evaluation of past performance on similar contracts, project management and team experience resumes, and customer satisfaction. Additionally, consideration will be given to experience in implementing the project strategies listed at the beginning of Project Strategies and Approach section.

Non-Confidential Discussions with Qualified Partners

The Performance Based Procurement methodology allows for a period of information exchange between the qualified partners and the state to set expectations, achieve buy-in, and receive feedback on the procurement approach and business requirements.

Solicitation for Conceptual Proposal (SCP)

The Solicitation for Conceptual Proposal describes the business requirements of the system being procured and establishes the state's expectations for how the project will be planned, executed and managed. The SCP will define the format and content of proposals; proposal evaluation areas; required project management and system development standards and procedures; contract deliverables regarding project management, system development, testing, transition and maintenance and operations; and performance measures and compensation schedule.

Confidential Discussions with Qualified Partners and Proposal Refinement

Confidential discussions with qualified partners provide an opportunity to review and discuss their specific draft proposals. These discussions will provide insight into the vendors' solution and opportunities for the refinement of system capabilities in terms of technology innovation and operating characteristics.

Proposal Evaluation and Selection

The state will evaluate which contractor is most likely to meet the state's expectations based on defined proposal evaluation criteria. SCP evaluation criteria will consider the vendors' project management approach, the technical feasibility and total cost of ownership of the proposed solution. Detailed criteria and a scoring methodology will be used to evaluate and score proposals, including an evaluation of added business value provided by the solution.

Procurement Contracting

System development and implementation services will be procured through Solicitation for Conceptual Proposals. Contract negotiations with the selected business partner will determine terms and conditions including items such as the development and implementation schedule, required deliverables, acceptance criteria, performance measures and compensation schedule.

Development and Testing

The Project Core Team, including the PMO, will identify those elements of a system development and testing methodology that must be integrated into the

vendor's overall methodology. These elements may include traceability between requirements and hardware/software components; recording of design decisions; required system deliverables including documentation; identification and use of software quality metrics; required testing methodologies; configuration management of the development and production environments; release management and change control processes; and adoption of a system life cycle model that supports phased implementation. The system development and testing methodology will be described in the SCP, and required elements of the methodology will be levied as contractual requirements.

Transition

The scope of transition activities will be developed and refined as described in the Project Scope section. As the Project Scope refinement progresses, the project team will develop transition strategies and plans that will describe the approach to user training, change management, customer service and conversion. To ensure an effective transition to and acceptance of the statewide system the project will:

- Facilitate the design of an automated system that fits cohesively into the users environment
- Use representatives from the business operations as subject area experts when defining business policies and rules
- Involve end-users of the automated system during the design process
- Minimize potential adverse impacts of time commitments on these subject area experts and end-users
- Provide effective and timely training for all users of the automated system
- Encourage the use of currently implemented and planned technologies where appropriate

Maintenance/Enhancement

Maintenance and Enhancement refers to the ongoing daily operation of the system and the final processes that will be used to rectify internal processing errors, enhance or extend system functionality, repair design or modify the system due to changes in business needs. As the project progresses, information that describes the approach to system maintenance and operations, and enhancements will be incorporated into the appropriate plans. This information includes the organizational structure of maintenance personnel, the process for system changes, the terms and conditions of the maintenance contract, defect resolution process, knowledge transfer requirements, technology refresh and hardware replacement needs, total cost of ownership impacts, and system documentation and service level requirements.

Project Risk Statement

By any measure, the CCSAS Project is a high-risk project. It is a large, complex financial management application with strict accuracy and performance requirements, multiple external interfaces, and many diverse stakeholders.

In Assembly Bill 150, the Legislature established its intent that CCSAS "avoid the repetition of those practices which led to the failure of the SACSS system and ensure that practices are in place to prevent the repetition of those practices." The CCSAS Project has established a three-pronged approach to risk management:

- The immediate procurement of Independent Verification and Validation services. This team will apply an industry standard approach to monitor and oversee all aspects of the project.
- The establishment of a project Quality Assurance Team, reporting to the CCSAS project management. This team will ensure establishment of industry standard methods for project management, technical management and progress measurements.
- The establishment of formal Risk Management Planning procedures, within the Project Management Office (PMO), to identify, assess, track and mitigate risks. This process will be consistent with the existing FTB Risk Assessment process, administered by the Project Oversight Bureau, and the statewide Risk Assessment Model administered by the Department of Information Technology (DOIT).

In general, risk management includes two major elements—risk identification and risk management planning. The identification of risks consists of identifying the triggering event, assessing the potential impact to schedule, cost, performance, functionality, etc., and determining the probability, or likelihood, of the triggering event. The development of a Risk Management Plan consists of specific actions to mitigate (avoid, ease the impact, or accept) the risk.

The CCSAS Project has identified the following potential major risks:

Management Risks	***Impacts***
Lack of leadership from FTB, DCSS, or CCSAS	Poor leadership has historically been a major contributor to project failures, cost and schedule overruns, and functionally inadequate systems.
Collaboration of independent agencies: DCSS and FTB	Failure to establish formal collaboration procedures may lead to decision delays and cost/schedule overruns.

Insufficient resources in key skill areas	Lack of experienced, knowledgeable resources in, for example, large automated child support systems management and development will increase the likelihood of overruns and failure.
Parallel program and project development	The complexity of establishing the DCSS, creating new local child support agencies, and building the automated child support system may cause delay of key decisions, or activities leading to project delays and overruns, or program and/or project instability.
Multiple subprojects developed by different vendors	The difficulty of ensuring that all elements, from different vendors, integrate correctly, impacts the requirements, design, test and integration activities. This complexity increases the risk of cost/schedule overruns and possible failures.
Loss of program management continuity	Turnover in top management, i.e., program and project management and key deputies, is known to contribute to loss of focus and leadership. This increases the risk of overruns and failures.
Multiple diverse stakeholders	Input from stakeholders must be managed to avoid frequent changes in goals or requirements, which may lead to cost/schedule overruns.
Excessive political pressure due to past failures	Pressure to succeed and show progress in an unrealistic timeframe may cause quality to slip and lead to cost/schedule overruns.

Procurement Risks	***Impacts***
Performance Based Procurement (PBP)	If the potential vendors and the state cannot reach agreement on the performance measures, vendors may not bid. If the performance measures are not carefully selected, they may not produce the desired data for determining appropriate compensation.
Procurement delays	Any procurement delay has the potential to impact the contract award. If the project schedule is not adjusted, the timeframes may be unrealistic with possible quality slippage.

Development Risks	***Impacts***
Size and complexity of project	These factors significantly increase the likelihood of cost and schedule overruns, missing functionality, product errors, etc.

Pressure to accelerate the program due to economic impact of federal penalty	As the total cost of the federal penalties rises, pressure to accelerate the project will increase significantly. Unrealistic schedule pressures are a known contributor to cost/schedule overruns and system failures.
Additional federal or state legislative mandates or program changes	Unstable or changing requirements are known to contribute to cost/schedule overruns in both development and county transitions.
Changes or additions to the requirements due to technology changes or the interface to other projects (Non IV-D or SDU)	Unstable or changing requirements are known to contribute to cost/schedule overruns in both development and county transitions.
Changes in requirements due to DCSS policy changes or judicial rulings.	Unstable or changing requirements are known to contribute to cost/schedule overruns in both development and county transitions.

Transition Risks	***Impacts***
Multiple interfaces with the IV-A Program	CCSAS must interface with state IV-A (welfare) systems. The statewide IV-A database will not be complete until 2003. Unless the statewide IV-A data is available, the child support system will have to interface with the four different county IV-A systems across the 58 counties. This will increase the risk of cost/schedule overruns.
Complexity of the transition of counties to the statewide system	The difficulty of moving 58 individual counties, including data conversion from four and potentially six different systems, to the statewide system increases the risk of cost/schedule overruns.
Delays in transitioning counties to interim systems	Failure to complete the transition on schedule may require conversion from an additional system or require the large county to transition twice within a short period of time.
Difficulty of removing duplicate cases across multiple counties	Failure to identify and eliminate duplicate cases may cause transition delays, or at a minimum, cause operational and program problems after transition.
User acceptance	Failure to manage the user expectations, business process changes and training will increase the likelihood of transition delays and problems.

Project Governance

ROLES AND RESPONSIBILITIES

This section of the charter clarifies the CHHS/DCSS/FTB relationship and addresses the governance structure that will be put in place to make this project a success throughout procurement, development, implementation and maintenance. The governance model reflected in this document is the overarching model and not meant to be the all inclusive roles and responsibilities for all project components. The extension of this governance model and related roles and responsibilities will be incorporated into project planning documents.

Secretary, California Health and Human Services Agency

The California Health and Human Services Agency (CHHS) oversees DCSS and 12 other state departments and one board which are responsible for providing health, social services, mental health, rehabilitation, developmental services, employment, child support services, and other critical services. The Secretary of CHHS is responsible for promoting the child support program success and delivery of these services to the children and families of California. CHHS oversight of the CCSAS project will be provided through the Director of DCSS. The Director of DCSS is responsible for providing regular updates to the Secretary of CHHS regarding the status of program and project automation efforts, and ensuring that any issues raised by the Secretary of CHHS are addressed. CHHS will also provide oversight of all of the child support automation activities through the use of Independent Verification and Validation (IV&V).

Project Owner

In accordance with AB 150 the Director of DCSS is the owner of the CCSAS Project. The Project Owner is responsible for defining the overall Child Support Program and required functionality and support to be delivered by the CCSAS Project. The Director provides leadership for the ongoing governance structure and serves as Chairman of the CCSAS Project Steering Committee. The Project Owner assumes responsibility for the following functions:

- In concert with the Project Agent, ensure the development, implementation and ongoing maintenance of the Project Charter
- Communicate the project vision to external entities
- Approve the overall Project Management Plan and Procurement Plan
- Approve any modifications to the Project Charter or plans, e.g., federal approvals and waivers necessary to secure financial participation and system design approval

- Ensure all interim automation activities are consistent with the procurement, development, implementation, and maintenance of the CCSAS
- Act as the final authority in resolving major program conflicts
- Provide required program resources to the project
- Determine project scope or program functionality including cancellation of the project in consultation with the FTB as Project Agent
- Approve the evaluation criteria for use in selection of the solutions during procurement
- Measure actual business results and provide timely reporting to the Project Agent as necessary to compute vendor partner compensation
- Validate completion and delivery of the CCSAS Project by the Project Agent

Project Agent

The Executive Officer of the FTB is responsible for the procurement, development, implementation, and maintenance of the single statewide automated system as defined by the Project Owner. The Project Agent is a member of the ongoing governance structure and serves on the CCSAS Project Steering Committee. The Project Agent assumes responsibility for the following functions:

- In concert with the Project Owner, ensure the development, implementation and ongoing maintenance of the Project Charter
- Ensure development of and adherence to a Procurement Plan that employs proven techniques, and incorporates best practices from other government jurisdictions where practical
- Secure authority through state agencies, as needed, to acquire required products and services
- Ensure that project funding and staff resources are secured timely
- Serve as the Executive liaison with the primary Business Partners engaged in development of the CCSAS system
- Resolve contractual or other disputes arising from the procurement or delivery of vendor services in support of CCSAS
- Provide final approval of proposed vendor partner awards and contractual terms and conditions relating to the delivery of goods and services necessary to develop and maintain the Automated System
- Consult with DCSS in development of the terms of agreement for the local child support agency annual automation cooperation agreement (AACA)
- Working through the Project Director, ensure that all automated functions as specified by the Project Owner are delivered according to the overall Project Management Plan
- Work with the Project Owner to determine federal and state legislative impacts to the single statewide automation efforts

Chief Deputy Director, DCSS

The Chief Deputy Director of the DCSS serves as the direct line of communication between the CCSAS Project Director and the Director of DCSS, the Project Owner. The Chief Deputy Director is a member of the ongoing governance structure and serves on the CCSAS Project Steering Committee. The Chief Deputy Director assumes responsibility for the following functions:

- Establish and maintain ongoing communications of program and operational requirements with the Project Director
- Representing the Project Owner, establish and document the functionality required of the CCSAS in order to support the new statewide Child Support processes
- Participate in planning, review, and approval of products or deliverables related to the project
- Provide guidance to the project team regarding modifications necessary to meet program changes resulting from external influences
- Resolve all ongoing automation issues that may impact the CCSAS Project
- Representing the Project Owner, review and assess the acceptance of delivered functionality for use by the program
- Working with the CCSAS Project Director, plan and track ongoing schedule coordination involving program process conversion and staff training with the conversion and implementation of the CCSAS system

Project Director

The Project Director is responsible for the overall management and success of the CCSAS Project. Under the direction of the Project Agent, the Project Director develops project plans with measurable intermediate deliverables and ensures their timely completion. The Project Director provides timely reporting to all involved parties of project status and notification to the Project Owner and the Project Agent of any unplanned events that could impede scheduled completion. Representing the Project Agent, the Director develops remedial plans of action as needed to ensure successful completion of the project; ensures all ongoing automation issues that may impact CCSAS are coordinated and resolved; and, manages all activities of state and vendor partner staff to ensure completion of the project according to the overall Project Management Plan approved by the Project Owner.

The Project Director will meet with, prepare reports for, and communicate project status through the Chief Deputy Director, DCSS. The Project Director assumes responsibility for the following functions:

- Establish and maintain ongoing communications of program and operational requirements with the Chief Deputy Director, DCSS
- Develop and maintain appropriate relationships with all project stakeholders, involving them as necessary in the development of project deliverables (e.g., goals, objectives, schedules, etc.)
- Identify issues that could result in changes to the Project Charter and Project Plan and escalate them to the Project Owner through the Chief Deputy Director
- Align the Project Core Team's efforts with the overall Project Plan
- Ensure that participative project planning occurs with DCSS team members
- Execute all necessary contracts for successful development, implementation, and maintenance of the statewide system
- Track actual progress and resource usage
- Track and report accurate status to the Executive Steering Committee and Project Core Team
- Ensure timely, quality deliverables that provide the functionality defined by the Project Owner
- Ensure that reports and major project deliverables are developed collaboratively with DCSS team members

Project Advisory Group

The Project Advisory Group functions in support of the Project Agent and the Project Director. The group is comprised of the Assistant Executive Officers of FTB's Audit Branch and Technology Resources Branch. This group serves as an advisory panel to the Project Director and Executive Steering Committee and is responsible for the following functions:

- Represent the Project Agent when the Project Agent is unavailable
- Remove obstacles encountered during the life of the project that may inhibit its success
- Ensure project resources are available
- Advise on procurement approach and vendor interactions and relationships

DCSS Executive Management Team

The DCSS Executive Management Team is comprised of the Chief Deputy Director, DCSS, the Deputy Director, Program Division, and the Deputy Director, Systems Division. The DCSS Executive Management Team will accomplish the following responsibilities through assignment of departmental staff to the Project Core Team and through regular, scheduled communication with the Project Director.

It is the DCSS Executive Management Team's responsibility (both directly and through their assigned Project Core Team members) to:

- Articulate program and operational requirements
- Ensure program and project requirements are met
- Represent the Department during the various stages of the project
- Participate in planning sessions
- Participate in the development, review, and approval of major project deliverables

Project Core Team

The Project Core Team is comprised of individuals who have been skill-matched to the project and are empowered to accomplish the work of the project. The Project Core Team, consisting of FTB project staff and members of DCSS staff, will work together to procure, develop, implement, and maintain the CCSAS. The Project Core Team will be augmented with additional resources, including staff from the local child support agencies, to assist in the project development, implementation and maintenance. It is the Project Core Team's responsibility to:

- Formulate information technology strategies, quality standards and practices
- Develop, implement, monitor and evaluate all project management activities and plans
- Oversee vendor(s) development methodology and identify project risks in hardware design and application development
- Develop, manage, conduct and evaluate system procurement activities
- Define, manage and control all activities associated with contract management
- Exchange information with vendors for technology innovation and provide advice on the strategic implications of specific solution alternatives or opportunities
- Define, manage and control all activities associated with producing budget documents
- Identify, develop, implement, support and monitor project processes
- Define, establish and maintain the project communication plan and roles and responsibilities
- Develop, implement and maintain the Requirements Management Plan
- Conduct business and technical analysis and apply standard software engineering techniques to develop the Business Requirements Specification
- Identify issues and provide recommendations regarding system analysis and application design

- Develop, coordinate, execute, evaluate and maintain system integration, testing and conversion plans
- Develop, execute, monitor and maintain the statewide system configuration management plan
- Develop transition strategies that include but are not limited to change management, user training, and implementation constraints.

Executive Steering Committee

The CCSAS Project Executive Steering Committee is comprised of the Project Owner, the Deputy Secretary of CHHS, the Executive Secretariat of CHHS, the Project Agent, the Chief Deputy Director, DCSS, and the CCSAS Project Advisory Group. Additional members of the DCSS Executive Management Team or key stakeholders may be included at the discretion of the Project Owner. The committee is actively involved in reviewing the progress of key project deliverables and milestones related to successfully completing the project and its objectives. It is responsible for ensuring that issues are resolved in a timely manner by the appropriate management of the program or project, and for promoting project success and delivery of Business Goals.

Operation of the Executive Steering Committee

The Project Owner serves as the committee's chair at regularly scheduled status meetings. The Project Director attends the meetings and presents information relevant to the agenda. Members of the CCSAS Project Core Team, DCSS Program, or stakeholder community are invited to attend when they have information or expertise on agenda topics.

Independent Verification and Validation

Independent Verification and Validation (IV&V) services will be acquired for California's child support automation efforts, which include the CCSAS project, the California Arrearages Management Program (CAMP) and the Pre-Statewide Interim Systems Management (PRISM) project. IV&V will provide an independent appraisal of the state's automation efforts, both the management of the projects and the technical aspects of the projects, and will include access to both prime and sub vendor records or any other documents related to system development.

The IV&V activities will be performed by a single provider, and will be managed by a department independent of both DCSS and FTB. Acting as an agent for the CHHS, the IV&V contract will be managed by the Health and Human Services Agency Data Center (HHSDC). (HHSDC provides Information Technology services to various departments within the California Health and Human Services Agency.)

Contract Authority

Overall authority and responsibility for the California Child Support Program lies with the Director of DCSS. The Director has full authority and responsibility for all business functions and outcomes including setting the strategic vision, approving business automation objectives, evaluating business results and ensuring that program goals are met.

Consistent with the roles and responsibilities of the Project Owner and Project Agent, the Director expressly delegates responsibility and authority for procurement, development, implementation and maintenance of the single statewide automated child support system (CCSAS) to the Executive Officer of FTB. This delegation is critical to the successful implementation of CCSAS and meets the intent of the California Legislature as expressed in AB 150.

This delegation establishes a specific relationship between the DCSS as Project Owner, and the Franchise Tax Board as their Project Agent. While performing activities under this delegation, the Project Agent will ensure open collaboration with the Project Owner. Both Project Owner and Project Agent will ensure that full and open communication exists between the parties.

As Project Agent, the Executive Officer of the FTB will act on behalf of the Director of DCSS in carrying out the following responsibilities:

- Developing and maintaining a project management plan and project schedule for the overall CCSAS Project
- Developing and executing a procurement plan consistent with program goals and objectives
- Qualifying business partners for participation in procurement of CCSAS
- Evaluating and selecting business partners for contract award
- Signing all contract terms and conditions for consulting, development, maintenance and related services necessary for implementation of the CCSAS
- Managing, directing, executing and coordinating all engineering and management activities associated with developing, implementing and maintaining the statewide system consistent with the goals of the Project Owner

Specific responsibilities of the Project Owner and Project Agent will be defined and maintained in an Interagency Agreement between the parties consistent with this charter.

Glossary of Terms

Term	*Definition*
Administration for Children and Families (ACF)	The federal agency, which administers the child support program nationally. ACF is a division in the Department of Health and Human Services (DHHS) that houses the Office of Child Support Enforcement (OCSE).
Allocation	The first step in the distribution process to apportion a child support payment among two or more cases/children for which the non-custodial parent is the obligor.
Annual Automation Cooperation Agreement (AACA)	Annual Automation Cooperation Agreement (AACA) is an agreement entered into between the District Attorney (will be the Local Child Support Agency after the county transition) of each county and the Department of Child Support Services, developed in consultation with FTB. This document describes state and county responsibilities, activities, milestones and consequences as it relates to child support automation. The agreement sets forth requirements that must be met for a county to receive state and federal funding for automation activities of the child support program. Welfare & Institutions Code Section 10081(a)
Automated System Objectives (ASO)	A set of objectives developed from the Project Charter business goals, which describe desired capabilities of the statewide system.
Best Practices	A systematic process for evaluating the products, services and work processes of organizations that are recognized as representing good working models for the purpose of promoting organizational improvement.
Business Goals	The compilation of successful statewide policies, procedures and guidelines that have as their goal the improvement and standardization of the Child Support Program
Business Process Models	A graphical or textual representation of the major business functions within an entity and their decomposition into categories of processes within functions and subcategories of major processes.
Business Requirements	The set of required functional and technical capabilities of the system. Requirements may be derived or based upon interpretation of stated requirements to assist in providing a common understanding of the desired operational characteristics of a system.
Business Requirements Specification (BRS)	A contractual document that is the basis for acceptance testing and which identifies the essential needs for a system.

Term	Definition
California Arrearages Management Project (CAMP)	Child support accounts receivable management system that replaces the functionality of the Non Tax Debt (NTD) system. CAMP consists of two components--the collection system, the Computer Assisted Collection System for Government (CACSG), and the front-end interface, Client Services Interface (CSI).
California Central Registry (CCR)	A centralized unit, maintained by every state IV-D agency, that is responsible for receiving, reviewing, and distributing interstate case documentation and responding to inquiries on interstate IV-D cases.
California Child Support Automation System (CCSAS)	Term defining the single statewide automated child support enforcement system that must be operated in all counties and will include a Statewide Disbursement Unit (SDU), a State Case Registry (SCR), and other necessary databases and interfaces.
California Parent Locator Service (CPLS)	The organization that provides locate services by obtaining information from sources such as the Federal Parent Locator Service, Department of Justice's Criminal History records, the Department of Motor Vehicles, the Employment Development Department, the Franchise Tax Board, and the Property Tax Exemption File.
CalServ Middleware Project	An automation project intended to provide a standardized interface to all counties running one of the four welfare systems and which must interface with the single statewide child support automation system.
Case	A collection of members associated with a particular child support order, court hearing, and/or request for IV-D services. Every child support case has a unique Case Identification (ID) number and, in addition to names and identifying information about its members, includes information such as custodial party and non-custodial parent wage data, court order details, and non-custodial parent payment history
Case Member	A participant in a IV-D case (e.g., a custodial party, non-custodial parent and/or a child). A Case Member can be a participant in more than one case.
Case Worker	Person or persons responsible for the management of IV-D cases, also known as Family Support Officer or Case Manager.
Child Support	The legal obligation of parents to provide financial support for their minor children, enforceable in both civil and criminal contexts. Child support can be entered into voluntarily or ordered by a court or properly empowered administrative agency. Child support includes medical support and interest on delinquent child support obligations.
Child Support Program (CSP)	The program administered by the Department of Child Support Services, in cooperation with Local child

Term	Definition
	support agencies to locate parents, establish, enforce and modify child support, and collect and distribute child support.
Configuration Management	A discipline applying technical and administrative direction and surveillance to identify and document the functional and physical characteristics of a configuration item, control changes to those characteristics, record and report change processing and implementation status, and verify compliance with specified requirements.
Interagency Agreement	An agreement between the Project Owner (DCSS) and the Project Agent (FTB) to procure, develop, implement and maintain a single statewide automated child support system.
Critical Success Factors (CSF)	Factors derived from the business and technical goals that represent the significant measures of contractor performance for the basis of compensation.
CSP Decision Makers	State and/or local officials who have authority over the administration of some aspect of the Child Support Program (e.g., DCSS management, Health and Human Services Agency officials, Local Child Support Agency officials).
Custodial Party	The party having primary physical custody of the child(ren). May be a parent, relative or other caretaker including foster parent or group home.
Deliverables	Any measurable, tangible, verifiable outcome, result, or item that must be produced to complete a project or part of a project.
Department of Information Technology (DOIT)	The department in the State of California that has oversight responsibility for all automated system projects developed or contracted for by state departments.
Department of Child Support Services (DCSS)	The department designated as the single state department responsible for operating the Child Support Enforcement Program.
Disbursement	The dispensing or paying out of collected child support. The process of identifying payees and preparing warrants for submission to those payees.
Distribution	The application of monies to specific accounts to determine the appropriate disbursement of monies. Applying monies to specific debt types within a case via the approved Department of Child Support Services algorithm, after initial allocation (multiple case scenarios only) has been performed.
End-Users	The individual or groups who will use the system for its intended operational use when it is deployed in its environment.
Federal Advanced Planning Documents (APD)	Documents (i.e., Advance Planning Document (APD) submitted for federal approval that provides the data

Term	Definition
	required to determine the funding levels for a State's automation project. APDs also provide State and Federal Government with the data to monitor the project's progress. There are two major types of APDs, Planning (PAPD) and Implementation (IAPD), as well as two major types of APD Updates (APDU), annual and as needed.
Federal Certification Requirements	A set of automated system federal business requirements, which must be complied with by a state in order to receive enhanced funding and be eligible for certification that the automated system meets all criteria.
Financial Institutions Data Match (FIDM)	A process to match non-custodial parents against the state's financial institutions to verify any assets (such as bank account balances) that may be seized to pay support delinquencies.
Franchise Tax Board (FTB)	The official taxing authority for the State of California that has been designated the Project Agent for the statewide automated child support system.
Independent Verification and Validation (IV&V)	An independent appraisal of a system's development project, ensuring the right product is built, and built correctly.
Interjurisdictional	Relations between two or more jurisdictions (i.e., separate entities with their own authority and power) to enforce child support orders and/or provide service to Case Members. Jurisdictions can include counties, other states, United States possessions, foreign countries, and/or tribal councils.
Invitation to Partner	A formal, published document inviting the systems development community to receive information on the conceptual proposal process.
IV-D	Refers to Part D of Title IV of the Social Security Act, which requires that each state create programs to locate non-custodial parents, establish paternity, establish and enforce child support obligations, and collect and distribute support payments. A IV-D case means any case established, modified or enforced by the Local Child Support Agency pursuant to 42 U.S.C. All recipients of public assistance (usually TANF) are referred to their state's IV-D child support program. States must also accept applications from families who do not receive public assistance to assist in collection of child support. Title IV-D also established the Federal Office of Child Support Enforcement.
IV-D Fund Management	A process to track all federal and state incentive payments to local IV-D agencies, all administrative claims and reimbursement to local IV-D agencies, and all state costs associated with the administration of the IV-D program.

Term	Definition
Judicial Council (of California)	The state agency headed by the Chief Justice that administers the courts to assure uniform policies and administrative requirements throughout the State court system.
Local Child Support Agency	The county Department of Child Support Services with which the State Department of Child Support Services has entered into a cooperative agreement to secure child/spousal support, medical support, and to determine paternity. The Local Child Support Agency is separate and independent from any other county department.
Non IV-D	A child support case not enforced by a Child Support IV-D office.
Non-Custodial Parent (NCP)	The legal parent (natural, adoptive or by legal ruling) who does not have primary care, custody, or control of the child and has a legal obligation to provide support. Also referred to as Absent Parent, Respondent, Defendant, Payer, Obligor.
Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA)	Welfare reform legislation that provides a number of requirements for employers, public licensing agencies, financial institutions, as well as state and federal child support agencies, to assist in the location of non-custodial parents and the establishment, enforcement, and collection of child support. It amended the Social Security Act to increase federal automation requirements y requiring all states to establish and operate a State Disbursement Unit and a State Case Registry, the New Hire Reporting program and the State and Federal Case Registries.
Pre-Statewide Interim Systems Management (PRISM) project	Project managed by DCSS, formerly management by the California Health and Human Services Agency Data Center (HHSDC), responsible for administration and oversight of the interim child support consortia systems pending the development and implementation of the single statewide system by the Franchise Tax Board. Activities include: Technical oversight of county legacy and interim consortia systems; assisting transition from county legacy systems to interim systems; and establishing and maintaining an interim Federal Case Registry (FCR) interface.
Project Business Analysis	A process to support the Business Goals and further refine the system capabilities scope by analyzing business processes with the user community.
Project Deliverables	A series of identified products, such as design documents, management plans, change order processes, configuration approaches, etc., to be delivered by the successful vendor.
Project Life Cycle	The scope of the system or product evolution beginning with the identification of a perceived customer need,

Term	Definition
	addressing development, testing, manufacturing, operation, support and training activities, continuing through various upgrades or evolutions, until the product and its related processes are disposed of.
Project Management Plan	The planned application of knowledge, skills, tools and techniques to project activities in order to meet or exceed stakeholder needs and expectations from a project.
Project Oversight Bureau	A bureau within the Franchise Tax Board (FTB) that provides high-level oversight of all automation projects within FTB and assures processes have been adhered to during the project life cycle.
Project Scope	A set of boundaries, defined by the Project Owner, the Charter Steering Committee, and stakeholders, that helps the project prioritize those elements that will be included in the automation effort.
Quality Assurance (QA)	The process of evaluating overall project performance on a regular basis to provide confidence that the project will satisfy the relevant quality standards.
Qualified Partners	Potential vendors who have met pre-qualifying criteria based on past performance and who are permitted to participate in the Solicitation for Conceptual Proposal process.
Risk Management	An organized, analytic process to identify what can go wrong, to quantify and assess associated risks, and to implement/control the appropriate approach for preventing or handling each risk identified.
Software Quality Metrics	A quantitative measure of the degree to which an item possesses a given quality or attribute.
Solicitation for Conceptual Proposal (SCP)	The alternative procurement version of a Request for Proposal
Stakeholders	Individuals and organizations who are involved in or may be affected by project activities.
State Disbursement Unit (SDU)	PRWORA requires all states to establish and operate a centralized State Disbursement Unit (SDU) to collect and disburse child support payments. The SDU must be the single location for employers, other states, and federal agencies to send child support payments for all IV-D cases and non IV-D orders (issued after January 1, 1994) enforced through wage withholding.
Temporary Assistance to Needy Families (TANF)	Time-limited public assistance payments made to families, based on Title IV-A of the Social Security Act. TANF replaced Aid to Families with Dependent Children (AFDC). When the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) was signed into law in 1996. The program provides parents with job preparation, work, and support

Term	Definition
	services to help them become self-sufficient. Applicants for TANF benefits are automatically referred to their State IV-D agency in order to establish paternity and child support for their children from the non-custodial parent. This allows the state to recoup or defray some of its public assistance expenditures with funds from the non-custodial parent.
Third Parties	Organizations (typically governmental) who exchange case member and financial data with the Child Support Program.
Undistributed Collections	Support payments that cannot be disbursed because the identity of the payer is unknown or the address of the payee is unknown.
Wage Assignment	An action to transfer (or assign) portions of future wage payments (e.g. insurance premium deductions, credit union deductions) to pay certain debts, such as child support.

EXHIBIT

CALIFORNIA CHILD SUPPORT AUTOMATION SYSTEM
Goal Sets and Goals

GOAL SET 1.0 Increase Performance, Accuracy and Timeliness	
No.	**Goal Description**
1.1	Maximize state and local CSP performance as defined by established program service delivery requirements (e.g., best practices, performance standards, uniformity, and staffing ratios).
1.2	Maximize state CSP performance as defined by federal performance incentive criteria to optimize federal funding to the state.
1.3	Maximize state CSP performance as defined by federal case processing timeliness requirements to enable CSP staff to accurately establish and enforce orders and process payments within state and federal timeframes

GOAL SET 2.0 Improve Service Provided to Case Members	
No.	**Goal Description**
2.1	Increase ability of case members to review and update their pertinent case file information to enlist case member participation and maximize performance.
2.2	Maximize the convenience and timeliness of the case intake process to enlist case member participation in obtaining complete information.
2.3	Maximize convenience and accuracy of service of process to enlist case member participation.
2.4	Maximize convenience of delivery of case-related documents to enlist case member participation.
2.5	Maximize the access and usefulness of case-related documents to enlist case member response and participation.
2.6	Increase timeliness, accuracy and convenience of problem and complaint resolution for case members to increase case member satisfaction.
2.7	Increase case member awareness of CSP services, and how those services are delivered.
2.8	Increase the ease and convenience for NCPs to make their payments.
2.9	Maximize opportunities to improve relationships among case members.
2.10	Ensure timely, accurate and convenient employer payment processing and allocation of payments for the custodial parties to reduce delays in payment delivery.
2.11	Maximize the convenience and accessibility of pertinent payment receipt and disbursement information to case members to increase their satisfaction.
2.12	Ensure the development of timely, accurate and convenient problem and complaint resolution processes and procedures to increase CSP responsiveness to case members.

GOAL SET 3.0 Increase Case Worker Efficiency and Effectiveness	
No.	**Goal Description**
3.1	Ensure that accurate, consistent and current case information is readily available to state and local CSP staff to perform their jobs efficiently and correctly.
3.2	Maximize ease of access to the information necessary for the caseworkers to complete all case member functions and respond to case member inquiries.
3.3	Ensure that forms provided to caseworkers are uniform and contain accurate information so that the forms require minimum caseworker input
3.4	Ensure availability of all case information (including historical information) to any caseworker statewide to facilitate problem resolution with case members.
3.5	Maximize the ability of the caseworker to exchange accurate, pertinent case information to schedule actions with local legal staff to schedule and obtain timely legal action.
3.6	Reduce the time and cost to the state/local CSP of providing case-related information to case members.
3.7	Enable assignment of cases based on reasonable and equitable caseload standards.
3.8	Maximize simplification of the system to minimize errors and increase caseworker efficiency.
3.9	Ensure county to county collaboration to facilitate efficient case processing
3.10	Provide enhanced automation capabilities to streamline all functional areas (e.g. establishment, locate and enforcement) and take or prompt the next appropriate action.

GOAL SET 4.0 Improve Data Quality, Privacy and Confidentiality	
No.	**Goal Description**
4.1	Ensure timeliness, consistency, accuracy and completeness of data maintained within the CSP to support data quality.
4.2	Minimize the capture and retention of data not required for conducting CSP processes.
4.3	Increase system and procedural safeguards and audit trails to prevent access to CSP data by unauthorized individuals internal and external to the program.
4.4	Increase system and procedural safeguards to prevent improper disclosure of data maintained within the CSP.
4.5	Reduce the effort that it takes to correct inaccurate or incomplete data within the CSP to protect individuals.
4.6	Reduce the effort that it takes to correct inaccurate or incomplete data disseminated to or accepted from Third Parties.
4.7	Increase system and procedural safeguards to prevent access to Third Party data by unauthorized individuals internal and external to the program.
4.8	Ensure sensitive case information is available to authorized CSP staff (e.g., case member with a history of violence).

GOAL SET 5.0 Enable Data-Driven Decision Making and Performance Measurement	
No.	**Goal Description**
5.1	Ensure necessary statistical, financial and program management information is available to all CSP decision-makers for timely and informed analysis of the impact of proposed federal and state mandates.
5.2	Ensure necessary statistical, financial and program management information is available to all CSP decision-makers for timely and informed evaluation of the implementation of federal and state mandates.
5.3	Ensure necessary statistical, financial and program management information is available to all CSP decision makers to enable them to evaluate problems identified by audits, advocacy groups, lawsuits, local agencies and case members and others to stimulate state and local program improvement.
5.4	Maximize availability of statistical, financial and program management information to all CSP decision-makers to enable them to identify and evaluate program improvement opportunities (e.g. best practices, demo projects).
5.5	Maximize availability of program management information to all CSP decision-makers enabling them to identify and evaluate state and local CSP operations to most effectively use existing resources (e.g. staffing levels and deployment, organizational structure).
5.6	Maximize availability of program management information to all CSP decision makers enabling them to identify and evaluate state and local CSP resource needs to support budgeting, staffing and equipment acquisition decisions.
5.7	Ensure uniform statewide application of data definitions by all CSP staff for accurate reporting of federally required statistical and financial information.
5.8	Ensure uniform statewide application of data definitions by all CSP staff for accurate reporting of state mandated statistical and financial information.
5.9	Ensure availability of standard statistical and financial data to support local CSP decision-making and performance monitoring.

GOAL SET 5.0 Enable Data-Driven Decision Making and Performance Measurement	
No.	**Goal Description**
5.10	Ensure availability of financial information necessary for managing CSP financial processes.
5.11	Ensure availability of statistical, financial and program management information and tools to support monitoring of local CSP operations.
5.12	Ensure availability of statistical, financial and program management information to support state and federal audits.
5.13	Ensure availability of management reports for monitoring and evaluating both employee, office/unit and program performance.
5.14	Increase availability of statistical information to the community at large.

GOAL SET 6.0 Improve Employer Relationships	
No.	**Goal Description**
6.1	Ensure that data (e.g. case member and wage assignment-related data) transmitted from the CSP to employers is accurate, timely and consistent to reduce employer workload.
6.2	Ensure that employers have an easy and convenient way to send employee remittance data to the state CSP to facilitate timely payment processing by the state.
6.3	Maximize the accuracy and consistency of employee/employer data sent from employers to the state CSP to eliminate payment-processing errors.
6.4	Minimize the number of input points required for employers to submit employee non-remittance data (e.g., employment verification and medical/health insurance), thereby increasing the efficiency of employer interactions with the CSP.
6.5	Ensure that employers can send payments (i.e. remittance data) to a central location to facilitate timely payment processing by the state CSP.
6.6	Ensure that multiple wage assignment information sent to employers by CSP simplifies their efforts to comply with payment submission requirements.
6.7	Maximize convenience, speed and accuracy of interactions between the CSP and employers to facilitate timely response to questions and problem resolution.
6.8	Ensure timely and accurate communication of program changes through outreach and education to facilitate employer compliance with CSP requirements.
6.9	Minimize the number of employer contacts by fully utilizing existing third party data resources.

GOAL SET 7.0 Improve Financial Institution Relationships	
No.	**Goal Description**
7.1	Maximize the ability for financial institutions to comply with state and federal financial data matches for locating assets .
7.2	Maximize the ability for financial institutions to comply with liens and levies so that the institutions can respond timely.
7.3	Maximize SDU reconciliation and accounting capabilities for exchanging data with financial institutions to facilitate cooperation.
7.4	Maximize ease and convenience for financial institutions to get answers to questions and resolve issues to facilitate cooperation.
7.5	Maximize ease and efficiency of SDU cashiering and disbursing function between state and financial institutions so that the state can expedite payment to the CP.
7.6	Ensure timely and accurate communication of program changes through outreach and education to facilitate financial institution compliance with CSP requirements.

GOAL SET 8.0 Ease Impact of Centralized Collection and Distributions on Non IV-D Population	
No.	**Goal Description**
8.1	Ensure timely, accurate and convenient employer payment processing and allocation of payments for the non IV-D population to reduce delays in payment delivery to custodial parties.
8.2	Maximize the convenience and accessibility of pertinent payment receipt and disbursement information to non IV-D payer and payees to increase their satisfaction.
8.3	Ensure the development of timely, accurate and convenient problem and complaint resolution processes and procedures to increase CSP responsiveness to the non IV-D population.
8.4	Maximize accessibility of timely and accurate payment and disbursement information to case worker to facilitate complaint resolution for non IV-D population.
8.5	Maximize convenience for collection of payment processing information from the non IV-D population to facilitate payment processing.
8.6	Ensure timely and accurate communication of program changes through outreach and education to facilitate compliance with CSP requirements.

GOAL SET 9.0 Improve Centralized CSP Operations Effectiveness and Efficiency	
No.	**Goal Description**
9.1	Ensure that state CSP staff has access to the tools and case member and financial information to support consistent best practices in statewide operations.
9.2	Ensure state level CSP staff has necessary tools and case member and financial information to support local operations and customer service.
9.3	Ensure effective levels of technologies and resources to support centralized automation and improve the timeliness and quality of CSP processing statewide.
9.4	Minimize the pool of undistributed collections statewide to increase disbursement to families.

GOAL SET 10.0 Improve Third Party Interactions	
No.	**Goal Description**
10.1	Minimize duplication of case member and financial data exchanged in interfaces with third parties to avoid confusion and inaccuracies in data reconciliation.
10.2	Maximize efficiency and timeliness of case member and financial data exchanges in interfaces between CSP and third parties to capture and provide up-to-date information.
10.3	Maximize the use of verification processes that ensure the accuracy of data exchanged in interfaces between CSP and external interfaces.
10.4	Ensure a complaint resolution process exists between CSP and third parties that exchange data with CSP through interfaces to enable CSP to identify, resolve and correct problems.
10.5	Ensure a complaint resolution process exists to quickly identify and correct interface data exchange problems experienced by local agencies.
10.6	Ensure that there is one location in the state for third parties to send payments (e.g., intercepts) and supporting case member and financial data for timely, efficient and accurate processing.

GOAL SET 11.0 Improve Interjurisditional Case Processing Effectiveness and Efficiency	
No.	**Goal Description**
11.1	Maximize ability for caseworkers to exchange interjurisdictional case member information to achieve timely and accurate case processing.
11.2	Ensure that CSP has an easy and convenient way to exchange remittance data between jurisdictions to facilitate timely payment.
11.3	Maximize the convenience, timeliness and accuracy of interactions between CSP and other jurisdictions to facilitate response to questions and problem resolution.
11.4	Increase the ability of CSP to respond to Administrative Enforcement Interstate (AEI) requests from other jurisdictions to improve collections.
11.5	Minimize CSP's acceptance of inaccurate information from other jurisdictions.

GOAL SET 12.0 Improve CSP Interactions With Courts/Judicial Council	
No.	**Goal Description**
12.1	Maximize the ability of the CSP staff to exchange accurate and pertinent case information with the courts to schedule court dates and obtain timely legal action.
12.2	Increase the effectiveness and efficiency of filing legal documents to establish, modify, and enforce support for case members.
12.3	Maximize the ability to timely and accurately accept court order related data for the Support Order Registry.
12.4	Ensure CSP's usage of standardized Judicial Council forms to facilitate consistent case processing statewide.
12.5	Minimize the impact of local court rules on the CSP through outreach and education to facilitate uniform case processing statewide.

GOAL SET 13.0 Meet Federal Requirements	
No.	**Goal Description**
13.1	Ensure that the CSP implements a statewide automated system that meets federal certification requirements.
13.2	Ensure that the CSP implements a federally approved State Disbursement Unit (SDU).
13.3	Ensure that CSP operations, which may be subject to audit, are compliant to avoid federal sanctions against the State.

California Department of Child Support Services…

A New Beginning

August 2000

TABLE OF CONTENTS

INTRODUCTION 1
BACKGROUND 1
REFORM LEGISLATION 2
STATEWIDE CHILD SUPPORT PROGRAM 4
BUILDING THE NEW STATE DEPARTMENT 4
DCSS ORGANIZATIONAL DESIGN 5
DCSS ORGANIZATIONAL DEFINITIONS 6
EXECUTIVE TEAM MEMBERS 8
ORGANIZATIONAL DEVELOPMENT 11
OPERATING PHILOSOPHY AND STYLE 13
MAJOR EFFORTS UNDERWAY 13
Strategic Planning 14
Mission 14
Values 15
Commitment to Children 15
Collectibility Study 16
Program Policies & Procedures (P3) Project 17
Customer Service Initiative 18
County Transitions Project 19
Training Project 20
Demonstration Projects 21
PRISM Project 22
CAMP Project 23
CCSAS Project 24
CONCLUSION 25

INTRODUCTION

In recent years, California's child support program came under increasing scrutiny and criticism from the Legislature, child support advocates, and its customers and oversight agencies. All of these groups charged that the program as previously structured did not effectively collect support for California's children. In particular, a program operated independently by 58 county district attorney's, without strong state leadership, does not serve parents or children in a fair, uniform or consistent manner. Further, the amount collected in support of children was deemed to be unacceptable. In a few words, complaints abound from all involved and few were happy with the service provided.

The child support reform legislation established DCSS to address these problems specifically and made the Director responsible for restructuring the program. The legislation requires a state directed, locally delivered child support program that is administered uniformly across all 58 counties.

After seven months, DCSS has made significant strides toward meeting the legislative goals. The organizational structure of the new department has been established; key executive appointments have been made; major policy efforts have been initiated; a county transition plan has been developed and started; and automation projects are moving forward. Although much remains to be done, the new child support program for California is well underway and prepared to better serve California's children and families.

BACKGROUND

The California Legislature enacted and Governor Davis signed child support reform legislation that included creation of DCSS effective January 1, 2000. DCSS was established to create a new paradigm for delivery of child support services and collection activities that are to be administered uniformly and equitably throughout the state. DCSS is responsible for the administration of all services and performs all functions necessary to establish, collect and distribute child support in California, including determining paternity, securing child support, medical support and enforcing child support orders.

DCSS is required to provide strong state leadership over newly established local child support agencies in each county and will be working with other stakeholders to ensure child support mandates are met. The legislation requires a report to the Governor, the Legislature and

the public by January 1, 2001 that outlines the DCSS plan for consolidating state and local child support services and collection activities.

REFORM LEGISLATION

Five significant pieces of legislation were passed into law that reformed the structure, responsibility and accountability for administration of the California child support program. This legislative reform package mandates a state administered, locally delivered child support program and places responsibility to meet all state and federal requirements, including implementation of a single, statewide automated system with the new DCSS. The legislative reform package included the following bills:

- AB 196 (Kuehl) Chapter 478, Statutes of 1999
- SB 542 (Burton/Shiff) Chapter 480, Statutes of 1999
- AB 150 (Aroner) Chapter 479, Statutes of 1999
- AB 1111 (Aroner) Chapter 147, Statutes of 1999
- AB 472 (Aroner) Chapter 803, Statutes of 1999

AB 196

Assembly Bill 196, signed by the Governor on September 24, 1999, created DCSS effective January 1, 2000. This legislation also transferred local child support responsibility from the District Attorney to a new local child support agency no later than December 31, 2002. The legislation mandates DCSS to perform all functions necessary to establish, collect, and distribute child support and designates DCSS as the single organizational unit responsible for administering the statewide child support program.

AB 196 also mandated that DCSS develop statewide performance standards for the new program. The legislatively mandated areas for defining performance measures and outcomes are:

- Uniform procedures and forms;
- Standard casework to staffing ratios;
- Standard attorney to casework ratios;
- Case closure;
- Best practices;
- Collection priorities; and
- Uniform training protocols.

Based on the overall thrust of the reform legislation and strong stakeholder input, customer service was added by DCSS as another area for establishing performance standards for the new program. The

department is required to adopt performance standards for the statewide program by January 2001 and adopt related regulations by July 2001.

SB 542

Senate Bill 542 expanded the Franchise Tax Board (FTB) role in collecting child support arrearages. The criteria for referral of arrearage collections to FTB were changed significantly and are anticipated to generate considerable increases in child support collections. When fully implemented, the automated system will provide improved collections on arrearage cases based on the ability to collect characteristics of the child support obligor.

AB 150

Assembly Bill 150 designated the FTB, as an agent of DCSS, as the organizational entity responsible for the procurement, development, implementation and maintenance of the operation of the California Child Support Automation System (CCSAS) in all counties. When implemented, CCSAS will meet the Office of Child Support Enforcement (OCSE) requirement to implement a single, statewide automation system. AB 150 required the California Health & Human Services Agency (CHHS), DCSS and FTB to develop a charter establishing a governance structure, business requirements, project scope, performance measures and contract authority.

AB 1111

Assembly Bill 1111 restructured child support program funding to give DCSS the authority to determine local budgets. The legislation mandates distribution of the federal financial participation incentive funding to counties based on their performance and statewide collections. AB 1111 requires DCSS to implement an incentive program that rewards up to 10 local child support agencies each year, based on their proportional level of collections and their increase in performance over the prior year. This legislation also sets out funding guidelines for budgeting of allowable administrative costs incurred by counties to be paid by DCSS.

AB 472

Assembly Bill 472 mandates that uniform complaint resolution and fair hearing processes for both custodial and non-custodial parents be established by regulation no later than July 1, 2001. The statute permits parents to file a complaint and requires the resolution by the local child support agency within 30 days of receipt of the complaint. If unsatisfied with the local child support agency's resolution, parents have the right to a state fair hearing conducted by an administrative law judge.

STATEWIDE CHILD SUPPORT PROGRAM

California's children have the right to be supported by both parents financially, medically and emotionally. DCSS is committed to ensuring that California's children are given every advantage in obtaining these rights in a fair and consistent manner throughout the state. DCSS is also committed to providing the highest quality services and collection activities in the most efficient and effective manner possible. Toward that end, development of the statewide program will be done collaboratively with the program's employees, customers and stakeholders. The DCSS executive team is dedicated to making California's child support program the most innovative and highest performing program in the nation.

The guiding principles of *inclusion* and *collaboration* will provide the cornerstones for establishing structured processes for decision-making, priority setting, and performance evaluation of the program.

BUILDING THE NEW STATE DEPARTMENT

A cornerstone of the new legislation was the establishment of DCSS. Thus a top priority of the department was to establish an organizational infrastructure and design that reflects the program values and enables staff to excel in achieving the department's mission. The program will develop over the next several years and the DCSS executive team recognizes that the organizational structure necessary to support the program also will evolve over time.

The original Budget Change Proposal creating DCSS was a "best guess" of what structure and resources DCSS would need to establish a new state department and develop the new statewide child support program. Based on the operating experience gained during the initial months and stakeholder input, DCSS executive staff fined-tuned the DCSS organizational design in order to better contribute to and support accomplishment of the overall task of re-engineering California's child support program by:

- Reflecting more clearly the values inherent in the child support program and service philosophy contained in authorizing statute.

- Establishing a state leadership structure that can effectively process significant new policy development activities, carry out many difficult and complicated start up and redesign tasks (including current and proposed automation), and continue to handle uninterrupted ongoing business requirements and workload in a "sea of change."

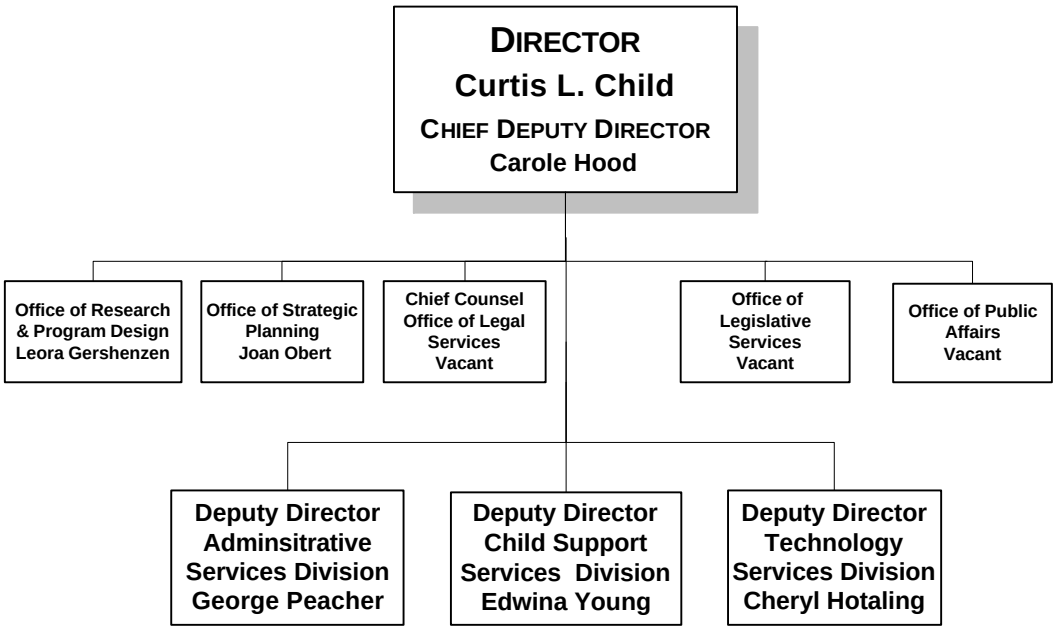
- Enhancing the ability for strong partnerships with the child support community, particularly with those responsible for administering, supporting and/or interfacing with the child support program.

- Establishing clear lines of responsibility and accountability through the organizational design by eliminating (or at least lessening) possible overlap, duplication or confusion caused by more than one unit having responsibility for similar functions.

- Building the capability for establishing a skilled and stable workforce at the state and local levels that can provide superior service in a uniform, consistent, fair and responsive manner to all of our customers.

DCSS ORGANIZATIONAL DESIGN

The department, when fully staffed, will have approximately 240 state employees plus various contract staff. The organization will have three divisions—a central program division and two support divisions, Administrative Services and Technology Services. Almost one-half of the employees are slated for the Child Support Services Division and a newly created Office of Research & Program Design.



DCSS ORGANIZATIONAL DEFINITIONS

Brief descriptions of the key organizational units follow:

Director and Chief Deputy Director

The directorate consists of the Director and Chief Deputy Director. The Director is responsible for development, implementation and maintenance of the statewide child support program and ensuring the department's mission to serve California's children is met. The Chief Deputy Director is primarily responsible for the day-to-day internal operations of DCSS and ensuring that the required responsibilities are successfully performed.

Office of Research & Program Design

The mission of the *Office of Research and Program Design* is to develop, evaluate, and support innovative projects and practices that enhance child support operations throughout the state. The office performs research activities that evaluate best practices, seeks grants and other funding opportunities to test program improvements and assesses performance of the child support program through collection and analysis of data. The office will provide quality assurance for reports and documents published by the department to ensure consistency and data accuracy in reporting. The office also manages all child support demonstration projects, evaluates project results and makes recommendations for child support program implementation. This includes collaboration projects with other organizations interested in exploring potential program improvements. This is a new statewide function and will include professional researchers and analysts.

Office of Strategic Planning

The *Office of Strategic Planning* is responsible for facilitating strategic business and IT planning activities throughout the department. This includes establishing and maintaining structured processes for monitoring and evaluating progress toward reaching the program's strategic goals. In addition, the office is responsible for assisting Divisions/Sections in developing their operational business plans.

Office of Legal Services

The *Office of Legal Services* is responsible for providing litigation support and other legal services and conducting special investigations for the department. This includes providing legal representation in personnel adverse actions and discrimination complaints. The Office also provides

consultation to DCSS staff on the development of policies, practices and regulations. The office will also be responsible for coordinating all child support litigation throughout the state.

Office of Legislative Services

The *Office of Legislative Services* is responsible for the planning, coordination and implementation of the department's legislative program. This includes representing DCSS' position on state and federal legislation, promoting the department's legislative proposals, and serving as a liaison between the department and the Legislature.

Office of Public Affairs

The *Office of Public Affairs* is responsible for all interaction with the media in the department's behalf. The Chief serves as Public Information Officer (PIO) and is responsible for environmental scanning of news articles and other publications on child support issues, coordination and review of outreach and education activities, reviewing documents for publication, and developing innovative methods for generating child support awareness.

Child Support Services Division

The Child Support Services Division of DCSS is the heart of the department provides delivery of child support program policy, operations, support and services. The division consists of three inter-related branches structured to support the delivery of services in a consistent, efficient and effective manner in every county throughout the state. The division also provides policy-level support to the statewide automation system development activities being conducted by Franchise Tax Board (FTB). This division provides functional responsibility, leadership and guidance for the development and implementation of the new regional offices established to help administer of the statewide child support program.

The Child Support Services Division is comprised of the following three branches and two individual units. The Statewide Consulting Unit is responsible for providing policy and operational support and analysis to the CCSAS Project. The Regional Support Unit will provide assistance and support to the Regional Administrators. The three branches include:

- Policy Branch;
- Customer & Community Services Branch; and
- County Support Branch.

Administrative Services Division

The Administrative Services Division is responsible for providing financial and personnel services to DCSS. These responsibilities include, but are not limited to, financial management, budgeting and accounting, personnel, labor relations, contracts, and business services functions. The Administrative Services Division is comprised of the following two branches:

- Financial Services Branch; and
- Administrative Resources Branch.

Technology Services Division

The Technology Services Division is responsible for providing information technology services and products in support of DCSS programs and automation projects. The Technology Services Division is comprised of the following three branches and two independent sections:

- Pre-Statewide Interim Systems Management (PRISM) Branch;
- Systems Support Branch;
- Automation Approvals/Departmental Automation Branch;
- Application Support Section; and
- IT Infrastructure Section.

EXECUTIVE TEAM MEMBERS

Strong leadership is a critical success factor in creating the department and developing the new child support program. The Bureau of State Audits (BSA) recently identified the lack of leadership as a primary reason for previous failed efforts to implement a statewide child support program. The report recommends:

> The Governor and Legislature should appoint to leadership positions only qualified individuals capable of providing the authority, motivation, direction, and effective oversight needed to significantly improve the Child Support Enforcement Program (CSEP) in California.

Appointments to the DCSS Directorate and executive level team have addressed this recommendation directly. Most of the executive team has been appointed, with recruitment for the three remaining positions (Chief Counsel, Assistant Director Office of Legislative Services, and Assistant Director Office of Public Affairs) in process. The executive team consists of people who have been selected based on their individual knowledge, skills, abilities, prior experience and strong leadership strengths. The executive team members together bring the necessary leadership to

ensure the new child support program and statewide automated system to support it are implemented successfully.

Director

On February 10, 2000 the Governor appointed the first Director of DCSS, Curtis L. Child. Previously, Mr. Child served as the Principal Consultant to the Assembly Human Services Committee, a position he held since 1997. In that position he assisted in crafting California's welfare and child support reform legislation. Prior to his appointment, Mr. Child was an attorney with various legal aid organizations where he litigated and advocated on child support, public benefits and health care issues. He also served as project director for the Child Support Assurance Project and on the Board of Trustees for the Association for Children for the Enforcement of Support (ACES). He is a member of the California and Utah State Bar Associations.

Chief Deputy Director

The Governor appointed Chief Deputy Director Carole A. Hood in May 2000. Ms. Hood brings to the position many years of experience and expertise in children and family issues. As Chief Executive Officer of the Alliance of Children and Family Services, Ms. Hood headed one of the largest non-profit organizations for children and family services in California. Prior to that position, Ms. Hood had 22 years of experience in State government, including serving as Chief Deputy Director of the Departments of Mental Health, Social Services (DSS) and Developmental Services. Ms. Hood also served as Deputy Secretary of the California Health and Human Services Agency (formerly Health and Welfare Agency) and Interim Director for the Department of Alcohol and Drug Program.

Deputy Director, Child Support Services Division

The Governor appointed Edwina Young as Deputy Director, Child Support Services Division in May 2000. Ms. Young has 35 years of experience working in child support services. Before joining DCSS, Ms. Young served as the Director of the City and County of San Francisco District Attorney Family Support Bureau and Director of the Local Child Support Program since 1986. Ms. Young also served as regional representative for the Federal Office of Child Support Enforcement and administrator for the Los Angeles County Bureau of Child Support Operations. Ms. Young is known and respected throughout the nationwide child support community for her commitment to the child support program and children.

Deputy Director, Administrative Services Division

The Director appointed George Peacher as Deputy Director, Administrative Services Division in April 2000. Mr. Peacher brings over 25 years of experience in state government to this position. Mr. Peacher has a strong background in the application of fiscal policy as it relates to county government, including the development and application of government cost allocation principles. His most recent assignment before joining DCSS was Chief of the California Department of Child Support Services (CDSS) Fiscal Systems and Accounting Branch. As part of that assignment, he was instrumental in laying the groundwork for the new funding structure for the local child support agencies.

Deputy Director, Technology Services Division

The Director appointed Cheryl Hotaling as the Deputy Director, Technology Services Division in June 2000. Ms. Hotaling previously served as a Deputy Director for the California Health and Human Services Agency Data Center. She has over 20 years of experience in state government, including serving as the Project Director for two large IT statewide development efforts. During her career, Ms. Hotaling has managed a wide-range of technology functions, including application development, technical support, and client services. The Project Management Institute has certified Ms. Hotaling as a Project Management Professional. Ms. Hotaling also serves as the department's Chief Information Officer (CIO) and works closely with OCSE Division of Child Support Information Systems to ensure federal reporting and approval requirements are met for all child support program-related automation efforts.

Assistant Director, Office of Research & Program Design

Leora Gershenzon, appointed by the Governor on July 2000, comes to DCSS with a long history of experience as a child support advocate. She previously served as the directing attorney of the child support project for the National Center for Youth Law where she managed projects to improve child support enforcement in California. Ms. Gershenzon was an early supporter of the child support reform legislation that created DCSS and has worked closely with the child support program for the last seven years. Ms. Gershenzon is a member of the California Bar Association and brings to her position expertise on the laws, policies, and regulations that govern the California child support program.

Assistant Director, Office of Strategic Planning

Joan Obert, Assistant Director, Office of Strategic Planning, has 22 years of experience with California state government. Ms. Obert began her career at the Legislative Counsel Bureau/Legislative Data Center before

transferring to the FTB. Prior to assuming her DCSS position, Ms. Obert led the FTB Office of Corporate Planning where she developed structured strategic business, IT and operational planning processes for the department that included performance outcomes and measures. Ms. Obert has led numerous customer service, process analysis, and workflow redesign workshops. She has many years of experience in leading teams and facilitating communication and collaboration between individuals with diverse backgrounds and interests.

ORGANIZATIONAL DEVELOPMENT

Creating an entirely new department in California state government is a challenge. The steps required to build an infrastructure of people, processes and technology requires time, effort and patience. DCSS has embarked on a variety of critical tasks, including:

- Approximately 90 employees were transferred from the California Department of Social Services to DCSS. The employees have undergone a great deal of change related to the mandated child support program reforms, management structure, redesign of the department and workload reassignments, and lack of support infrastructure. The change management issues are many and complex for both county and state staff but in just a few short months, we are beginning to see signs of transformation.

- DCSS is also challenged to fill numerous vacancies throughout the organizational structure. Positions are available at all levels of management down to support positions. We are in the process of focused recruitment and hiring to staff up as soon as possible. Finding highly skilled qualified staff in today's job market is difficult; to find highly skilled qualified staff with solid child support program experience is extremely difficult. We are exploring all recruitment and hiring innovations available and will be diligent in finding the best possible candidates for the jobs available.

- DCSS executive management has been conducting workload analysis sessions to better understand both ongoing workload requirements and impacts proposed child support program improvements would have on our customers and employees. Workload priorities are being established and process re-design workshops are being held. Continuous improvement practices are being incorporated into new processes and procedures as they are developed.

- Currently, DCSS employees are located in three separate buildings and conduct day-to-day operations on two different technology infrastructure platforms. These physical constraints cause delays and make simple office automation tasks sometimes difficult and time-consuming. New employees are reporting to work on almost a weekly basis, each hire requiring the normal infrastructure set-up employees receive, i.e., telephone, computer, and access to printers, etc. In October 2000, DCSS will move to a new location in Rancho Cordova. All Sacramento-based employees will be located at the Rancho Cordova facility. The only other occupant of the building is the FTB CCSAS Project management and staff. This co-location of DCSS and FTB will facilitate communication and issue resolution processes throughout the statewide automation development effort. Once moved to the new location, all DCSS employees will be on the same network infrastructure and existing telecommunication issues will be resolved. Facilities planning and management activities are well underway for the October move.

- DCSS needs to develop, document and maintain all its operating processes and procedures. As a new department, DCSS must establish all necessary administrative policy. The administrative policies encompass a wide variety of procedures taken for granted in an established department, such as how to order supplies, how to file a travel claim, etc. Policies and regulations must also be developed for the new state administered, locally delivered child support program. Policy development and regulation adoption are arduous tasks and require staff to posses strong analytical and writing skills to perform well. Policy and procedure development is underway in both the administrative and program areas.

- The success of the CCSAS Project in delivering the single, statewide-automated system is directly linked to how well the system meets the new child support program needs. The difficulty lies in the pressure to start developing CCSAS while the program is still “under construction.” DCSS is committed to providing whatever resources, both state and county, necessary to ensure CCSAS meets the expectations of its customers and program stakeholders. This includes providing funding to counties who volunteer staff to participate. The principles of inclusion and collaboration have already produced results in the CCSAS Project start up activities, including stakeholder input into the goals of the automation effort.

OPERATING PHILOSOPHY AND STYLE

The DCSS executive team will operate in a manner consistent with DCSS core values to achieve the mission of California's child support program. Our operating style will be distinguished by our efforts to:

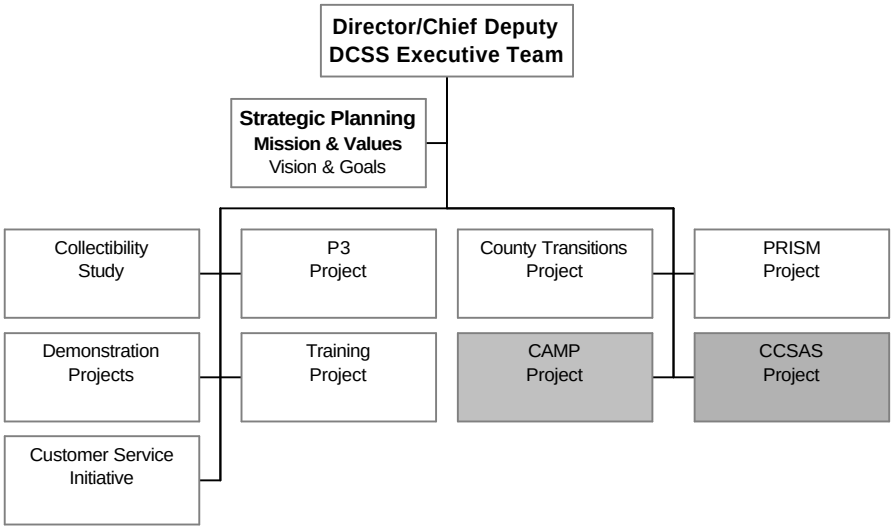
> Continually seek ***input*** from all stakeholders, including our own staff, and ***involving*** them in the process of determining the future direction of the child support program.
>
> Practice open, honest and frequent ***communication*** as a guiding principle of the organization.
>
> Continuously seek ***improvement*** in the way we are doing business through measuring results, evaluating outcomes, and modifying practices as needed. We subscribe to a continuous quality improvement model based on a four step, iterative process: Plan, Do, Check, Act.
>
> Continually search for ways to ***work smarter*** to ensure that we effectively accomplish what we set out to do, while at the same time ***recognizing and celebrating*** each accomplishment no matter how small.
>
> Treat people with ***dignity and respect***.

Over time our organizational operating style will evolve and become more refined. However, these brief statements are intended to provide a beginning framework.

MAJOR EFFORTS UNDERWAY

The child support reform legislation mandated several activities and reporting requirements for DCSS in its first two years of operation. All of these program and automation initiatives must be accomplished concurrently and, in fact, will provide the foundation for the establishment of the new state child support program and the department. Accomplishment of these tasks is a significant challenge in a start-up organization. The following chart depicts the immediate major, concurrent mission critical priorities of DCSS.

DEPARTMENT OF CHILD SUPPORT SERVICES
CURRENT MAJOR ACTIVITIES



Strategic Planning

The DCSS Director created an Office of Strategic Planning in April 2000. The Office is responsible for facilitating and coordinating the strategic business, IT and operational planning for the department.

The DCSS strategic plan will be used as a touchstone for the executive team, management and staff to aid in establishing a statewide child support program and in decision-making. The department will use the plan to determine the priority of specific program performance improvements and resource needs.

Mission

As a beginning point, the DCSS executive staff has drafted a mission statement for California's child support program. The executive staff believes that the mission statement should address the child support program broadly and not the department only. For purposes of beginning to provide a framework for the program, the following draft mission statement is offered:

The mission of the California Child Support Program is to promote the well being of children and the self-sufficiency of families by delivering first-rate child support services and collection activities that contribute to meeting the financial, medical, and emotional needs of children.

Values

The DCSS executive staff has begun to capture the core values underlying California's child support program and reflecting the commitment to California's children. Again, these are initial attempts by the DCSS executive staff to begin to identify our core values and will be subject to wide discussion and input. Nevertheless, the beginning framework is to suggest that California's child support program will strive for excellence through continuous improvement to ensure children's needs are met. Suggested core values are:

Commitment to Children

We are dedicated to providing a child support program that puts the well-being of children above all else and is based on the belief that parental responsibility includes financial, medical and emotional support for their children.

Caring

We take pride in treating those we serve with kindness and compassion.

Fairness & Respect

We treat our customers and employees equitably and impartially, recognizing their differences with respect and understanding.

Customer Service

We are responsive to our customers. We conduct ourselves with integrity and act responsibly in providing accurate and timely services.

Cooperation

We work collaboratively with our customers, sister agencies and partners in an environment of trust and open communication to provide the best possible child support services.

DCSS will use the strategic planning process to ensure the department's guiding principles of inclusion and collaboration are applied to the development of the plan and the program. In addition to setting the vision and direction for the statewide child support program, the strategic planning process will:

- Promote customer-focused services;
- Emphasize employee involvement and teamwork;
- Define, implement and continuously improve specific performance measurements;
- Focus on results;
- Rely on quality data collection and analysis tools and techniques;
- Support data-driven decision making; and
- Ensure efficient and effective resource allocation and management.

DCSS is committed to strategic planning as an ongoing management process that will contribute to the department's success while providing guidance for ongoing operational plans and resource allocation. The DCSS executive team is committed to ensuring that the planning process focuses on building a program that is efficient, effective, and innovative in its program initiatives and application of technology. One of our objectives is to be successful in building a statewide child support community that thinks and acts strategically in supporting California's children.

Collectibility Study

SB 542 mandated DCSS to analyze the current amount of uncollected child support arrearages statewide and determine the amount that is realistically collectible. DCSS, along with the Rosenberg Foundation, has contracted with The Urban Institute to conduct the collectibility study. The project was initiated with a Technical Advisory Group workshop attended by child support program researchers, data experts and stakeholders from all over the nation. The purpose of this session was for the lead researcher to describe her proposed methodology, related research efforts, and to gain knowledge about the wide-variety of data sources and their accessibility for this study. The collectibility study will produce the following reports:

First Interim Report on Arrears
This product will address how county-level child support performance measures are affected by socioeconomic characteristics, such as unemployment and median income.

Second Interim Report on Arrears
This product will provide an estimate of how much of the $14 billion in California child support arrears are realistically collectible.

Data Validation Findings
The deliverable of this task is to check estimates of debt collectibility findings to-date using data from the counties to validate assumptions.

Final Report on Arrears—Obligors' Ability to Pay Child Support
The final deliverable for this project will provide an analysis of all obligors' ability to pay child support and will be used to inform California's collection performance standards development and the legislative report required by April 2001.

Program Policies & Procedures (P3) Project

The Program Policies & Procedures (P3) Project was initiated by the Director to make recommendations on implementing the statutorily mandated performance measures.

The P3 Project is led by DCSS and oversees a Steering Committee comprised of the DCSS Director, DCSS executive team and representatives of the following stakeholder organizations:

- Association of Children for the Enforcement of Support (ACES)
- CA Department of Justice
- CA District Attorney's Association
- CA State Association of Counties
- CCSAS (Statewide Automation) & CAMP Projects (FTB)
- Child Support Director's Association[1]
- Coalition of Parent Support (COPS)
- Federal Office of Child Support Enforcement
- Judicial Council
- National Center for Youth Law
- Service Employee International Union

Each represented organization has provided staff to participate in workgroups who, under the committee's direction, will develop the draft recommendations for each mandated performance measure by October 1, 2000. Nearly 140 state, county, and federal employees, advocates and other stakeholder group representatives will have volunteered their time to ensure mandated deadlines are met.

Eleven workgroups will be delivering recommendations to the Director for consideration. P3 workgroups are in progress for each of the following specific areas:

[1] CSDA is the formal organization of the directors of the local child support agencies. CSDA has three representatives on the Steering Committee. Los Angeles County, Merced and Shasta representing large, medium and small counties, respectively.

- Attorney Staffing Ratios
- Case Processing
- Case Closure
- Caseworker Staffing Ratios
- Client Access
- Fair Hearings
- Management Practices
- Non-CAMP Enforcement
- Non-Judicial Forms
- Performance Measures
- Training

A website has been established for sharing workgroup meeting minutes and other deliverables across the project. Once draft recommendations have been completed, statewide forums will be held to obtain feedback from all child support program customers and stakeholders. Customer and stakeholder feedback will be assessed and, where appropriate, incorporated into the final recommendations. The DCSS Director is required to develop a plan on how the department will implement the new state administered, locally delivered child support program, including establishing performance measures and standards, to be presented to the Governor, the Legislature and the public no later than January 1, 2001.

The spirit of collaboration and cooperation is strong within each workgroup in just a few meetings a new vision for the statewide child support program is emerging. Not only will the P3 Project help DCSS meet legislative commitments, more importantly, it is providing the foundation for building an entirely new way of delivering child support services. Using DCSS principles of inclusion and collaboration to create the best child support program in the country, the P3 Project is the first major step toward achieving that vision.

Customer Service Initiative

Based on the overall thrust of legislation and strong stakeholder input, customer service was added to the list of performance measures for which the P3 Project is developing. Customer service is also a focus of the proposed DCSS organizational design.

The DCSS executive team recognizes that structured processes and procedures, complimented by uniform training and practices, will be necessary to achieve a high level of customer satisfaction in the child support program. Toward that end, DCSS is directing county administrative funds toward customer service activities. Funding will be available to hire at least one ombudsperson in each county, based on caseload and additional factors.

In addition, DCSS is conducting a Customer Service Summit to bring together experts from other states, counties, advocates, stakeholders and customer services experts from the private sector to develop the program's long-term customer service direction. The objective of the summit is to assist DCSS in defining the most effective customer service tools and techniques based on the prior knowledge and experience of others, both inside and outside the child support community.

DCSS, through the local child support agencies, will also require each county to conduct a customer satisfaction survey to establish a baseline for measuring current performance and the impacts of service enhancements. The survey instrument will be developed by the state and administered uniformly in each county to assist in determining potential next steps for improving customer service.

The remaining customer service funding will be distributed after completion of the Customer Service Summit and the P3 Project. Some of the potential funding opportunities to be explored will include, but not be limited to:

- Implementing P3 Customer Service Workgroup recommendations;
- One-time projects, such as data entry of the domestic violence information into case records; and
- Standardized training.

County Transitions Project

AB 196 also mandates by December 31, 2002 that all child support activities be transitioned out of the District Attorney offices and into a new local child support agency. DCSS contracted with a vendor to conduct transition readiness surveys and make recommendations to DCSS on a transition template and schedule. Eleven counties have been selected to apply to be "pioneers" to test the transition process prior to implementing the formal transition schedule. The "pioneer" counties selected will transition this calendar year. The department has notified all counties of their proposed transition schedule and process requirements. DCSS has developed a structured process for reducing the risk and increasing success during each county transition. The primary focus, both at the state and local level, will be to mitigate any disruption to delivering services to our customers.

There were a number of factors considered in developing the overall schedule for county transition. The formal process began in May 2000 with distribution to all counties of a transition readiness assessment document and completion of follow-up interviews. This gave DCSS a good sense of how counties assessed their own transition readiness, particularly the

current status of transition planning and estimated transition timeframes. In addition, a number of other variables were factored into the deliberative process, including legislative timelines, requests for outside assistance, staffing requirements, transition budget needs, facility transition issues, anticipated impact on customer service, and efforts to regionalize services between counties. The input of various county and state child support stakeholders was also considered.

The transition schedule consists of three phases:

- Phase 1 counties ("pioneers") – to complete transition by December 31, 2000.
- Phase 2 counties – to complete transition by December 31, 2001.
- Phase 3 counties – to complete transition by December 31, 2002.

While DCSS will consider county requests for a different transition date, changes will be kept to a minimum since a careful balance was struck between all of the competing factors considered in development of the overall schedule. The potential impact of any proposed change to the schedule will be measured against the overall need to successfully achieve transition statewide within the legislatively required timeframe.

Technical Assistance

State staff will provide assistance to counties in completing the various documents required for the preparation, approval and implementation of their local transition efforts, including preparation of work plans, transition budgets and the overall components of their transition plan. Phase 2 counties are encouraged to forward their “draft” transition budgets to the state as soon as possible to facilitate pre-approval of their transition budgets and facilitate timely approval of their overall transition plans.

County transitions to new local child support agencies are an integral part of the child support reform legislation. Counties are making significant progress toward successful transitions and DCSS is confident each transition will be fully completed on schedule. DCSS will continue working with each county to ensure child support services are uninterrupted during this transition period while the state and counties work together to create a program that will better serve the California’s children.

Training Project

DCSS recognizes a critical success factor in implementing uniform policies and procedures is providing structured, consistent, first-class training to state and local child support program staff. California has been selected to pilot a federal program to develop a modeling program for child

support staff, including exploring establishment of a certification program for child support professionals. Federal assistance will provide full funding and a contractor to develop the model based on California's need to establish a new program. The model would become available to other state training programs in the future. The DCSS executive team envisions a formal training curriculum structure for child support professionals at both the state and local levels that includes a customer service component.

DCSS worked with OCSE to develop a scope of work statement for a vendor proposal process targeted for completion by the end of August. The first step in the Training Project will include an assessment of existing training delivery programs at the state and local levels. The contractor will develop a needs assessment instrument and conduct statewide surveys, to identify current and future training needs for the child support program within the state. The survey results will be analyzed and written recommendations made to DCSS that:

- Clearly identify the state's training strengths and weaknesses and identify the types of training needed to enhance program improvement and outcomes;
- Propose alternative organizational structures to implement a statewide training program, i.e., centralized versus decentralized training;
- Recommend alternative staffing options such as in-house training staff versus contractor training; and
- Provide recommendations on the pro and con's of various distance learning options, including cost projects on implementing distance learning statewide.

Demonstration Projects

Child support reform legislation requires the existing Non-Custodial Parent (NCP) and Child Support Assurance (CSA) demonstration projects to be transferred from DSS to DCSS. Demonstration projects are a cost-effective way to meet the challenge of rapidly responding to program changes by testing new concepts and partnerships, evaluating pilot project success and sharing best practices through publication of results. DCSS will use these demonstration projects to afford the state and counties a vehicle for testing new social policy concepts and establishing strong bonds within the community.

Non-Custodial Parent (NCP) Project

To assist non-custodial parents (NCP) in meeting their child support obligations, the NCP Demonstration Project, initiated in 1998, is a collaboration of local child support agencies, county welfare departments,

the Employment Development Department, Job Training Partnership Act Agencies and a variety of community-based organizations. The NCP Demonstration Project offers parent's employment and training services, mediation, parenting classes and other supportive services. The project increases employment and earnings of unemployed NCP's to a level at which they can support themselves and their children, reduces the need for welfare benefits for the children of NCP's and increases their ability to pay child support. This project has nearly completed two of its scheduled three years with an evaluation expected by 2002.

Child Support Assurance Demonstration Projects

The Legislature in 1999 authorized a three-year Child Support Assurance Demonstration Project (CSA). The CSA Project seeks to serve working parents, otherwise eligible for public assistance, by providing an assured child support payment each month in lieu of public assistance. The State-funded program is being tested in San Francisco and two other counties.

DCSS will assume responsibility for child support program demonstration projects as soon as the Office of Research & Program Design is staffed. The office will ensure demonstration projects are more uniformly implemented and evaluated.

PRISM Project

The Pre-Statewide Interim Systems Management (PRISM) project is responsible for ensuring existing county automation continues to support the activities of the child support program until the new single statewide system is available. Major PRISM Project activities include:

- Converting counties to one of the OCSE approved consortia systems;
- Providing interfaces to the Federal Case Registry during the interim period; and
- Providing oversight of county automation efforts, including disaster recovery plans, review and approval of automation changes and other operational considerations.

The PRISM Project will reduce the number of interim systems from 20 to 6 over the next two years. The final interim systems to be supported until the single, statewide-automated system is implemented are identified as follows:

SYSTEM	COUNTY LEAD	TOTAL COUNTIES ON SYSTEM	# TO BE TRANSITIONED
ARS	Los Angeles	4	2
BEST	Alameda	3	0
CASES	San Francisco	34	10
CHASER	Marin	4	0
KIDZ	Kern	10	3
STAR/KIDS	Riverside	4	1

To date, Butte, Santa Cruz, Sacramento, San Bernardino, and Monterey counties have been converted. The remaining counties will be converted over the next 18 months.

CAMP Project

The California Arrearage Management Project (CAMP), mandated by SB 542, expands the FTB role in child support collections. Under the SB 542 legislation, counties are required to submit cases meeting mandated criteria to FTB for collection. FTB, in partnership with DCSS, OCSE, local child support agencies and other entities, is currently conducting business process improvement workshops, focusing on delivering a solution that will provide the ability to prioritize child support cases. Using modeling and decision rules specific to child support collection activities, and the information delivered by the Collectibility Study, CAMP will implement decision support software that will process cases based on a set of "collectibility characteristics." By using these characteristics the FTB will be able to perform collection functions first on those cases most realistically collectible. This functionality of using business and data driven rules to define obligor characteristics is expected to increase child support collections by approximately $70 million annually.

FTB has 18 months after the vendor contract is signed to develop and implement technology applications to accomplish the statewide, centralized management of delinquent child support collections. The CAMP Planning Advance Planning Document has been approved by OCSE, and the Department of Information Technology has approved the Feasibility Study Report. FTB, DCSS, OCSE, county staff and other program stakeholders are refining the project scope and business requirements, and county site visits are being conducted to identify opportunities for process re-engineering improvements. The project is targeted for completion by March 2002.

CCSAS Project

The California Child Support Automation System (CCSAS) Project, mandated by AB 150, forged a partnership between FTB and DCSS to implement a single, statewide-automated system that would meet all federal certification and state requirements. Although the statewide system is being developed while federal penalties are accruing, the child support program and project leadership team are committed to ensuring delivery of the best possible automation solution for California's new child support program. The risks are high and the program is complex and continuously changing. The CCSAS Project and its inter-relationship to all other child support program and automation initiatives must be properly managed. The DCSS executive team must be thoughtful in its decisions and ensure CCSAS safeguards the program's mission to serve California's children first.

The CCSAS Project Charter, developed collaboratively with CHHS Agency, DCSS, FTB, and various stakeholders, defines how the project will be conducted. The Charter also includes the governance model, describing the overall management of the project, and the 13 high-level business goals that will help frame the project scope. The CCSAS Project Charter is available via the Internet at www.ftb.ca.gov/other/index.htm.

In addition to the Project Charter, the following project start up activities are currently underway:

- Prioritization of Automated System Objectives to establish the scope of business analysis
- Development of a Procurement Plan including the Invitation to Partner and qualification criteria
- Development of a Requirements Definition Management Plan including the detailed approach to functional, technical and contractual requirements
- Development of materials to conduct a business analysis kickoff with users
- Development of architectural standards and principles
- Establishment of a Project Management Office (PMO)
- Identification of milestones, deliverables, team members, and schedule necessary to support release of the Solicitation of Conceptual Proposals

The Invitation to Partner is the first step in the Performance Based Procurement process and will be distributed worldwide to the private sector community. The vendor qualification process will take several months with the qualified vendor partner pools for the CCSAS Project.

CONCLUSION

DCSS has made great strides in its first months of existence in developing the restructured California child support program. The challenges are many but we are well underway in meeting our mandates and establishing our vision. Our objective is to implement the best child support program in the nation—a program that becomes a model for serving children and supporting family self-sufficiency.