

**State of Colorado
Department of Human Services**



Child Care Automated Tracking System (CHATS)
Assessment Project

D.4: Resource Assessment and Action Plan

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Table 1: Revision History

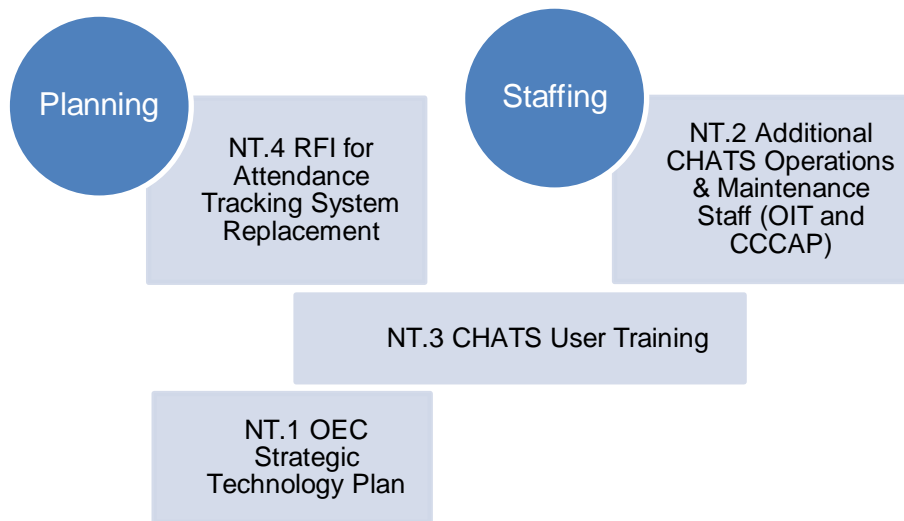
Version	Date	Description
v.01	10/09/2014	Submitted to Project Manager in Working Draft.
v.02	10/10/2014	Made two changes based on meeting with Advisory Group: added a caveat that estimated costs do not include workspace or equipment for new resources, and added references to OEC need for additional staff
v1.0	10/16/2014	Final submitted to Project Manager

1 EXECUTIVE SUMMARY

Child Care Automated Tracking System (CHATS) Assessment Deliverable 3 (D.3) Options Analysis recommended Office of Early Childhood (OEC) pursue a Hybrid approach to meet current and future Colorado Child Care Assistance Program (CCCAP) system requirements, and the State opted to pursue this approach. The Hybrid option represents an innovative technical systems approach that retains and enhances selected CHATS functionality and allows for replacement of selected functionality with either new or other State leveraged systems. The Hybrid approach is more cost effective, more time efficient, and less risky than a full system replacement. Unlike the enhance-only option, the Hybrid option creates the possibility of taking advantage of the latest marketplace solutions and state strategic information technology (IT) initiatives.

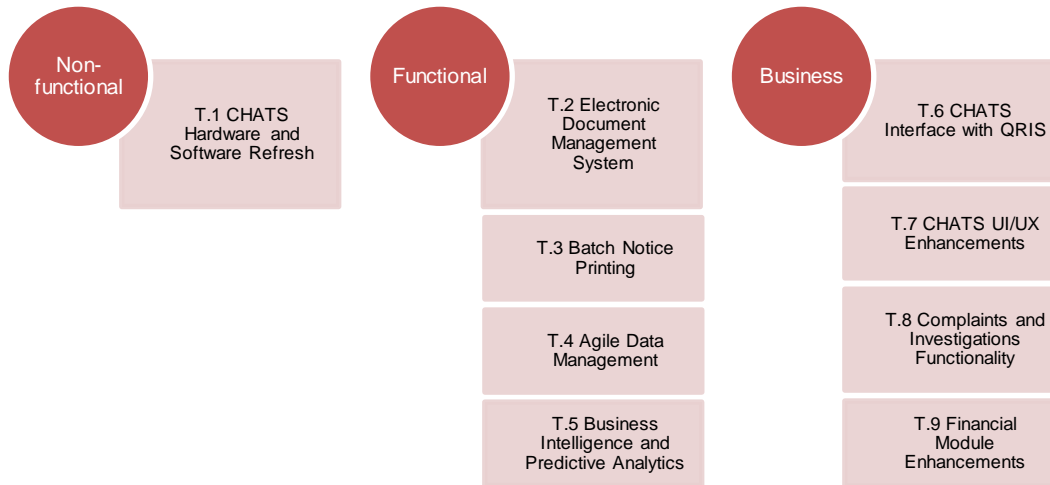
The Hybrid option consists of a set of 13 technology and non-technology initiatives to address the gaps and system requirements identified by CHATS users, providers, Office of Information Technology (OIT), and OEC (see Appendix C). The four non-technology initiatives (NT.1-4) shown in Figure 1.1 are planning and increased staffing initiatives based on the premise that the majority of the challenges users face with CHATS are a result of lack of adequate personnel resources to polish, operate, and maintain the system and support users; insufficient training; and lack of strategic business direction for defining technical priorities, as opposed to fundamental system flaws or technology issues.

Figure 1.1: Non-Technology Initiatives



The nine technology initiatives (T.1-9) presented in Figure 1.2 can be grouped into functional, non-functional, and business enhancements.

Figure 1.2: Technology Initiatives



With the additional staff recommended, nearly all of the business and technical gaps identified during previous deliverables developed by BerryDunn (see Appendix C) can be addressed by the 13 initiatives identified above and described in this report. The estimated total additional cost (one-time and annual maintenance costs) above and beyond current and planned expenditures on CHATS to implement and maintain these Hybrid/Enhancement initiatives over five years is provided in the table below:

Table 1.1: Estimated Five Year Costs for CHATS Hybrid/Enhancement Initiatives

Budget Item		Five Year Total	
		Low	High
1	Estimated Technology Cost (One-time + On-going)	\$720,000	\$960,000
2	Estimated One-time Personnel Cost for 13 Recommended CHATS Hybrid/Enhancement Initiatives	\$1,425,000	\$1,875,000
3	Estimated Personnel Cost for Enhanced CHATS Operations & Maintenance (O&M)	\$3,000,000	\$6,000,000
ESTIMATED TOTAL:		\$5,145,000	\$8,835,000

The assumptions behind the figures in this table are outlined below. Please note these estimated costs do not include the costs related to work space and equipment required to support the additional FTEs.

Table 1.2 presents the estimated one-time costs associated with the 13 CHATS Hybrid/Enhancement Initiatives.

Table 1.2: Estimated One-Time Costs for CHATS Hybrid/Enhancement Initiatives

			Low	High
		Estimated One-time Level of Effort	12,000 hours	15,000 hours
Budget Item	Brief Description/Assumptions			
1	Estimated Technology Cost	Software and Hardware for Enhancements	\$450,000	\$600,000
2	Estimated Personnel Cost for 13 Recommended CHATS Hybrid/Enhancement Initiatives	Addition of 3 FTE State Resources (4500 hours) Addition of 5 FTE Contracted Resources (7500 hours)	\$1,425,000	
		Addition of 3 FTE State Resources (4500 hours) Addition of 7 FTE Contracted Resources (10,500 hours)		\$1,875,000
		Total Estimated One-time Cost	\$1,875,000	\$2,475,000

The following assumptions were used to develop the figures in Table 1.2:

1. One full-time equivalent (FTE) has 1,500 hours per year of availability for Hybrid/Enhancement work.
2. The “Low” and “High” estimated one-time level of effort figures represent the projected work effort to complete the thirteen Hybrid/Enhancement initiatives described herein.
3. The cost of contracted resources is estimated using a fully-loaded blended rate of \$150 per hour. (Source: United States General Services Administration (GSA) Information Technology Schedule IT 70 General Purpose Commercial Information Technology Equipment, Software and Services)
4. The division of personnel costs between State and Contracted resources prevents the State from 'over-hiring' for the one-time new initiatives phase.

The table below presents the estimated annual on-going costs associated with the 13 CHATS Hybrid/Enhancement Initiatives.

Table 1.3: Estimated Range of On-going Costs for CHATS Hybrid/Enhancement Initiatives

			Low	High
		Estimated Annual Level of Effort	6 FTE State Resources	12 FTE State Resources
Budget Item	Brief Description/Assumptions			
1	Estimated On-going Technology Cost related to CHATS Hybrid/Enhancements	Annual licensing and/or hosting fees equal approximately 15% of original software and hardware costs	\$67,500	\$90,000
2	Estimated Personnel Cost for Enhanced CHATS Operations & Maintenance (O&M)	Addition of 6 FTE State resources @ \$100,000 per year bringing total CHATS Technical Support to approximately 13 FTEs.	\$600,000	
		Addition of 12 FTE State resources @ \$100,000 per year bringing total CHATS Technical Support to approximately 19 FTEs.		\$1,200,000
		Total Estimated Annual On-going Cost	\$667,500	\$1,290,000

The following assumptions were used to develop the figures in Table 1.3:

1. These resources are fully dedicated to on-going CHATS operations and maintenance and are in addition to the resources required for the one-time Hybrid/Enhancement work.
2. All O&M staff are State resources.
3. Enhanced O&M scope includes:
 - Remediate O&M team staffing deficiencies (three FTEs)
 - Enhance user support and responsiveness
 - Plan for and execute proactive and strategic software and hardware enhancements according to the IT Strategic Plan
 - Respond promptly to system changes need to comply with new state and federal regulations
 - Improve project governance and management processes such as change management, configuration management and incident management

It is assumed that if requested funds are approved, they will be available starting July 1, 2015. The one-time initiatives should take approximately a year, depending on how quickly resources can be engaged. However, we recommend the non-technology initiatives be started as soon as possible and prior to undertaking technology efforts T.1-9 for four primary reasons:

1. Technology initiatives will be better informed, properly prioritized, and supported by a common OEC/OIT vision resulting from a completed strategic planning effort (NT.1).
2. Many of the technology initiatives require additional CHATS Operations and Maintenance staff (NT.2).
3. Technology initiatives will benefit from users undergoing and having access to additional end user training (NT.3), which will result in increased likelihood of success.
4. The RFI for Attendance Tracking may identify additional needs for a “new” component in the hybrid environment (NT.4).

As a result of previous discussions with the state, the following state IT initiatives were identified as candidates for investigation to potentially replace certain CHATS functions or components:

- Quest Electronic Benefit Transfer (EBT) card to replace the CCCAP Point of Sale (POS) electronic attendance tracking system
- Next Generation QRIS using the Salesforce platform
- PEAK self-service benefit portal using the Salesforce platform

At this time, we have not identified specific opportunities for replacing components of CHATS with components of any of the three systems listed above or any other systems. As such, the initiatives and associated cost estimates presented herein reflect the technology and personnel

resources required to enhance CHATS to meet current and expected business and technology needs and do not include costs associated with replacing any CHATS components. However, OEC and OIT should continue to explore replacement and leveraging opportunities with these systems as part of the recommended IT strategic planning initiative.

This report contains three additional sections: Section 2, Introduction, provides background and context for this report as well as additional assumptions. Section 3, Current Environment, describes the current costs related to CHATS operation and maintenance (O&M). Section 4, Future Environment, describes the 13 recommended CHATS Hybrid/Enhancement initiatives. Three appendices provide supporting and reference information.

2 INTRODUCTION

2.1 Project Background and Purpose

The purpose of the CHATS Assessment project is to assess CCCAP program requirements with a technical feasibility assessment of CHATS relative to supporting CCCAP needs. The Assessment will produce four primary deliverables:

- Deliverable 1: Needs Assessment and Gap Analysis
- Deliverable 2: Best Practices Report
- Deliverable 3: Options Analysis, Impacts, and Recommendations Report
- Deliverable 4: Total Resource Assessment and Action Plan

Using the information and analysis from Deliverables 1 and 2, Deliverable 3 addressed each of the following questions:

- Does the CHATS system have the capacity, with upgrades or other enhancements, to meet the requirements in the Overview? Or,
- Should CHATS:
 - a. Be replaced with a full rebuild in order to meet the requirements.
 - b. Pursue other options that meet CCCAP requirements and support an innovative technical systems approach that takes into consideration costs and the dynamic nature of the CCCAP program.
- What are the consequences of not taking action on CCCAP program requirements?

Deliverable 3 recommended a “hybrid” approach of enhancing CHATS and leveraging other existing state systems and/or new technologies would best serve the State’s needs moving forward. The State agreed to pursue this option.

2.2 Report Objectives

This report represents the fourth and final deliverable of the CHATS Assessment, Deliverable 4 Resource Assessment and Action Plan. The purpose of this report is to provide an estimate of resources and timeline to implement the Hybrid Solution, the recommended option from Deliverable 3: Options Analysis, Impacts, and Recommendations Report.

2.3 Project Influences

2.3.1 Assumptions

Assumptions are premises about the business, policy, technical, and/or project environment that, for the sake of assessment and reporting, are taken as fact. The following assumptions influenced the development of this report:

- If approved, funding requested for the initiatives described herein will be available July 1, 2015. However, some initiatives are recommended to be funded and begin sooner.
- CHATS Stabilization project will be completed as planned and address several of the gaps identified by stakeholders (see Appendix C).
- OIT is planning system changes to CHATS as part of HB14-1317 that will address gaps related to parent fee and wait list functionality and the interface with CBMS.
- The CHATS migration to the federated cloud will be completed as planned.
- Policy changes needed to support technology changes will be identified and executed.
- OEC and OIT will develop an IT strategic plan as recommended. That plan will incorporate the initiatives recommended in this report, identify opportunities for efficiencies, eliminate redundancies with other efforts, and consider the appropriate staffing approach (internal versus contracted) and timing given agreed-upon priorities and workloads.
- The full deployment of the Provider Self-Service Portal (PSSP), if supported by sufficient training, should alleviate many provider-reported issues related to reconciliation of payments and the need to create manual claims.
- Level of effort assumptions are based on team experience with similar projects.

2.3.2 Constraints

Constraints are known conditions in the project environment over which there is limited or no control. These can affect the direction, planning, and implementation of the project, as well as assessment and reporting activities. The following constraints must be taken into account when reading this report:

- The schedule is the primary CHATS 2.0 Assessment project constraint. The timeline for this engagement was determined by CDHS in the RFP and is driven by the Department's need to complete budget request documentation for the 2015 legislative session.
- The lack of a strategic plan that articulates OEC vision, identifies OEC business priorities, and documents current and planned OEC and OIT initiatives that impact the CHATS and related system environments is a major constraint to this effort.
- The scope of the first phase of CHATS enhancements needed to implement the first set of HB14-1317 rules has not been finalized.
- Information requested from the State regarding CDHS vision for the future of the current electronic benefit transfer (EBT) card system and the scope of work and duration of the recently hired OEC training resources was not received.

2.4 Report Format

This report consists of four major sections: Section 1, Executive Summary; Section 2, Introduction; Section 3, Current Environment; and Section 4, Future Environment: Hybrid Solution. Three appendices provide materials in support of our results and recommendations: Acronyms, Sources Consulted, and Gap Analysis. Appendix C: Gap Analysis maps the recommended initiatives to the gaps presented in Deliverable 1: Needs Assessment and Gap Analysis.

3 CURRENT ENVIRONMENT

3.1 Technology Costs

3.1.1 One-time

The Colorado Child Care Automated Tracking System (CHATS) 2.0 was a \$14.9 million system replacement project executed by Deloitte and fully deployed state-wide in December 2010, based on an RFP released in December 2007. The “full deployment” did not include mission critical scope that users were expecting, including the provider portal, robust reporting capabilities, and a fully-resourced operations and maintenance team. When development of current work-in-progress initiatives such as the CHATS Stabilization Project (\$600,000) and Provider Self-Service Portal (PSSP) (approximately \$320,000) are complete, the State will have invested nearly \$16 million in the development of CHATS 2.0, with some mission-critical functionality such as reporting and sufficient operations and maintenance staffing still outstanding.

3.1.2 On-going

The primary on-going technology cost related to CHATS is the contract with Xerox for the EPPIC and POS system maintenance and user support. These services cost the state \$1,137,000 per year. No other on-going software or hardware licensing or maintenance costs were identified.

3.2 Personnel Costs

3.2.1 Office of Early Childhood

As described below, OEC funds six full-time equivalents (FTEs) to support CHATS. In addition, OEC recently hired two full-time training resources to develop and conduct CHATS training for county users.

3.2.2 Office of Information Technology

The OIT CHATS Technical Support Team currently has six fully-dedicated personnel and four additional staff members whose time is shared with other groups, for a total of just under eight FTEs supporting CHATS. This team is responsible for the ongoing system maintenance, development, and technical support for the current CHATS application. Figure 3.1 illustrates the current structure of the CHATS Technical Support Team, and Table 3.1 describes the key responsibilities and allocation to CHATS of each position.

Figure 3.1: The Current CHATS Technical Support Team

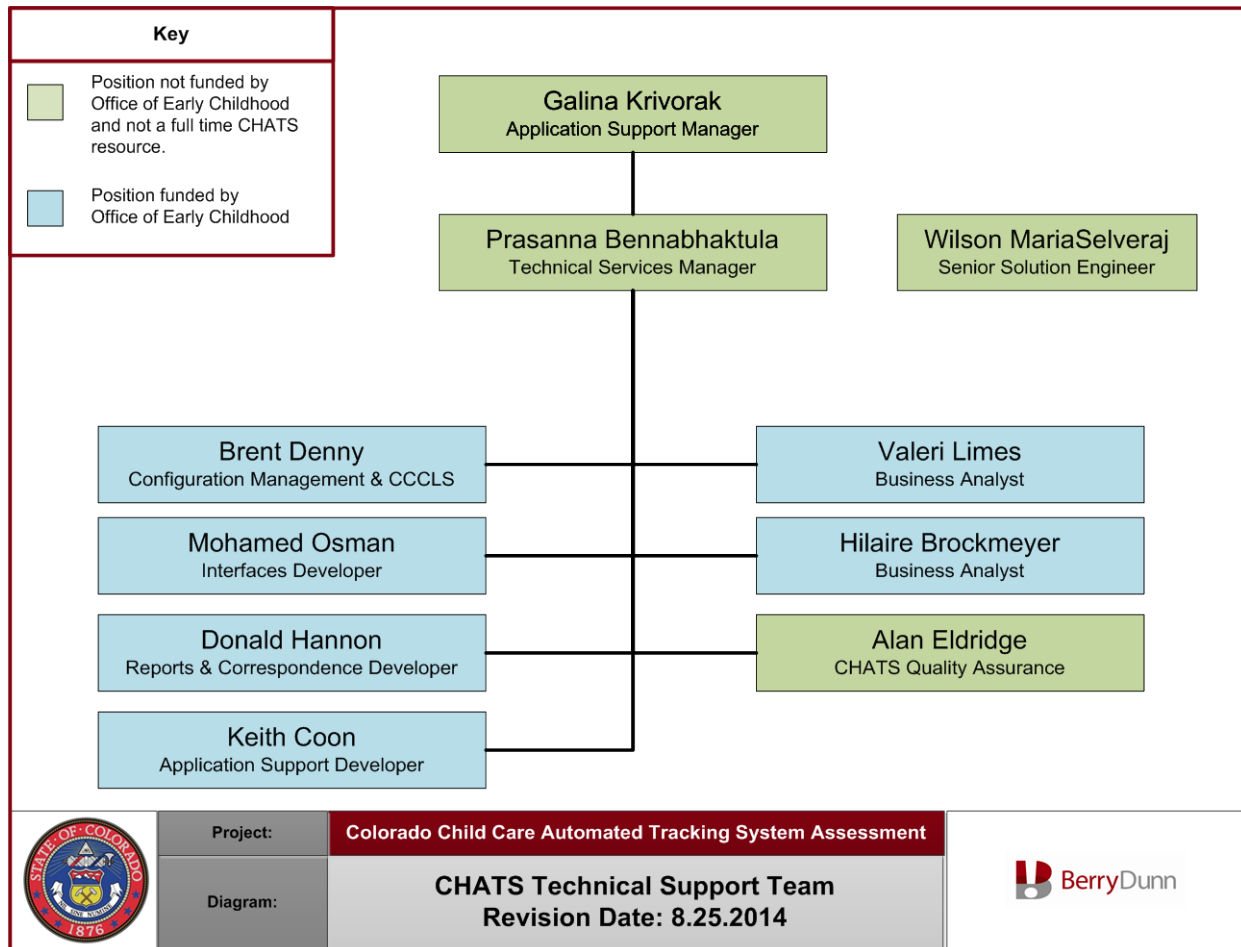


Table 3.1: Current CHATS Technical Support Team

Position Description	Responsibilities	Allocation to CHATS	Staff Member
Application Support Manager	Ensures that Service Portfolio Managers and Application Service Managers are successful in all aspects of the Service Design and Development, and Service Transition phases.	20%	Galina Krivoruk
Technical Services Manager	The Application Service Manager role operates across the Service Management Life Cycle.	50%	Prasanna Bennabhaktula
Senior Solutions Engineer	Technology solutions leader, providing forward-looking recommendations for applications development across a broad scope of responsibility including technical architecture development	50%	Wilson Maria Selveraj

Position Description	Responsibilities	Allocation to CHATS	Staff Member
CHATS Quality Assurance	Responsible for conducting testing activities, including planning and executing tests based on adherence to requirements, identifying and managing test data, and identifying and managing software defects.	50%	Alan Eldridge
Configuration Management & CCCLS	Design, develop, document, test, and maintain new application services to support designated agencies and/or the enterprise.	100%	Brent Denny
Interfaces Developer	Design, develop, document, test, and maintain new application services to support designated agencies and/or the enterprise	100%	Mohamed Osman
Reports & Correspondence Developer	Design, develop, document, test, and maintain new application services to support designated agencies and/or the enterprise	100%	Donald Hannon
Application Support Developer	Design, develop, document, test, and maintain new application services to support designated agencies and/or the enterprise	100%	Keith Coon
Business Analyst	Functions as a translator of the business requirements into functional specifications.	100%	Valeri Limes
Business Analyst	Functions as a translator of the business requirements into functional specifications.	100%	Hilaire Brockmeyer

The six staff fully allocated to CHATS are funded by OEC for a total annual cost of approximately \$600,000.

4 FUTURE ENVIRONMENT: HYBRID SOLUTION

4.1 Summary of Hybrid/Enhancement Initiatives

The Hybrid Solution consists of thirteen non-technology and technology initiatives recommended for the future of CHATS to address user-identified gaps and position the system to meet current and future state and federal requirements. Table 4.1 identifies the four non-technology initiatives described in detail in section 4.2, and Table 4.2 identifies the nine technology initiatives elaborated in section 4.3.

Table 4.1: Recommended Non-Technology Initiatives

ID	Initiative	Summary Description
NT.1	OEC Strategic Technology Plan	Five-year technology vision and roadmap to help OEC achieve its mission and business goals, support decision-making and prioritization of IT resources, establish IT standards, set IT budgets, and drive future IT initiatives.
NT.2	Additional CHATS Operations & Maintenance Staff (OIT and CCCAP)	Addition of 6-12 full-time OIT and OEC resources to augment the CHATS technical team to operate and maintain the system, support users, plan for and execute system enhancements, conduct testing, and translate business needs into system changes.
NT.3	CHATS User Training	Establishes training as a core CCCAP business function through training planning, revision of training materials and user documentation, and on-going assessment of training needs and activities.
NT.4	RFI for Attendance Tracking System Replacement	Acquisition and assessment of most current information on market solutions for electronic time and attendance systems.

Table 4.2: Recommended Technology Initiatives

ID	Initiative	Summary Description
T.1	CHATS Hardware and Software Refresh	Three-phase effort to update the CHATS development, testing, and production environments including hardware, operating system, and software acquisition.
T.2	Electronic Document Management System	Enable CCCAP case workers to view eligibility documentation obtained by CCCAP and other programs, and to upload and store CCCAP-specific documentation.
T.3	Batch Notice Printing	Enable printing of notices from CHATS to a central mailroom.
T.4	Agile Data Management Project	Enhance the CHATS database infrastructure to utilize OIT's Database as a Service (DAAS) initiative, removing the current environment barriers to real-time reporting.
T.5	Business Intelligence/Predictive Analytics	Deployment of Business Intelligence/Predictive Analytics infrastructure and software to enhance reporting functionality.

ID	Initiative	Summary Description
T.6	CHATS Interface with QRIS	Link CHATS to QRIS for quality and licensing system data.
T.7	CHATS UI/UX Enhancements	Make improvements to CHATS user interface, screen flow, and data entry to enhance worker productivity.
T.8	Complaints and Investigations	Provide the ability to record and store information about complaints and investigations related to qualified (non-licensed) providers.
T.9	Financial Module Enhancements	Make changes to CHATS financial functionality to address system gaps related to management and tracking of billing, payments and recoveries.

4.2 Non-Technology Initiatives Resource Assessment

The following four sub-sections describe the four recommended non-technology initiatives. For each initiative, a description/scope of work, estimated range of level of effort as a proxy for personnel costs, high-level implementation plan, and description of benefits as well as impacts of not implementing is provided.

4.2.1 Non-Technology Initiative 1: OEC Strategic IT Plan

4.2.1.1 Description/Scope of Work

An IT Strategic Plan is a strategy document that answers the questions:

- *Where are we now?*
- *What are we trying to achieve?*
- *How do we get there?*

A well-run strategic planning process will engage OEC and OIT leadership and stakeholders to create a common vision for CHATS and the broader OEC IT environment as well as develop a process for strategically engaging in other related technology planning efforts.

OEC has a number of IT systems in place and new technology initiatives underway to support the Office's business functions related to quality, licensing, CCCAP, and data exchange. Currently, there is no over-arching vision or strategy to guide IT decisions and investments for OEC. Building on the work of the CHATS 2.0 Assessment, the Strategic IT Plan will provide OEC with a five-year technology vision and roadmap that can be used to help OEC achieve its mission and business goals, support decision-making, establish standards, set budgets, and drive future initiatives. The Strategic Plan should include at least the following critical elements:

- Document the mission, vision, and goals of the Department of Human Services.
- Document the mission, vision, and goals of the Office of Information Technology.
- Facilitate updates to/or develop mission, vision, and goals for the OEC.

- Inventory and assess the current OEC IT environment, including challenges and opportunities.
- Develop and prioritize strategic IT initiatives and estimated resource needs to carry out these initiatives.
- Identify policy changes needed to support system changes, and plans to execute them.
- Develop a five-year implementation roadmap for technology spending.
- Develop a repeatable IT governance model that articulates agency roles and responsibilities, decision-making, and communication processes that support timely resolution of defects and prioritization of system changes.
- Develop a process and culture that ensures that the IT Strategic Plan be updated every year.

4.2.1.2 Estimated Personnel Costs

- An estimated 1000-1250 hours to facilitate strategic planning work sessions, survey staff for unmet business needs, develop and prioritize a list of strategic issues, develop a list of technology initiatives to resolve the issues, and plot a five-year timeline.

4.2.1.3 Implementation Plan

This is a four to six-month effort that should begin as soon as possible so it can inform and guide decisions about other mission-critical OEC IT activities. The Strategic Plan should be reviewed annually and updated as needed, for example when a significant new policy or technology initiative is implemented.

4.2.1.4 Benefits

The OEC Strategic IT Plan should help ensure adequate resources are in place to support existing systems and effectively plan for future needs. It addresses or partially addresses 15 of the 40 gaps identified by OIT during the current environment assessment and documented in Deliverable 1.

4.2.1.5 Impacts of Not Implementing

These gaps will likely persist without an IT strategic planning effort that prioritizes OEC IT projects, adequately funds user support and system operations and maintenance activities, and establishes a governance structure to promote effective interaction between the OEC business and OIT technology support team that operates and maintains OEC systems.

4.2.2 Non-Technology Initiative 2: Additional CHATS Operations and Maintenance Staff

4.2.2.1 Description/Scope of Work

The CHATS operations and maintenance team is not staffed at a level to appropriately support the needs of CHATS users and the CCCAP program, as evidenced by the persistently high number of unresolved help desk tickets, the length of time help desk tickets have been open, the inability to respond to known and new defects in a timely manner, and the inability to

proactively enhance the system to improve the user experience and meet evolving business needs.

OIT has identified the 12 positions in the table below to augment and sufficiently staff the CHATS technical team. Investing in the operations and maintenance team will facilitate the shift from reacting to issues to more proactively and strategically managing the system to support the business. CCCAP also needs additional resources to support CHATS testing; proactively identify system changes based on program and rule changes; and enhance communications between CCCAP, counties and OIT.

Table 4.3: Additional OIT Positions to Support CHATS

Position Description	Key Responsibilities
Ongoing Support and Configuration Management Specialist	Provide operational support and maintenance services throughout the entire life cycle of applications. These services vary in scope from minor issues to major issues causing application down-time. Configure and maintain new CHATS Configuration Management system. Perform systematic control of changes for the purpose of maintaining integrity and traceability throughout the software development life cycle.
System Architect	Support development and execution of strategic plan for CHATS and related systems that optimizes agency assets; identify new products and solutions to meet strategic business and IT objectives; ensure system security needs are efficiently met; establish and enforce system and data governance.
Senior Solution Engineer	Technology solutions leader, providing forward-looking recommendations for applications development across a broad scope of responsibility including technical architecture development.
Database Administrator	Create, install, configure, upgrade, and manage CHATS development, testing, and training databases. Monitor database performance. Identify and resolve problems arising from the utilization of the databases. Assist part of Daily Data promotion to test and production. Help maintain and promote to UAT/Production Build process.
Developer – Web Application Support	Design, develop, document, test, and maintain new application services to support designated agencies and/or the enterprise.
Developer – Web Application Support – PSSP & OIM	Design, develop, document, test, and maintain new application services to support designated agencies and/or the enterprise.
Business Process Manager	Develop and maintain business process documentation; conduct outreach to county users to identify opportunities for improvement.
Application Support Analyst	Assist with implementation of new releases, maintain system documentation, provide user support, and develop test cases.
Project Manager	Ensure system projects such as regular releases, enhancements, and upgrades are delivered on-time, on-budget, and with the scope and quality expected.

Position Description	Key Responsibilities
CCCAP Technical Liaison (2)	Responsible for setting policy, providing programmatic direction, prioritization, business requirements, and testing.
Level 2 Helpdesk Support	Categorizing incidents and problems such as server problem, network, data fix, code fix, code enhancement, training, etc., in-depth research, more complex technical assistance.

4.2.2.2 **Estimated Personnel Costs**

The on-going level of effort for this initiative ranges from 6 to 12 FTEs based on the following assumptions:

- These resources are distinct from the one-time resources needed to implement the nine recommended Hybrid/Enhancement Technology Initiatives.
- At least an additional 3 FTEs are needed to bring the CHATS technical team staffing up to an adequate level to respond to routine user and system needs in a timely manner.
- An additional 3 – 9 more FTEs are needed to enable the CHATS technical team to be proactive and strategic in enhancing software and hardware, respond promptly to system changes needed to comply with new state and federal regulations, and improve project governance and project management processes such as change management, configuration management and incident management.

4.2.2.3 **Implementation Plan**

This initiative should begin as soon as possible. New positions should be phased in to make efficient use of training resources and minimize impact of on-boarding on current operations.

Assuming a start date of January 1, 2015 and three months to create the job descriptions, get the positions approved, advertise the positions, and select candidates, the first group of four high priority positions should be in place starting on or about April 1, 2015. All new positions should be filled by December 31, 2015.

4.2.2.4 **Benefits**

Further augmentation of the CHATS Technical team will allow them to better serve the current program and users, and meet evolving program needs. Adding the appropriate positions will enable the team to assume a more proactive stance, facilitating tactical planning, system monitoring and continuous improvement activities.

4.2.2.5 **Impacts of Not Implementing**

With a lack of sufficient application of resources to routine operations and maintenance, CHATS has been accumulating technical debt since its implementation. This will continue if not addressed promptly and could overwhelm the system. Moreover, user confidence in CHATS and the support team is low and will continue to deteriorate without the commitment of additional resources. Because of the recent backlog of help desk tickets and lack of responsiveness to user-identified system issues, some users report they no longer enter help desk tickets because they think it is a waste of time.

4.2.3 Non-Technology Initiative 3: CHATS User Training

4.2.3.1 Description/Scope of Work

The success of CCCAP relies on comprehensive and ongoing training of CCCAP staff, county workers, parents and providers on both technology and policy. Investments in user training can create efficiencies and improve relationships with stakeholders. Nearly one quarter of users that responded to the recent CHATS survey stated the training they received was not sufficient to perform their jobs. The proposed CHATS Training initiative builds on the recent OEC expansion of training resources by establishing training as a key CCCAP business function. Key activities to be completed in the CHATS Training Initiative include:

Phase 1: Planning Activities

- Develop and obtain approval for a three-year CHATS Training Plan that documents the training needs of all stakeholders, approaches to meeting stated needs, and roles and responsibilities of OEC-CCCAP, OIT, Counties, parents, and providers. The Training Plan should cover, at a minimum, the following topics:
 - On-boarding training for new CHATS users
 - On-going/refresher CHATS system and CCCAP policy (state and county) training for county users
 - Regular training by release for users
 - Specific training needs by function and CHATS user role, such as training on Reports
 - POS system training for providers and parents
 - PSSP training for counties and providers
 - Plan to provide training in different formats to meet stakeholder needs (i.e., on-line/self-study as well as live in-person, at times and locations that work for providers and parents, in other languages)
 - Plan for maintaining training materials and user documentation
 - Plan for evaluating training events
- Establish and facilitate a CHATS Training Work Group to provide input into the Training Plan, particularly around training needs.
- Develop and implement a method to solicit and track training needs of all stakeholder groups.

Phase 2: Improvements to User Documentation and Training Materials

- Inventory and assess existing user documentation and training materials, identify content that needs to be updated and improved, and oversee execution of document revisions.

- Identify training materials and user documentation developed by counties that could be shared with others and create a venue for sharing.
- Make user documentation and training materials more accessible and user-friendly.
- Create 'Quick Tips' user support materials.

Phase 3: On-going Activities

- Ensure the successful execution of the training activities outlined in the Training Plan.
- Receive and follow-up on referrals from the Help Desk for tickets that are training-related.
- Evaluate training events and make improvements as needed.
- Assess and respond to training needs.
- Report on training progress and outcomes.
- Maintain training materials and user documentation.

4.2.3.2 Estimated Personnel Costs

The estimated level of effort for this initiative is 800-1000 hours for Phases 1 and 2 and .5 FTE for on-going training, assuming the following:

- The scope of work described above is distinct from and beyond the scope of work defined for the two new OEC trainers recently hired.
- A qualified training resource can be procured through an existing contract vehicle; a full RFP will not be required.

4.2.3.3 Implementation Plan

This initiative should begin as soon as funding is available (no later than July 1, 2015). In the interim, CCCAP should review this scope of work and determine if there are any activities that could be undertaken sooner by the recently hired OEC trainers.

- Phases 1 and 2 together are estimated to take six months.
- Phase 3 would begin after the completion of Phases 1 and 2 and is envisioned as an on-going CCCAP role.

4.2.3.4 Benefits

Users identified a number of issues with CHATS and the POS system that are not actual system defects, but training gaps. With additional training, we would expect CHATS and POS system users' experience with the systems to improve. Moreover, additional training about CCCAP policies and rules at both the State and county levels could help reduce improper payments that result from knowledge gaps.

Investments in training can also help improve worker efficiency and improve relationships with stakeholders, such as between the State CCCAP program and county users, and between

counties and providers and counties and parents. In addition, additional POS training for parents and providers should help reduce the need for providers to request manual payments.

4.2.3.5 **Impacts of Not Implementing**

Not increasing training resources and creating a training plan as proposed will likely lead to continued user frustration with the systems (CHATS and POS), accumulation of help desk tickets, continued need to manually bill, and potentially additional loss of providers and parents who find the systems too cumbersome.

4.2.4 **Non-technology Initiative 4: RFI for Attendance Tracking System**

4.2.4.1 **Description/Scope of Work**

Many factors in the CCCAP program environment are converging to support the need to reconsider the process and technology (the parent POS swipe cards and provider-based POS card reader machines) the State uses to check children in and out of care:

- Problems with the POS cards and machines reported by providers, parents, and county workers (such as machines require analog landline connectivity, stigma associated with the process, delays in parents receiving the cards can result in lack of care or loss of payments to providers, difficulty reviewing reports on the tapes for large centers) have resulted in frustration with the program and in some cases providers dropping out.
- The State's current contract with Xerox to provide the POS machines and swipe cards and maintain the EPPIC system that manages the flow of authorization and swipe data for provider payments expires in June 2015 (there is an option for up to three years of renewals), creating an opportunity to renegotiate with Xerox or implement a different technology.
- The implementation of the rule changes related to the HB14-1317 provision that disassociates parent work schedules from approved care hours will likely impact the process for authorizing and tracking care resulting in an opportunity to introduce a different check-in/out process.

The scope of work for this CHATS 2.0 Assessment did not include a detailed review of alternatives to the POS machines. However, through our research for the Best Practices Report, we gathered some information about systems other states are using and products available in the marketplace. We also learned that other states, such as Oklahoma and Indiana, that have reported success with the same POS system CCCAP uses, have more current machines that connect digitally.

Table 4.4: Summary of Electronic Attendance Tracking System Research from Other States

Solution	Brief Description	States Using or In Process of Procuring	Pros	Cons
POS machine	An electronic card that other authorized	Colorado Indiana Oklahoma	Allows for accurate recording of time down to the minute.	The system requires up front purchase of hardware and ongoing

Solution	Brief Description	States Using or In Process of Procuring	Pros	Cons
	caregivers swipe through the POS device when their children enter or exit care.	Texas Alabama North Carolina Ohio Virginia Wyoming	Allows for automated payments to providers. Effective at preventing fraud.	maintenance costs. Relies on parents remembering their cards. Relies on providers to enforce card use. Separate system from other center check-in. Identifies the family with the subsidy program.
EBT card	Child Care subsidy funds are estimated and loaded onto EBT cards alongside other benefits and handled by the parents.	Kansas Wisconsin (in progress)	Allows parents to take direct control of their child care payments. Providers are paid at the time of service. Opportunity to integrate benefits onto one card. Provider can use same sign-in system for all families (subsidized and private).	The system does not track time of children spent at a provider. The system requires up front purchase of hardware and ongoing maintenance costs.
Biometric device	Requires either parents or children to have their fingers scanned when they arrive at and depart from a child care provider.	Louisiana Wisconsin Texas Mississippi New York Iowa	Allows for accurate recording of time and attendance. Allows for automated payments to providers. Effective at preventing fraud.	Current technology doesn't accurately work for children under a certain age (four years old). Separate system from other center check-in. Identifies the family with the subsidy program. High implementation costs; better suited for large centers with many children.
Electronic sign-in	Online provider portal where provider enters and submits attendance information	Arkansas Delaware District of Columbia Florida	This system does not require special hardware. In several states, this is one of multiple	These systems do not offer the same level of protection against fraud and improper payments as other solutions.

Solution	Brief Description	States Using or In Process of Procuring	Pros	Cons
		Georgia Iowa Kentucky Massachusetts Michigan Missouri Nevada New Hampshire Rhode Island South Carolina Texas Vermont Alabama New York Pennsylvania Virginia Wyoming	options providers have for tracking attendance. Does not identify the family with the subsidy program since the provider records the data.	Time for the provider to enter data.
IVR (interactive voice response)	Allows providers to place a phone call into an automated system and use a series of voice prompts to enter child attendance information.	Arkansas Illinois Louisiana Michigan Texas Utah Vermont Ohio Wyoming	This system is simple and inexpensive to implement, as it does not require special hardware. In several states, this is one of multiple options providers have for tracking attendance. Does not identify the family with the subsidy program since the provider records the data.	Entering attendance via an IVR system can be a time-consuming process if the provider cares for many children. Better suited for home-based providers.

Our recommendation is to issue a Request for Information (RFI) to the vendor community, including Xerox, to gather more detailed information on the options, costs, and timeline related to implementation of a new or updated attendance tracking system. The results of the RFI process should be incorporated into the OEC Strategic IT Plan.

4.2.4.2 Estimated Personnel Costs

An estimated 150 to 200 hours of work are required for this initiative based on the following assumptions:

- Approximately 80-100 hours over a four-week period to develop the RFI, review with stakeholders, obtain approval for release and issue.
- Estimate receipt of five responses.
- Estimate approximately six to ten hours to review and analyze each response, plus additional time to compile key data, and prepare and present a final report.

4.2.4.3 Implementation Plan

Given the June 2015 Xerox contract expiration date, this RFI should be issued as soon as possible.

- Task 1: Approximately four weeks to develop the RFI, review with stakeholders, and obtain approval for release.
- Estimate three to four weeks of vendor response time.
- Task 2: Estimate approximately four weeks to review and analyze responses, compile key data and prepare a report.

Parallel to development of the RFI, the State should undertake the following tasks as soon as possible:

- Request a quote from Xerox to upgrade the POS machines to hardware that can connect to digital lines and make the associated modifications to EPPIC.
- Review the contract with Xerox to determine if Xerox is meeting the agreed-upon service level agreements, including responding to customer service requests.
- Determine the CDHS long-term strategy for issuing other benefits such as SNAP and TANF and consider opportunities to integrate issuance of CCCAP subsidies with other benefit programs (i.e., is CDHS expecting to retain the Quest EBT Card and if not, what alternatives is it considering?). Some states use a single EBT card to issue all benefits, a family-friendly policy.

4.2.4.4 Benefits

It will benefit the State to collect information about cost and functionality from the current vendor (Xerox), other vendors, and other state programs as inputs to making a decision on the child care attendance tracking system that best meets the need of the program, providers, parents, and counties given recent legislative and rule changes, as well as new technologies on the market.

4.2.4.5 Impacts of Not Implementing

If the State does not take action on this initiative, it will be in a situation to have to renew the existing agreement with Xerox for over \$1 million per year without knowing if it is getting the

service expected, best value, and best functionality. If the Provider Self-service Portal (PSSP) fails to meet expectations and the existing POS system remains in place, CCCAP is at risk of losing more participating providers.

4.3 Technology Initiatives Resource Assessment

This section contains a description/scope of work, estimate of technology and personnel costs, high-level implementation plan, and description of benefits and impacts of not implementing for each of the nine technology initiatives identified.

4.3.1 Technology Initiative 1: CHATS Hardware and Software Refresh

4.3.1.1 Description/Scope of Work

The current CHATS infrastructure was implemented over four years ago, and the current hardware and software is nearing the end of its service life. Most hardware for critical systems has a four-year useful lifecycle. Software lifecycles are usually limited by vendor support. Included in this initiative will be activities that abstract the current systems from the hardware in which they currently reside, making them cloud ready.

This initiative should be conducted in three phases:

Phase One: Development Environment

The development environment should be refreshed first, to enable staff to develop the refresh process for CHATS without risk to the production system. The steps required to achieve the required results can be developed, tested, and refined in this environment. This will allow staff to understand the complexities and issues specific to CHATS, and develop procedures to deal with issues in a controlled environment.

Phase Two: User Acceptance and Testing Environment

The User Acceptance and Testing Environment is usually identical to the production environment. This phase will allow staff to validate their processes in a production-like environment. Special attention should be paid to any interruption in service during this phase, noting the duration and potential impact to the program. This information should be used in the determining the scheduling of the final phase, and will be important details in the communications prior to the final phase.

Phase Three: Production Environment

After developing and testing the processes in the first two phases, staff should be well prepared to implement the changes in the Production Environment. Comprehensive knowledge of the tasks involved, issues that are likely to arise and their solutions, and time required for each task should result in an accurate schedule that can be communicated to stakeholders. The experience gathered will ensure minimal impact to services.

4.3.1.2 Estimated Technology Costs

Assuming that State procurement agreements may yield significant discounts from list prices for licensing, the one-time cost for refreshing the application infrastructure is estimated at \$250,000

- \$300,000 for the purchase of 16 physical server systems at an average cost of \$10,000 each, SQL server licensing at \$50,000, and BizTalk licensing at \$32,000. Based on the OIT cloud initiative underway, it is expected that the \$160,000 for physical servers would be used to scale out the host environment to provide capacity for CHATS.

Annual software maintenance costs are estimated at 15% of the initial purchase price.

4.3.1.3 Estimated Personnel Costs

- The estimated one-time level of effort is 500-700 hours.
- On-going personnel costs associated with operations and maintenance are included in NT.2.

4.3.1.4 Implementation Plan

This initiative should begin as soon as funding is available (July 1, 2015). The process of refreshing the application is estimated to take three to four months.

4.3.1.5 Benefits

Operations will see improved performance from new hardware, and the risk of component failure will be reduced. Updating the operating systems will bring the application into a more supportable state; especially the windows based operating systems. These operating systems are currently nearing the end of their supported life. Updating applications software will also yield the same benefits.

An essential part of maintaining system security is the application of critical security software patches. While windows-based operating system flaws receive a large amount of press, all operating systems contain vulnerabilities. Keeping operating systems in support ensures the availability of security patches for the environment. Moving to the latest stable software and operating system version will ensure that critical security patches are available until the year 2023.

4.3.1.6 Impacts of Not Implementing

Without a refresh, most of the Microsoft Windows-based operating systems will be at end of support within the next 12 months. At that time, security enhancements will no longer be available. Inaction will continue to cause the application to accrue further technical debt and potentially expose the system to security vulnerabilities.

4.3.2 Technology Initiative 2: Electronic Document Management System

4.3.2.1 Description/Scope of Work

Implement an electronic document management system (EDMS) and integrate into CHATS. Eligibility documentation such as birth certificates, citizenship records, and immunization records obtained by other programs or by CCCAP during a previous application process should be accessible to CCCAP case workers. CCCAP case workers should be able to view documents entered by other programs such as SNAP and TANF, and should be able to upload, store, view and search new documents. Initiative includes deploying or linking to the instance of the EDMS commercial-off-the-shelf (COTS) product Perceptive (the State's preferred enterprise

content management tool) used by the PEAK application so CCCAP can access client documentation provided for other programs. Configuration of the document management system would be required to collect and store document metadata relevant to CHATS. Customizations would be required in CHATS to display documents associated with a particular case.

4.3.2.2 Estimated Technology Costs

Approximately \$50,000 to \$100,000 for one-time software licensing or hosting fees for an estimated 1,100 CHATS county users based on these assumptions:

- State agreement with Perceptive makes this software available to agency users at a discounted price.
- Multifunction printers and copiers are common equipment in most office environments and most can already function as document scanners. The purchase of dedicated scanners for this purpose would not be required.
- Annual software maintenance costs are estimated at 15% of the initial purchase price.

4.3.2.3 Estimated Personnel Costs

Integration of the document management system and CHATS will require customization of CHATS to upload, search and display documents. The level of effort is estimated at 1,200 to 1,400 hours.

Based on the assumption that the additional OIT resources identified in NT.2 are obtained to maintain the EDMS integration, there are no additional on-going personnel costs associated with this initiative.

4.3.2.4 Implementation Plan

This initiative should begin as soon as funding is available (July 1, 2015). Implementation will take an estimated six to twelve months.

4.3.2.5 Benefits

Storing case documentation electronically will improve case worker efficiency and lessen the burden on families. Supporting case documentation that was filed separately from each case can now be tagged and stored with the case. This will greatly reduce instances of lost or misfiled documentation, resulting in improved customer service.

4.3.2.6 Impacts of Not Implementing

Not implementing a document management system will result in continuing the status quo of paper-based documentation being stored outside the CHATS system in paper based files. Case workers will continue to spend time searching for documents, or will continually request new copies from the clients. Families will continue to be required to provide the same documents numerous times for different program applications, renewals, or re-applications.

4.3.3 Technical Initiative 3: Batch Notice Printing

4.3.3.1 *Description/Scope of Work*

CHATS currently produces a significant volume of notices to providers and families. Every notice requires the case worker to print the notice, place in a properly addressed envelope, apply postage, and place it in the outgoing mail. Creating a batch process to a central mailroom would separate this activity from case management, making case workers more efficient.

Changes would be required to the CHATS service responsible for generating the notice. Rather than printing notices on demand, counties should have the ability to generate all notices at a specific time and print them to a designated printer. The ability for a caseworker to generate and print a single notice on demand should be retained.

Implementing batch printing will involve configuration changes to CHATS components such as the Adobe Document server, new automations to drive the batch printing, and additional configuration tables to hold the county printing settings. Changes to the application's code are expected to be minimal.

4.3.3.2 *Estimated Technology Costs*

There are no one-time or on-going technology costs identified for this initiative based on these assumptions:

- Many counties already have centralized printing and mailroom systems and functions that are used for mailings from other programs and can be leveraged for this purpose.
- Notices are documents generated by the Adobe Document Server.
- This functionality can be enabled entirely within the CHATS system.

4.3.3.3 *Estimated Personnel Costs*

Assuming minimal code changes to CHATS will be required, the estimated level of effort for this initiative is 200 to 400 hours. The NT.2 additional CHATS O&M resources can perform routine operations and maintenance activities.

4.3.3.4 *Implementation Plan*

This is a medium priority initiative and should begin on or about January 1, 2016 after the completion of other more critical initiatives. Implementation is estimated to take approximately three to six months.

4.3.3.5 *Benefits*

This initiative is expected to improve customer service by allowing case workers to focus on case management. The clerical activities associated with notices can potentially be delegated to mail room staff or as a once-a-day activity for a case worker. This focused activity will result in a lower incident rate of lost or delayed notices.

4.3.3.6 *Impacts of Not Implementing*

Not implementing this initiative retains the current notice printing environment with the associated inefficiencies and opportunities for lost or delayed notices.

4.3.4 Technology Initiative 4: Agile Data Management

4.3.4.1 *Description/Scope of Work*

Enhance the CHATS database infrastructure to utilize OIT's Database as a Service (DAAS) initiative. DAAS abstracts the data store from the application, and allows for a single database infrastructure to supply data to a variety of applications. This initiative will remove the barriers that exist in today's environment that prevent real time reporting.

4.3.4.2 *Estimated Technology Costs*

Assuming the DAAS initiative has already been deployed to other CDHS applications and the existing DAAS will have sufficient capacity for the CHATS data, due to its relatively small size, there are no additional one-time or on-going costs related to this initiative.

4.3.4.3 *Estimated Personnel Costs*

Implementation of this initiative estimates the need for 800 to 1000 effort hours. No additional costs for on-going maintenance are estimated as the additional OIT O&M resources identified in NT.2 can handle this work.

4.3.4.4 *Implementation Plan*

This initiative should begin as soon as funding is available (on or before July 1, 2015). Implementation will take approximately four to six months.

4.3.4.5 *Benefits*

This initiative consolidates multiple independent database infrastructures into a single architecture. This will simplify the overall database infrastructure and reduce the associated support costs. Over time as more applications utilize Database as a Service, the need for interfaces between disparate systems will also decrease. This in turn will reduce future development costs.

4.3.4.6 *Impacts of Not Implementing*

Not implementing this initiative will leave the current barriers to ad-hoc reporting unaddressed. Real-time report generation, querying, and decision support will continue to be unavailable to users and decision-makers.

4.3.5 Technology Initiative 5: Business Intelligence and Predictive Analytics

4.3.5.1 *Description/Scope of Work*

The Business Intelligence and Predictive Analytics initiative will leverage OIT tools such as QuickView that enable business users to mine large quantities of data without detailed knowledge of the structures where the data resides. Activities include the deployment of the Business Intelligence infrastructure and software along with the report design work and development of a data dictionary that enables business users to access the data fields that they require.

4.3.5.2 Estimated Technology Costs

The one-time cost for licensing Business Intelligence (BI) software such as QuickView is estimated at \$100,000 to \$150,000. On-going software maintenance costs are estimated at \$15,000 to \$175,000 annually based on 15% of the initial purchase.

4.3.5.3 Estimated Personnel Costs

The level of effort for implementing and configuring a Business Intelligence toolset is estimated at 2500 to 3000 hours. On-going maintenance can be assumed by OIT if additional resources identified in NT.2 are obtained.

4.3.5.4 Implementation Plan

This initiative should begin as soon as funding is available (July 1, 2015). Implementation will take approximately six to twelve months.

4.3.5.5 Benefits

An effective Business Intelligence infrastructure places tactical and strategic business information in the hands of knowledge workers and decision makers, assisting them in making well-informed decisions. These tools can be used to quantitatively measure impacts of program changes over time. CHATS users identified numerous gaps in CHATS reporting capability.

4.3.5.6 Impacts of Not Implementing

Not implementing this initiative will continue the status quo. The program will lack key decision support analytics and reporting functionality. Without these tools, knowledge workers will continue to need OIT support to build data queries, adding overhead to the decision-making structure and resulting in delays in the availability of new reports.

4.3.6 Technology Initiative 6: CHATS Interface with QRIS

4.3.6.1 Description/Scope of Work

With the passage of HB-1317, Colorado must implement a state-wide tiered reimbursement model for CCCAP providers with a QRIS quality level rating by July 2016. In order to calculate and disperse tiered reimbursement funds through CHATS, linkages with both the State's Next Generation Quality Rating Information System (QRIS) and licensing systems will be required.

The CDHS-OEC-Quality Assessment System's Scope of Work (SOW), outlines the integration specifications for QRIS and TRAILS, the State system that stores information about licensed child care providers. Details of this integration include:

- Batch integration
- Opensource solution
- Bi-directional
- Two interfaces:
 - Query/upload provider data to create a new provider record
 - Query/upload/update license data for an existing provider

The structure of the QRIS and TRAILS integration creates an opportunity for CHATS to establish a single interface with QRIS. In doing so, CHATS will be able to receive the required data fields from both the QRIS and TRAILS to implement tiered reimbursement.

It is important to note that the current QRIS SOW does not plan for an interface with CHATS. A one-way sharing of data between QRIS and CHATS is suggested below. Key specifications for the CHATS-QRIS Integration include:

Phase 1: Design

- Validate business requirements based on final HB14-1317 rule-making related to tiered reimbursement.
- Work with QRIS team to determine best interface approach
- Identify interface (objects/tables for each system)
- Identify integration actions: insert, update, delete
- Identify frequency and triggering event
- Identify integration technique (batch file, web services, etc.)
- Identify integration security protocol and authentication
- Plan testing and validation procedures

Phase 2: Development

- Create data schemas to include, at a minimum:
 - Licensing details (license number, license type, license capacity, record of licensing violations/resolution; unique ID, dates of license, licensing status (license-exempt; experienced))
 - Program Profiles (program name, provider type, days/hours of operation, ages of children served, staff development, unique ID)
 - Staff profiles (education level/professional development)
 - QRIS quality level rating (1-5)
 - QRIS details (date of rating, status)
 - Accreditation details (name of state approved accreditation, dates, status)
 - Head Start and Early Head Start designation
- Execute modifications to CHATS to structure the tiered reimbursement rates, process data received from QRIS and apply the correct provider reimbursement rate

Phase 3: Test and Deploy

- Create and execute functional test cases

- Create and execute user acceptance testing
- Prepare and conduct user training
- Communicate new policies and system changes to providers, and state and county CCCAP staff
- Deploy interface and associated changes to CHATS

4.3.6.2 Estimated Technology Costs

We are assuming that the interface to QRIS will not require the acquisition or licensing of any new software or hardware.

4.3.6.3 Estimated Personnel Costs

Approximately 900-1300 hours of work will be required to implement this initiative.

- Approximately 200-300 hours to review the final rules related to tiered reimbursement and translate them into business requirements for the QRIS interface and support business requirements validation and testing.
- An estimated 400-600 hours to design, develop and test the interface.
- Approximately 300-400 hours will be needed to make the changes to CHATS.

Assuming the additional O&M resources are obtained for OIT to fully support CHATS (see initiative NT.2), these resources should be able to maintain the QRIS interface and no on-going costs should be required.

4.3.6.4 Implementation Plan

HB14-1317 requires the tiered reimbursement system to be in place by July 1, 2016. Work on this initiative should begin immediately after the draft rules to implement the tiered reimbursement provision are issued. Execution of Phases 1 through 3 is estimated to take four to six months.

4.3.6.5 Benefits

Some extent of data transfer from the Next Generation QRIS to CHATS is necessary for CCCAP to meet the requirements of HB-1317 regarding tiered reimbursements. A one-directional interface with QRIS will be sufficient to meet the needs of HB-1317, CCCAP QRIS quality reporting, and county tiered reimbursement tracking. Establishing an integration with one system (QRIS) instead of two (QRIS and Licensing) individually will save money and time.

While a bi-directional interface may not be currently necessary to accomplish CHATS future needs, this approach could provide additional benefits to the QRIS system. Currently, CHATS closely tracks and verifies specifics regarding a provider's class size, attendance, and CCCAP participation. Conversely, in the QRIS system this data is self-reported by the provider and therefore subject to inconsistencies and erroneous reporting. If a future bi-directional interface is established, the QRIS system will benefit from receiving validated data in these areas.

4.3.6.6 Impacts of Not Implementing

Without a QRIS interface to CHATS, it will likely be very time-consuming to obtain the QRIS data necessary to implement the tiered reimbursement requirements set forth in HB-1317. Other methods of obtaining the necessary data from QRIS, such as a scheduled bulk data transfer or allowing QRIS read-only access, would require more time for the county worker.

4.3.7 Technology Initiative 7: CHATS UI/UX Enhancements

4.3.7.1 Description/Scope of Work

Many of the CHATS issues identified by users in meetings and the user survey relate to the user experience (UX) such as screen and data flow and interaction, and “polishing” of the user interface (UI). This feedback indicates the presence of issues in the underlying design and presentation layers of CHATS. Sustained negative user experience often results in the belief that the system is “broken” or “doesn’t work,” which increases the demand on user support, help desk tickets, and manual workarounds. Addressing UI/UX issues is critical to resolving negative user perceptions and to creating a system environment that allows for optimized work efforts.

Key UI/UX deficiencies that should be considered for remediation as part of this initiative include:

- Provide progress tracking, user prompts, and notifications of incomplete steps or fields when completing a multi-step process requiring the use of additional screens and areas across the system.
- Clearly label all required fields, ensure the system logic enforces these requirements, and consider inclusion of instructions and tooltips that instruct users on the requested content.
- Ability to track edits on certain fields and record updates with front-facing audit logs displaying date, time, userID, and a list of the saved changes.
- Ability to save data prior to restarting a business process.
- Provide more flexibility for users to edit and delete previously saved data on certain fields and certain screens.
- Additional system notifications such as incomplete tasks and saving fields that will become read-only.
- Logic-driven system notifications to prevent data entry errors when questionable or inconsistent data is entered such as the start date of care.
- Present character count in free text fields showing maximum number characters and number of characters remaining; increase text box size and generate scroll bars when text exceeds the screen size.
- Map areas of data duplication across CHATS screens and modules to autofill all once entered in a single location and to update all when edited in a single location.

- Apply automatic data formatting to fields requiring dates, percentages, currency amounts, and dashes for social security numbers and phone numbers.
- Embed spell check functionality in all open text fields.
- Smart information design to prevent the entry of illogical data based on other data already entered.
- Enable a print feature in the system area of county plans.
- Create data fields for one or more absent parents per child and County Household Number.
- Redesign of the Authorization Notice.
- Eliminate the need to redetermine eligibility when updating case information.
- Simplify entry and update of provider rates.
- Simplify entry of parent and children's schedules.

Phase 1: Design

- Refine and validate business requirements.
- Develop and validate design.

Phase 2: Development

- Execute configuration, user interface, and coding changes.

Phase 3: Test and Deploy

- Create and execute functional test cases.
- Create and execute user acceptance testing.
- Prepare and conduct user training.
- Communicate new policies and system changes to providers, and state and county CCCAP staff.
- Deploy changes.

4.3.7.2 Estimated Technology Costs

The assumption is that UI/UX enhancements will not require the acquisition or licensing of any new software or hardware.

4.3.7.3 Estimated Personnel Costs

4.3.7.3.1 Assumptions

- Some of the specifications listed may be addressed by the CHATS stabilization initiative.
- Grouping similar development tasks will improve both the timeline and cost efficiencies.

The level of effort for this initiative will vary depending on the agreed-upon scope of the enhancements but is expected to range from 1,200 to 1,400 hours of effort. On-going personnel needs will be filled by the additional CHATS O&M resources identified in NT.2.

4.3.7.4 Implementation Plan

This initiative should begin as soon as funding is available (July 1, 2015) or sooner if possible. Planning, development, testing, and implementation of these enhancements could take six to twelve months depending on the agreed-upon scope.

4.3.7.5 Benefits

Investments in UI/UX reflect a commitment to CHATS users and the overall success of the system. As the system expands to accommodate greater data entry efficiencies, like auto formatting and one-time comprehensive updates, user errors will steadily decline over time. Elevating CHATS to better anticipate user needs will result in expanded work effort efficacies and improved client communication and responsiveness.

When users are able to seamlessly accomplish work tasks in CHATS, the demand for user support will be reduced, as will the number of related helpdesk tickets. As the system is developed to better meet the needs both of its county-staff and provider users, stakeholder buy-in will be positively influenced and participation will likely increase.

4.3.7.6 Impacts of Not Implementing

Not applying UI and UX enhancements as proposed will likely lead to continued user frustration with the system, accumulation of help desk tickets, and continued system workarounds which may cause unanticipated technical bugs.

CHATS participation will place unnecessary strain on users who are often required to duplicate work efforts and are unable to trust the data stored in the system. This mistrust and frustration will require additional investments in time outside of CHATS tracking data in order to validate specifics required for the allocation of funds.

With sustained negative experiences within CHATS, users will draw the conclusion that the system does not work because it fails to meet their present needs and providers may opt out of CCCAP participation.

4.3.8 Technology Initiative 8: Complaints and Investigations Functionality

4.3.8.1 Description/Scope of Work

Counties are required to investigate complaints against qualified providers and manage any resulting corrective action. Currently, management of information related to these investigations is primarily supported through paper processes in standalone systems outside of CHATS. Substantiated complaints on exempt providers are completed by county departments of human services in coordination with the Division of Early Care and Learning. Substantiated complaint files are maintained at the Division and made available to the public and counties upon request.

Information about substantiated complaints against unlicensed providers is not readily accessible to the public, provider, or counties.

Three general specifications for CHATS Complaints and Investigations functionality have been identified:

- Establish a standardized component in CHATS for counties to enter information on qualified provider investigations and outcomes of complaints.
- Enable access to this information by the public, providers, and counties.
- Enable notifications to parents, providers, and counties when a complaint has been substantiated.

Phase 1: Design

- Refine and validate business requirements.
- Develop and validate design.
- Determine interface/data exchange needs with other OEC systems and portals for information-sharing.

Phase 2: Development

- Execute configuration, user interface, and coding changes.

Phase 3: Test and Deploy

- Create and execute functional test cases.
- Create and execute user acceptance testing.
- Prepare and conduct user training.
- Communicate new policies and system changes to providers, and state and county CCCAP staff.
- Deploy changes.

4.3.8.2 Estimated Technology Costs

It is assumed that the development of this new functionality will not require the acquisition or licensing of any new software or hardware.

4.3.8.3 Estimated Personnel Costs

One-time costs and timelines for development of this functionality depend on the business specifications agreed upon and the development and deployment approach selected. 600 to 800 hours of effort should be sufficient to complete the design, development, testing and implementation work required. On-going maintenance resources will be provided through NT.2.

4.3.8.4 Implementation Plan

This initiative should begin as soon as funding is available (July 1, 2015). Planning, development, testing, and implementation of these enhancements could take six to eight months depending on the scope defined and availability of resources.

4.3.8.5 Benefits

One of the foundational aspects of CCCAP is that parents are able to maintain the right to choose the service provider for their children. With the recommended enhancements and additional connectivity between CHATS and licensing, parents will be able to make more informed decisions regarding their child care provider.

Standardization of the complaint investigation process will result in equitable determinations of corrective action, termination of contracts and dismissal of unsubstantiated claims. CHATS can optimize the existing presence of the licensing website and by integrating data with licensing details the site can present a comprehensive provider history, resulting in a single point of reference for public access.

4.3.8.6 Impacts of Not Implementing

Without enhancements to the complaint and investigation business processes in CHATS, providers will suspect unjust action to submitted program allegations. Visibility into licensing data will continue to be limited and county-staff, providers, and the public will lack access to significant information.

4.3.9 Technology Initiative 9: CHATS Financial Module Enhancements

4.3.9.1 Description/Scope of Work

25% of survey respondents ranked Financials as the most problematic CHATS system component, making it the third lowest ranked below Correspondence and Reports. This system component is responsible for managing CCCAP provider payments at the county level, and as such it is critical that erroneous logic, system bugs, and user issues are abated. Key specifications that should be applied to the Financial Management component of CHATS include:

- System-generated reconciliation of actual attendance and actual care paid.
- Ability to track payments and authorizations using the same or both units of measure (FT/PT and/or hours).
- Ability to track manual payments.
- Develop payroll summaries by provider inclusive of both automated and manual payments that can be filtered by family or by child, with alerts when final payment and submitted billing amounts differ.
- Configure CHATS to allow payment from the appropriate funding source.
- Display the history of payments by provider and by county.

- Implement the ability to transfer all or some of a parent fee to a new provider; automating the process to recognize if a parent fee was paid for a given month when the parent changes provider's mid-month.
- Automate provider payment tracking in order to alert county-staff of dates paid that are included in a manual claim, with override capabilities if the second manual bill is corrected.
- New functionality to manage recoveries including the ability to identify and track the reason for the recovery, method of recovery, and recovery payment status, as well as a template for a repayment/ recovery agreement.

Phase 1: Design

- Refine and validate business requirements.
- Develop and validate design.

Phase 2: Development

- Execute configuration, user interface, and coding changes.

Phase 3: Test and Deploy

- Create and execute functional test cases.
- Create and execute user acceptance testing.
- Prepare and conduct user training.
- Communicate new policies and system changes to providers, and state and county CCCAP staff.
- Deploy changes.

4.3.9.2 Estimated Technology Costs

Our assumption is that the development of this new functionality will not require the acquisition or licensing of any new software or hardware.

4.3.9.3 Estimated Personnel Costs

One-time costs for enhancements to CHATS Financials functionality are dependent upon the extent of the enhancements agreed upon. The level of effort is estimated to be between 1,400 and 1,600 hours.

Assuming the additional O&M resources are obtained for OIT to fully support CHATS (see initiative NT.2), these resources should be able to maintain the new CHATS functionality and no additional on-going costs should be required.

4.3.9.4 Implementation Plan

This initiative should begin as soon as funding is available (July 1, 2015). Planning, development, testing, and implementation of these enhancements could take six to eight months.

4.3.9.5 Benefits

With the implementation of the suggested enhancements, occurrences of the misappropriation of provider funds should decrease. Financial module enhancements have the potential to create a domino effect, with a reduction of manual claim occurrences and the need to process recoveries of funds, resulting in overall improvements to the management and utilization of State and county monies.

4.3.9.6 Impacts of Not Implementing

Not applying enhancements to the financial modules of CHATS extends identified areas of system weakness, which will likely lead to continued provider and county-staff system frustration, the continued need to manually bill, extended delays in processing reimbursements, and increased demand to recover overpayments. If financial management functionality is not working accurately and optimally, overpayments to providers requiring recoveries can result as well as delays in the processing of manual claims.

APPENDIX A: ACRONYMS

Acronym	Definition
BI	Business Intelligence
CBMS	Colorado Benefit Management System
CCCAP	Colorado Child Care Assistance Program
CDHS	Colorado Department of Human Services
CHATS	Childcare Automated Tracking System
DAAS	Database As A Service
EBT	Electronic Benefit Transfer
EDMS	Electronic Document Management System
EPPIC	Electronic Payment Processing and Information Control
FTE	Full time Equivalent
OEC	Office of Early Childhood
OIM	Oracle Identity Manager
OIT	Governor's Office of Information Technology
O&M	Operations and Maintenance
PEAK	Program Eligibility and Application Kit (self-service benefit program application portal)
POS	Point of Sale
PSSP	Provider Self-Service Portal
QRIS	Quality Rating and Improvement System
RFI	Request for Information
RFP	Request for Proposal
SOW	Scope of Work
TANF	Temporary Assistance for Needy Families
TRAILS	Colorado State Automated Child Welfare Information System (SACWIS)
UAT	User Acceptance Testing
UI/UX	User Interface / User Experience

APPENDIX B: SOURCES CONSULTED

Document or Individual Name	Author	Date
CDHS-OEC-Quality Assessment System - Scope of Work	Vertiba, Inc.	May 20, 2014
CHATS Replacement Project Closeout Report	Deloitte	No date
Childcare Administrator's Improper Payments Information Technology Guide, Part I: Inventory of State Childcare Information Systems	Walter R. McDonald & Associates, Inc. for Administration for Children and Families, Office of Child Care	March 2, 2011
Child Care and Development Fund (CCDF) Plan For Colorado FFY 2014-2015	Colorado Department of Human Services	Effective October 1, 2013
Federal Improper Payments Report FY 2013	Colorado Office of Early Childhood	July 30, 2014
Hilaire Brockmeyer and Galina Kivoruk, OIT – Review of Gaps List	Office of Information Technology	September 2014
Information Technology Schedule IT 70 General Purpose Commercial Information Technology Equipment, Software, and Services, Category SI 132-31 Information Technology Professional Services	U.S. General Services Administration	Multiple
Provider Self-Service Portal (PSSP) Welcome to Provider Training	Colorado Department of Human Services	September 2014

APPENDIX C: GAP ANALYSIS

The two tables in this appendix contain the lists of gaps presented in Deliverable 1: Needs Assessment and Gap Analysis, with two additional columns. The “Planned/In-progress OIT/OEC Initiative” identifies any funded projects planned or underway to address the issue or gap; the possible data values are PSSP, CHATS Stabilization, HB14-1317 Changes, PEAK and OEC Training. The “Recommended Initiative” column identifies the initiative(s) identified in this report recommended to address the issue or gap.

Table C.1: Current Environment Issues/Gaps Identified by Stakeholders

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
CI.1	The system does not provide a standardized component for counties to enter information on investigations and outcomes of complaints and does not link this information to the Licensing complaint tracking system (CCCLS).	The system must provide a standardized component for counties to enter information on investigations and outcomes of complaints. Link this information to the Licensing complaint tracking system (CCCLS).	Complaints and Investigations	None	T.8 Complaints and Investigations Functionality
CI.2	The system does not provide an interface between Qualified Provider complaints and the existing web site on licensed providers.	The system must provide an interface between Qualified Provider complaints and the existing web site on licensed providers.	Complaints and Investigations	None	T.8 Complaints and Investigations Functionality
CP.1	Currently, the County Policy Management process relies on an email from county staff to state CCCAP staff to provide notification that a change in county policy needs to be approved.	System-generated notification when an updated County Plan is submitted for approval.	County Policy Management	None	NT.2 Additional CHATS O&M Staff
CP.2	State workers do not have a way to use	CHATS should have the ability to	County Policy	None	NT.2 Additional

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	CHATS to monitor county plan implementation. Currently do not know if counties are abiding by plans approved by state.	generate reports based on County policy options.	Management		CHATS O&M Staff
CP.3	Currently, CHATS does not allow county staff to see case load utilization real-time. This might be an issue for budgeting and authorization. Parents may have authorization, and therefore are budgeted, for a year but are using it on and off.	The solution must have the ability to show real-time information regarding utilization of services against authorizations and county and state workers must be able to report on actual utilization versus authorization for budgeting and planning purposes.	County Policy Management	None	NT.2 Additional CHATS O&M Staff
CP.4	Not enough space in free text fields in County Plan Management screens.	Provide the ability to attach documents. Provide additional space to describe county policies.	County Policy Management	None	T.7 CHATS UI/UX Enhancements
CP.5	There is no ability to compare information in county plans to identify similarities and differences between counties.	The system should have the ability to compare information in the county plans.	County Policy Management	None	NT.2 Additional CHATS O&M Staff
CP.6	There is no linkage between the County Plan and other areas of CHATS where the policies are executed. For example, changes to county rates must not only be entered in the County Plan in CHATS but then must be adjusted elsewhere in the system. Adjustments in the rate only in the County Plan module will not result in an actual change in the rate. This	There should be one "source" for any data entered in the system. If a new rate is entered, and approved by the state, it should automatically be applied everywhere in the system. One data element should not be housed in different locations.	County Policy Management	None	T.7 CHATS UI/UX Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	sometimes results in counties thinking they have made a change but the change has not actually been made in the system and therefore is not being actively applied.				
CP.7	Information about policy and program changes does not always reach counties, providers and parents in a timely manner.	The system must support an accurate, streamlined and timely process to inform counties, CCCAP families and child care providers of policy changes that will impact them.	County Policy Management	None	NT.3 CHATS User Training
CP .8	The county plan management in CHATS is not user friendly and doesn't provide the ability for the plan to be printed or to be converted/formatted for use on websites.	The system used for county plan management must be user friendly and provide the ability for the plan to be printed and also to be converted/formatted for use on websites.	County Policy Management	None	T.7 CHATS UI/UX Enhancements
FM.1	Authorizations are described in 'full time/part time' units, but provider payments are based on hours; this causes confusion and inconsistencies.	Payments and authorization should be tracked using the same or both units of measure (FT/PT and/or hours).	Financial Management	None	T.9 Financial Module Enhancements
FM.2	It is a time-consuming manual process to reconcile actual attendance and actual care paid.	System-generated reconciliation of actual attendance and actual care paid.	Financial Management	None	T.9 Financial Module Enhancements
FM.3	Parent fees can change when there is a change in income, and it is difficult for providers to track. They are informed via	Providers should have access to real-time parent fee information. Providers should have the ability to	Financial Management	PSSP	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	<p>a copy of the new Authorization Notice. Sometimes providers do not notice the change until after the parent has paid the old fee for the month. This is usually when the Parent Fee increases and the provider has not collected the new higher amount from the parents. Providers report they tend to eat this loss rather than try to collect it from parents. Parent fee audit is manually intensive for both providers and counties.</p>	<p>track parent fees electronically and do quick and accurate reconciliations against what was owed and what was paid.</p>			
FM.4	<p>CHATS does not support moving a Parent Fee when the parent changes providers. The result is the parent may have to pay the Parent Fee twice, or, depending on the provider's policy, the provider may never receive the Parent Fee if a parent switches providers.</p>	<p>System must have the ability to transfer all or some of parent fee to a new provider. The system should be able to recognize if a Parent Fee was paid for a given month when the parent changes providers mid-month.</p>	Financial Management	HB14-1317 Changes	
FM.5	<p>Providers have paper sign-in sheets for parents in addition to the swipe machine.</p>	<p>The system should support electronic sign-in and integration with provider-based electronic sign-in systems to enable cross-checking of payments or swipes against attendance and minimize burden on parents.</p>	Financial Management	PSSP	
FM.6	<p>Many parents and providers struggle with the use of the POS machines, in particular those who are not technically-</p>	<p>Device should be more user-friendly. More program-specific (not just the</p>	Financial Management	OEC Training	NT.4 RFI for Attendance Tracking System

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	savvy, were distracted during trainings, do not speak English well, cannot read or have limited literacy, or did not receive training from the county. The screen and paper tapes are difficult to read for many.	machine vendor) Help Desk support should be available.			Replacement
FM.7	While the POS machine provides some reports for providers, the more children the provider has, the more cumbersome these reports are to utilize given the small print on the paper tapes, which are also prone to fading and tearing. In addition, for privacy reasons, the print-out only shows the child's first name. In a large center, this necessitates looking up manual records to reconcile attendance and identify and mis-swipes.	Enable providers to view real time daily swipes, current case information, attendance, case and authorization notes and history screens, and payment history.	Financial Management	PSSP	
FM.8	A system defect allows someone to not swipe out Friday, but swipe in Monday without an error telling them to swipe back in for a missed swipe. If the missed swipe is not corrected, the provider may not get paid for that day.	This defect must be fixed to prevent missed swipes and ensure providers are paid for services utilized.	Financial Management	CHATS Stab	
FM.9	The POS devices require a dedicated analog land-line which is expensive, not always feasible to have installed (at a school gym, for example, for school-based after-school care), sometimes cannot be installed at check-in area, and	Ability to use the attendance tracking device without an analog line.	Financial Management	None	NT.4 RFI for Attendance Tracking System Replacement

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	<p>not always reliable (goes out in remote areas a lot) for providers. Large centers require multiple lines to support multiple POS devices to prevent long lines at sign-in and sign-out. Some providers do not have analog lines and licensing no longer requires land lines. This is a particular challenge for school-based centers and has created the need for some elaborate workarounds to get parents to swipe/back swipe within the nine-day period. Some providers in remote locations have to pay for long distance calls with each transaction.</p>				
FM.10	<p>There is stigma associated with use of swipe cards. They are bright orange. At providers that have some CCCAP and some private pay families, the different CCCAP sign-in and out process draws attention to them. Parents standing in line behind other parents can see the name, birth date, rate of pay and other information for other parents on the thermal paper and this is a privacy concern. The families receiving assistance are easily known by both other families and providers due to the POS and card. There is a concern that it leads to children being treated differently</p>	<p>No obvious or easily identified means of identifying which family or child is receiving CCCAP assistance. No identifiable information should be visible to non-staff.</p>	Financial Management	None	NT.4 RFI for Attendance Tracking System Replacement

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	and is a source of embarrassment for some families.				
FM.11	The POS card is often forgotten, lost, misplaced, damaged, etc. In addition, because many parents have varying schedules and transportation issues, people other than the CCCAP parent with the POS card frequently drop off and pick up children, and they may not have the card or may not know how to use it properly. POS cards and machines do not always function as expected. These situations can result in the need to create manual claims, which can be denied, leading to providers losing revenue or the parent unable to access services.	Many stakeholders would prefer an alternative to the current POS system. Several suggested programming the swipe card to work more like an EBT or debit card (i.e., load it with value). The system should support different approaches and methods for recording children's attendance.	Financial Management	N/A	NT.4 RFI for Attendance Tracking System Replacement
FM.12	POS cards are not identifiable; parents in the same family often switch them and if the PINs are different, they won't work if switched.	Make cards easily identifiable (1, 2) to track and set the same PIN for both cards.	Financial Management	N/A	NT.4 RFI for Attendance Tracking System Replacement
FM.13	Due to training issues, some providers require parents to "back swipe" if a child stays past midnight. This is a problem for providers giving overnight care. They have to "swipe out" child at 11:59 and swipe them back in at 12:01. It can also create problem of making it look like two part-time visits instead of one full-time	Additional training must be done related to accurately using the POS for overnight care.	Financial Management	OEC Training	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	rate visit. The system is able to provide an overnight rate and accommodate overnight care but additional training is needed for providers.				
FM.14	Monitoring swiping, daily review of swipes against attendance record, and reconciliation of swipes and payment create a heavy workload for providers to participate in CCCAP. Some providers assign staff to monitor the machine, which is costly. Some providers have dropped out of CCCAP because of this additional workload.	Enable providers to view real time daily swiping, current case information, attendance, case and authorization notes, and payment history screens in CHATS.	Financial Management	PSSP	NT.4 RFI for Attendance Tracking System Replacement
FM.15	Providers cannot view data by parent or by child. This makes finding missed or skipped swipes difficult.	Providers need the ability to view data by provider, by parent, and by child. These different groupings and ways to view information are important for different processes and users.	Financial Management	PSSP	
FM.16	The provider payment system is based on the POS card swipe system that records the actual days and hours of child care services used by the parents. The system only pays for days and time authorized for the parents. The parents have nine days to 'back swipe' their card for days they missed swiping their card (forgotten or lost card, someone else	Policy change to allow back swipes to correct attendance records more than nine days. Change the 3% manual payments C-STAT performance indicator. The PSSP should help by giving providers access to more information in a more useable format in a timely fashion.	Financial Management	PSSP HB14-1317 Changes OEC Training	NT.4 RFI for Attendance Tracking System Replacement

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	<p>picked up the child, POS machine issues, etc.). If the parent does not correct the missed swipe within nine days, the provider must submit a manual claim. There are other scenarios related to CHATS deficiencies and/or county worker use of CHATS that can trigger the need for a manual claim, such as the child turning five issue previously mentioned, and deficiencies with the parent fee tracking (see below).</p> <p>The State has set a target of 3% for manual claims as an indicator of CCCAP program management performance. Because of this, some counties are more strict in their allowance of manual claims. Providers complain that it often takes more than nine days to reconcile their attendance records and payments to determine if an error was made. In some of these cases the provider does not get paid. The counties have discretion in deciding when to pay manual claims. For example, some counties have a strict policy not to pay manual claims for missed swipes due to lost or damaged cards that were not corrected within the nine day correction period or the POS machine ran out of paper.</p>				

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
FM.17	Processing manual claims is a time-consuming process billing requires paper, excel spreadsheets, access databases and searching many locations in CHATS to collect the necessary information. The worker must enter the actual hours for each child and each day. There is no way to enter data for date ranges, etc.	The system should be able to pull all the data needed to process a manual claim based upon user-defined parameters (child, provider, date range) to support accurate and timely submission of manual claims by counties as prescribed in policies.	Financial Management	None	T.9 Financial Module Enhancements
FM.18	Payment Detail only displays one week at a time. Manual claims are for a full month. To process a manual claim, payment detail data must be copied into an Excel spreadsheet.	The system should allow the user to view Payment Detail for more than one week at a time and to set date parameters for viewing Payment Detail.	Financial Management		T.9 Financial Module Enhancements
FM.19	CHATS does not keep a record of claims paid manually. There is no check in CHATS to prevent paying the same manual payment more than once. Counties track manual payments in external systems such as paper and Excel.	The system should track what days have already been paid (automatically or manually) and alert the user if there already appears to have been a manual bill for the date they are entering. The system should allow for an override if the second manual bill is correct.	Financial Management		T.9 Financial Module Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
FM.20	The State will not approve reimbursement to the county for some manual claims. However, the system does not enforce state rules when a worker is processing a manual claim. If the State does not approve a manual claim and the county has already paid the provider, the funds come out of the county budget (not their CCCAP allocation) or the county must collect the funds from the provider.	The system should enforce the state rules regarding reimbursements for manual claims and warn the user about paying the provider for a manual claim that the State will not approve to support accurate and timely submission of manual claims by counties as prescribed in policies.	Financial Management	None	T.9 Financial Module Enhancements
FM.21	There are some screens workers must remember to visit (by choosing on drop down) when doing a manual billing, but they do not have to enter information but they are required to save. If they do not go to the page and hit save (although no information is ever entered) it will create an error.	Erroneous screens should be removed and taken out of the error logic.	Financial Management	CHATS Stab.	T.7 CHATS UI/UX Enhancements T.9 Financial Module Enhancements
FM.22	PSSP development is underway; roll-out plan is four phases between September and December 2014 with no end-user training planned.	End-user training for each planned PSSP roll-out phase.	Financial Management	OEC Training PSSP	NT.3 CHATS User Training
FM.23	Financial office in counties needs a payroll register/summary in CHATS.	Financial office in counties needs a payroll register in CHATS. It should be organized by provider and have the ability to be exported to Excel, and to be de-identified. The register	Financial Management	None	T.9 Financial Module Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
		should identify the monthly amount paid to providers along with child specific payment information to share with providers to balance their business receivables when counties assess recoveries, thereby reducing the amount paid to providers.			
FM.24	CHATS cannot currently accommodate provider payments for the IT QA Grant program, which some counties participate in and offers enhanced reimbursement rates to providers for quality care to children ages 0-3.	CHATS must be configured to allow payment from the grant source.	Financial Management	None	T.9 Financial Module Enhancements
FM.25	Recoupments are very difficult and time consuming to complete because the necessary information is not readily accessible. Data must be copied from several different screens in CHATS into Excel, and data pulled from CFMS. There are no templates for repayment/recovery agreements in CHATS. Each county makes their own in Word.	CHATS should be able to pull the data needed to manage recoveries in CHATS without having to use an external system. CHATS should have a template for a repayment/recovery agreement.	Financial Management	CHATS Stab	T.9 Financial Module Enhancements
FM.26	Recoupments in CHATS cannot be processed for a period of time; must be done by day and enter the hours recouped. This can be very time-consuming process as it is often an entire month needing to be recovered and has	System should allow option to recoup funds for a user-defined period of time.	Financial Management	None	T.9 Financial Module Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	to be done for each child in a case.				
FM.27	When managing collected recoveries from parents or providers, it easy to enter a check more than once. CHATS does not show history of payments received, just remaining balance.	The system should display the history of payments.	Financial Management	None	T.9 Financial Module Enhancements
FM.28	The information in the weekly payroll summaries given to providers doesn't include enough specific information by family/child or provide reasons/rationale for differences in anticipated payments versus actual payments.	The system should provide up-to-date, accurate summaries for payroll that includes specific information that is/can be sorted by family or by child and there should be reasons/rationale provided for any instances where providers were anticipating a higher payment but the actual payment was lower.	Financial Management	CHAT Stab.	T.9 Financial Module Enhancements
FM.29	The direct deposit system for provider payments does not reflect the county from which the payment originated. For large providers who work in multiple counties, they must wait for a hard copy of the payroll summary in order to identify where to post payments.	In the future, any direct deposits or payments to providers should include information identifying which county made the payment in order to allow providers to post payments accurately.	Financial Management	N/A	N/A
FR.1	The system lacks a fraud investigation component that links investigation information and results conducted by Licensing, CCCAP, and other entities involved in investigations.	The system must provide a fraud investigation component that links investigation information and results conducted by Licensing, CCCAP, and other entities involved in investigations.	Fraud, Recoveries, Administrative Controls	N/A	NT.2 Additional CHATS O&M Staff T.6 CHATS Interface with QRIS

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
FR.2	The system does not provide sufficient “red flag” reports that identify potential fraudulent activities.	The system must provide “red flag” reports that identify potential fraudulent activities.	Fraud, Recoveries, Administrative Controls	CHATS Stab	T.5 Business Intelligence and Predictive Analytics
FR.3	There is no internal system check to prevent county rates from being set above the rates in the Market Rate Survey or the approved county rates.	Market rate survey results for each county should be included in CHATS and error should appear if county rates set above market rates from survey.	Fraud, Recoveries, Administrative Controls	None	T.7 CHATS UI/UX Enhancements
FR.4	The system does not support development of accurate State Tax Intercept Adjustments and Returns with clear procedures to support required policy.	The system must support development of accurate State Tax Intercept Adjustments and Returns with clear procedures to support required policy.	Fraud, Recoveries, Administrative Controls	OEC Training	NT.3 CHATS User Training T.9 Financial Module Enhancements
FR.5	The system does not enforce CCCAP county staff security access policies. For example, it does not currently prevent fiscal staff from also determining eligibility.	The system must support enforcement of CCCAP county staff security access policies. For example, fiscal staff cannot also determine eligibility.	Fraud, Recoveries, Administrative Controls	None	NT.2 Additional CHATS O&M Staff
FR.6	The system does not check and cross-reference providers who have substantiated Intentional Program Violations with current providers participating in CCCAP.	The system must check and cross-reference providers who have substantiated Intentional Program Violations with current providers participating in CCCAP.	Fraud, Recoveries, Administrative Controls	None	T.6 CHATS Interface with QRIS
FR.7	In current environment there is no ability to track different child care funding sources, such as Race to the Top, QRIS,	Must have ability to track and report on funding source and use of funding. Funding stream	Fraud, Recovery and Administrative	None	T.9 Financial Module Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	state Pre-K funds, etc. Currently all payments are designated as subsidy payments.	designations, attached to payments in CHATS for CCCAP children, need to be expanded. Currently all payments are designated as subsidy payments. The capacity to charge a portion of tiered reimbursements to other funding streams is needed.	Controls		
G.1	Some alerts do not provide sufficient information to take timely action. For example, an alert will be received that says "You have two cases that are over income" but does not identify which cases.	Additional detail in Alerts to enable prompt action on Alert contents.	Multiple	CHATS Stab	
G.2	Random alerts related to closed cases, or where there is no problem, are received. The user cannot clear the alerts, cluttering up the Alert box. Alert functionality is not always meaningful and there are no escalating levels of alerts.	Ability to delete Alerts. Alert functionality must be improved and alerts must be meaningful and there must be escalating levels of alerts.	Multiple	CHATS Stab.	
G.3	In some counties, all case files are maintained in paper form; others are paperless, and use scanning and document management technology to maintain case files. In counties with paper-based case files, at redetermination and when a case needs to be re-opened, original documents such	Scanning and document management system to allow for the storage of and electronic access to original documents such as birth certificates, and sharing of original documents between programs.	Multiple	None	T.2 Electronic Document Management System

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	<p>as birth certificates and immunization records must be presented again, which places additional burden on families. In counties with electronic case files, verification documents do not have to be presented again if they have been provided once, even if for another program such as TANF.</p>				
G.4	<p>It is difficult for the person inputting the application into CHATS to know where they are in the process of entering all information required. For example, the eligibility determination can be "completed" even if certain "required" steps (such as requesting the POS card) are missed or certain information is missing (such as incomplete authorization). When steps are missed or information is missing, the family can experience a delay in receiving services and/or the provider can face challenges reconciling and receiving payments.</p>	<p>System displays application completion progress. System prevents completion of eligibility determination without completion of required fields and notifies user of incomplete actions.</p>	Multiple	None	T.7 CHATS UI/UX Enhancements
G.5	<p>Case manager can enter data that is illogical, for example, the start date of care before the application date.</p>	<p>System prevents entry of illogical data based on other data entered. System identifies potential errors when questionable or inconsistent data is entered such as the start date of care and notifies the user.</p>	Multiple	None	T.7 CHATS UI/UX Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
G.6	The CHATS systems does not allow for corrections to errors such as typos to be made easily. In some situations, a case needed to be closed and then re-opened in order to correct a data entry error.	Allow typos and other data entry errors to be easily corrected.	Multiple	CHATS Stab	T.7 CHATS UI/UX Enhancements
G.7	There is no "source of truth" for data in many instances. The same data is often entered in multiple places which creates opportunities for human data entry errors, adds time, and can create discrepancies if values are not kept in sync.	Certain recurring data elements, such as a child's birthday, should only be entered into CHATS once in one location and this should be the single source of record. If this data element occurs elsewhere in the application, the system should auto-populate those fields. The system should notify the user if designated equivalent fields do not match.	Multiple	None	T.7 CHATS UI/UX Enhancements
G.8	The user must print each notice manually, create the envelope, stuff the envelope and apply postage. For larger counties with larger case loads, this can be a time-consuming process.	Enable batch processing of Notices to a central mailroom for printing and mailing, with CHATS updated when the Notice is printed.	Multiple	None	T.3 Batch Notice Printing
G.9	Not all correspondence is available in Spanish or other languages. Some counties have translated some forms and notices into some other languages. Counties do not systematically share these documents.	The system should be able to generate forms and correspondence in other languages as defined by stakeholder needs.	Multiple	None	NT.3 CHATS User Training

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
G.10	Some parents and providers are requesting to receive correspondence by email. There is no way to email directly from CHATS.	The system should allow the user to select the method for transmitting the notice (email or print and mail) and transmit the notice accordingly.	Multiple	PEAK	NT.2 Additional CHATS O&M Staff
G.11	Correspondence is not always released promptly; sometimes they get "stuck."	Create an SLA for release of Notices that meets user needs. Monitor adherence at the system-level.	Multiple	CHATS Stab.	
G.12	There is no true user testing. Testing must be done by actual users to ensure ease of use, and accuracy of changes.	User testing should be included before any CHATS releases and should be completed by actual CHATS users.	Multiple	None	NT.2 Additional CHATS O&M Staff
G.13	<p>Various usability issues which result in extra work for the county worker and lost time:</p> <ul style="list-style-type: none"> - User cannot delete data once entered - User cannot modify certain fields like Child Name - CHATS does not allow back-dating - Not enough characters in the Case Notes field - System does not display characters used/remaining in free text fields like Case Notes - System does not allow more than one absent parent to be entered - No field in CHATS for County Household number 	Address these usability issues.	Multiple	CHATS Stab	T.7 CHATS UI/UX Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	<ul style="list-style-type: none"> - System requires duplicate data entry through a lengthy workflow process which slows the process of entering pay stubs - System allows users the ability to view case only one month at a time, and then reverts back to the most recent month when the user exits - CHATS only allows entry of whole hours - CHATS does not have any auto-formatting build-in, for example: must enter slashes for dates and must enter dash for SSNs, which can lead to data entry errors and inconsistencies and extra key strokes/time 				
G.14	System times out due to inactivity too quickly; can result in lost data and it is difficult to navigate to last screen.	Ability to allow each user to set the time out function	Multiple	N/A. System policy.	N/A
PE.1	When re-opening a closed case, user must clear "Redetermination Date" field and use trial and error to get a Reason Code to allow case to be re-opened; There is no consistency to which Code will allow case to be re-opened-- Sometimes, an old case cannot be re-opened, and opening a duplicate case is the workaround	Provide clear definitions of Reason Codes and fix logic to make re-opening a closed case more user-friendly;	Parent Eligibility and Case Management	CHATS Stab.	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
PE.2	<p>CHATS does not recognize the 85% of state median income ceiling for CHATS eligibility, only the FPL entry and exit limits. County workers need to remember to do a manual override on these cases that exceed the entry income limit every two weeks but are within the 85% SMI to avoid the case being set to close based on being ineligible due to exceeding income eligibility.</p>	<p>The system must be able to recognize the 85% of SMI eligibility limit and apply it correctly to maintain accurate eligibility.</p>	<p>Parent Eligibility and Case Management</p>	<p>None</p>	<p>NT.2 Additional CHATS O&M Staff</p>
PE.3	<p>CHATS re-calculates a family's eligibility every time that family file is touched regardless if the change is related to an eligibility factor. For example, changing a family phone number or updating a case note will initiate an eligibility determination. Due to the SMI issue and other instances when CHATS does not correctly recognize different entry and exist eligibility limits, updating a family case may result in the need to manually enter overrides to keep the family eligible. In addition, the system also allows only one change to be entered at a time, so if there are numerous changes needed, the staff person must go in each time, enter the data, and then manually correct the eligibility status. Staff have developed their own tracking systems</p>	<p>Allow typos and other data entry errors to be easily corrected. CHATS must be able to recognize and correctly apply different entry and exit income limits. Allow changes in family information to be entered without triggering a redetermination of eligibility, which is consistent with the CCCAP regulation of conducting redeterminations just once every 12 months.</p>	<p>Parent Eligibility and Case Management</p>	<p>None</p>	<p>T.7 CHATS UI/UX Enhancements</p>

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	outside of CHATS to remember which families fall into this category and other tracking and tickler systems to monitor families.				
PE.4	In certain situations a missed, incorrect, or incomplete field can prevent the eligibility process from finishing, but the system does not notify the user of the reason.	Any errors should include explicit instructions on how to fix them in the system without needing to refer to a manual. For example, if a field you enter is invalid, it should alert you to this fact before letting you move on and highlight the cell and describe the issue.	Parent Eligibility and Case Management	None	T.7 CHATS UI/UX Enhancements
PE.5	An applicant has to meet all eligibility criteria on day they apply, including participating in an eligible activity, in order to get care authorized that day, even if they want the authorization to start in the future. The system prevents authorizing care if the eligible activity has not started; this prevents a parent who knows she is going back to school on September 1 from coming in today to complete the application and get her childcare organized now. The workaround is to make the Primary Activity start on the day of application, even if it is known to be in the future. If county worker does not falsify the Primary Activity start date, families	The system should allow authorization for services to proceed based on a future start state for an eligible activity.	Parent Eligibility and Case Management	N/A	N/A. Policy change.

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	cannot plan ahead for services. If a county worker does take this path, s/he must monitor the case to make sure services aren't being used prior to the actual start date of the parent's Primary Activity.				
PE.6	A parent cannot complete a CCCAP application on-line.	The system must support streamlining of the CCCAP application and link it with the PEAK self-assessment process through the web based portal.	Parent Eligibility and Case Management	PEAK	
PE.7	Counties have the option to "hold spots" for "breaks in activity," but CHATS does not have functionality to support this policy option and track used hold days for the parents and track payments to providers for these days. Counties maintain manual systems such as paper notes to track this information. CHATS has been used in the past to track hold day payments, but the system was overpaying providers. The problem could not be fixed so even though policy allows "hold days" implementation is so difficult that in practice it is not utilized very often. This is particularly problematic for infants in remote areas because few providers take infants, there are limited infant spots at providers who do take infants, and	The new solution must be able to track and manage hold spots for breaks in activities. The solution must have the ability to pay providers to hold spots for CCCAP children without overpaying providers.	Parent Eligibility and Case Management	HB14-1317 Changes	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	almost no providers take CCCAP infants. Infants have more frequent absences and thus families with infants are impacted by the "hold option" more.				
PE.8	Counties have the ability to allow for "drop in days" per county policy but CHATS does not support authorization and tracking of drop in days.	System must have the ability to authorize and track drop in days.	Parent Eligibility and Case Management	CHATS Stab	
PE.9	It is very time-consuming to enter child care schedules related to variable parent work schedules, school calendars, holidays, vacations, etc. in the authorization screen CHATS. Some counties work around this by authorizing more care than is needed.	Additional features are needed to allow more efficient entry of work schedules and school calendars, such as linkages to pre-loaded school district calendars to automatically input and update children's schedules; ability to define blocks of time; ability to select "every other week" option.	Parent Eligibility and Case Management	None	T.7 CHATS UI/UX Enhancements
PE.10	If any change is made to the child's standard schedule, the entire year must be re-done for each child impacted by change. This creates a large amount of duplicate work to re-enter information for an entire year for an entire family.	The system should allow county workers to make changes to an authorized schedule in CHATS without having to re-enter the entire year's schedule.	Parent Eligibility and Case Management	None	T.7 CHATS UI/UX Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
PE.11	<p>A parent must make a written request for a change in their child care schedule (authorization) at least 10 days in advance in writing. It is sometimes impossible for parents with variable work schedules (different days, different hours, or different number of days per week) that change from week to week to meet this requirement. This requirement also impacts children in school-age care with unanticipated school closings and school vacations. A workaround is to authorize more days/hours of care than is needed to accommodate unknown and unpredictable schedules. These cases are monitored closely to prevent overuse. However, some counties are reluctant to or will not authorize more days/hours of care because they fear abuse by the parents and/or have tight budgets and need to allocate care based on more precise allocation. Policies and systems that are driven by parent work schedules do not support use of early childhood education programs that have set schedules or consistency in care for children. Counties have the contract-for-slots option; CHATS must be able to support the implementation.</p>	<p>Counties have the contract-for-slots option; CHATS must be able to support the implementation. Allow a manual override to approve a change in authorized services with less than 10 days' notice.</p> <p>The Authorization component of the system must accommodate flexibility in the number of days children are authorized during a month, based on children's needs, rather than authorizing the amount of care strictly based on parents' schedules. The current CCCAP policies, supported by CHATS, make it difficult for seamless transitions and un-interrupted care for children.</p>	Parent Eligibility and Case Management	HB14-1317 Changes	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
PE.12	<p>Scheduling in CHATS creates too many correspondences which often have to be individually deleted. It is time-consuming to suppress each correspondence. This is particularly problematic for family situations that are complicated (when mom and dad share custody and alternate weeks for example) and there are multiple and/or different care settings for each child. In addition, notices are attached to the child, not the parent, so both parents will receive both notices for all children unless they are suppressed. This creates additional work for the case worker, who must monitor these cases carefully as sometimes joint custody situations involve confidential information that one parent may be prohibited from seeing.</p>	<p>The system should offer the user the option to create a notice related to an action.</p> <p>The system should be able to consolidate notices by family instead of by child when appropriate.</p>	Parent Eligibility and Case Management	CHATS Stab	
PE.13	<p>As currently designed, the Authorization Notice does not meet parent and provider needs. County staff cannot make changes to the notice. The current format of the Authorization Notice leads to confusion, potential compromising of family privacy, and additional work for County staff. All data fields in an Authorization Notice are included in the copy sent to providers. Sometimes there</p>	<p>Users would like more control over the creation of the Authorization Notice. For example, they would like to be able to: show how the Parent Fee was determined; list more than one child's information to accommodate cases with more than one child; include the name of the child and name of the provider in the fields, not just the name of the child;</p>	Parent Eligibility and Case Management	CHATS Stab PSSP	T.7 CHATS UI/UX Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	is private information in the authorization that providers should not see.	add parent name to the provider copy of the Authorization Notice; add provider rates to the Authorization Notice; remove history of Parent Fees from Authorization; move case notes section of Authorization Notice to first page; suppress fields that contain private information.			
PE.14	Parents do not have real-time access to information about their authorized schedule and hours used. The printed Authorization Notice is mailed in paper for a three-month period and is not updated or re-sent unless the reports a schedule change to the county office.	Parents should have the ability to view, real-time, their Authorized schedules, and service utilization.	Parent Eligibility and Case Management	PEAK PSSP	
PE.15	A case cannot be transferred in CHATS from one county to another. There is a feature to do this in CHATS but it does not work. The case must be closed and a new case opened in a new county. This would result in a new POS card being issued and a waiting period for a new card, which could mean a delay in services and/or the need for a provider to submit a manual claim.	Cases should be able to be transferred between counties without having to open a new case and request a new POS card.	Parent Eligibility and Case Management	None	NT.2 Additional CHATS O&M Staff
PE.16	When child support is updated for one parent, other parent linked to case is	CHATS should receive information from ACSES and update correctly.	Parent Eligibility and Case	None	NT.2 Additional CHATS O&M Staff

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	<p>changed to (i.e., two different mothers, same father, father payment to one mother results in update to other mother's case).</p>		Management		
PE.17	<p>On the "Care Level Summary" screen, the "School Age and Above" check box is starred as a Required Field, but system does not prevent proceeding beyond this screen if this field is not correctly checked to align with the child's age. The county worker must remember to enter the child's birthday on this screen and manually change the provider rate to correctly represent the age of the child/level of care. If the county worker forgets, the higher provider rate will be paid, resulting in the need for a recoupment of funds from the provider; or in the case where the child's age is updated but the child is not authorized for School Age care, Fiscal will say "rate not matching age" and the provider may not be paid, resulting in a the need for the provider to submit a manual claim.</p>	<p>The system should automatically change the care-level / rate when a child ages into a new category such as "School Age" when a child turns five.</p>	Parent Eligibility and Case Management	None	T.7 CHATS UI/UX Enhancements
PE.18	<p>The system does not provide an eligibility designation for families who are co-enrolled in CCCAP and Head Start and track these families.</p>	<p>The system must provide an eligibility designation for families who are co-enrolled in CCCAP and Head Start and track these families.</p>	Parent Eligibility and Case Management	None	NT.2 Additional CHATS O&M Staff

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
PE.19	The system does not support flexible, family friendly, and streamlined requirements to verify employment income.	The system must support flexible, family friendly, and streamlined requirements to verify employment income.	Parent Eligibility and Case Management	None	NT.2 Additional CHATS O&M Staff T.2 Electronic Document Management System
PE.20	The system does not provide the flexibility to accommodate different time limits on activities such as job search and education/training.	The system must provide the flexibility to accommodate different time limits on activities such as job search and education/training.	Parent Eligibility and Case Management	CHATS Stab	
PE.21	The list of case correspondence is difficult to manage. Workers must open each Notice individually to determine the case and the content. There is no way to tell which ones were created by a specific worker, and multiple are created per child.	Correspondences should be easy to create, delete, and a worker should quickly be able to identify what correspondence it is, who created it, what child is it for and the date without opening the correspondence.	Parent Eligibility and Case Management	None	T.7 CHATS UI/UX Enhancements
PE.22	Counties have no way of recording or seeing in CHATS if parents have unpaid parent fees within their county or with another county. According to policy and provider contract, providers are obligated to report unpaid Parent Fees to the county. According to policy, parents should be denied program enrollment if they have outstanding parent fees, but there is no way to validate this in CHATS. Discovering this information requires	System-generated notification when attempting to enroll a parent with unpaid parent fees.	Parent Eligibility and Case Management	HB14-1317 Changes	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	going into every closed case from that family and opening specific notes, and relying on other county workers entering this information clearly in a note field.				
PE.23	Parental fees are not flexible, user friendly or easy to understand for the county workers, providers or the public. CHATS currently can't handle parent fees below 10% of income or in less than 5% increments. This is inconsistent with state rules. There is also a glitch in the system that in certain circumstances will cause the Authorization Notice to show '\$0' as the parent fee and the county worker has to manually cross out and write in the actual amount. This causes confusion to the parent and provider, and might not stand up in an appeal.	Parental fee functionality must be flexible, user friendly, and easy to understand for county workers, providers and the public. The system must have the ability to handle parent payments from 0-100% of a parent's income and be calculated in increments as small as 1%. Parent fees must appear accurately in correspondences and rounded off in dollar amounts. The system should expand the ability of the Parental Fee Schedule to include the capacity for gradually increasing parental fees when a family exceeds a county's income eligibility levels but does not exceed 85% of the state median income level.	Parent Eligibility and Case Management	HB14-1317 Changes	
PE.24	The system does not allow the County worker to change a Parent Fee amount for current or future months, at time of redetermination, or when a change in income or provider is reported, which can result in an under or overpayment to the	The system should allow the County worker to enter a new parent fee amount for the current and future months at the time of redetermination, or a change in provider or income is reported,	Parent Eligibility and Case Management	HB14-1317 Changes	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	provider, and therefore a recoupment or manual claim.	regardless of the date. The system should allow County workers to change parent fees on a more flexible date range and to change/override the Parent Fee.			
PE.25	County worker uses a side worksheet or calculator to calculate the Parent Fee, and manually enters the amount into CHATS.	CHATS should have a tool to calculate Parent Fee based on income data entered and system rules. The system should manage data related to collection of Parent Fees, including Parent Fee amount and the actual amount collected from provider each month.	Parent Eligibility and Case Management	HB14-1317 Changes OEC Training	
PE.26	The system must support a tiered parent fee structure to support the implementation of the current Six Month Transition Plan policy option as well as provisions of HB14-1317.	The system must have the ability to handle parent payments from 0-100% of a parent's income and be calculated in increments as small as 1%. Parent fees must appear accurately in correspondences and rounded off in dollar amounts.	Parent Eligibility and Case Management	HB14-1317 Changes	
PE.27	CHATS automatically resets the redetermination date. County worker must manually change it to one year from the actual date of redetermination in order to stay in compliance with program rules.	CHATS should automatically populate redetermination date based on actual start date of new eligibility segment to align with the CCCAP regulation of conducting redeterminations just once every 12 months.	Parent Eligibility and Case Management	CHATS Stab	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
PE.28	CHATS-generated pre-populated Redetermination Form does not align with application and policy. It pulls the Local Address not the Mailing Address. Counties use a standalone paper version.	Redesigned auto-generated and pre-populated Redetermination Form that aligns with CCCAP application and policy.	Parent Eligibility and Case Management	None	NT.2 Additional CHATS O&M Staff
PE.29	When users correct an error made during data entry, the system requires a change in effective date.	The system would allow users to modify existing cases to correct any data without requiring a change in the effective data.	Parent Eligibility and Case Management	None	T.7 CHATS UI/UX Enhancements
PE.30	The system does not provide a method for child care providers and counties to conduct Pre-Eligibility Determinations for families likely to be eligible for CCCAP; a method for providers to submit pre-eligibility information and applications to counties; and a method to identify and track pre-eligibility determinations.	The system must provide a method for child care providers and counties to conduct Pre-Eligibility Determinations for families likely to be eligible for CCCAP; a method for providers to submit pre-eligibility information and applications to counties; and a method to identify and track pre-eligibility determinations.	Parent Eligibility and Case Management	HB14-1317 Changes	
PE.31	The system must support updated immunization eligibility regulations.	The system must support updated immunization eligibility regulations.	Parent Eligibility and Case Management	CHATS Stab.	
PE.32	Linkages between CHATS and quality initiatives are insufficient to support current and future business needs.	Links are required between CCCAP and Quality Initiatives to include: a) Information from Resource and Referral Agencies (contracted to Qualistar) to track data on Parental	Parent Eligibility and Case Management	None	T.6 CHATS Interface with QRIS

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
		Education for CCCAP families; b) Information on Parent Education conducted by counties; c) The Next Generation QRIS tracking system; d) identification of unduplicated counts of children receiving services across all programs within the Office of Early Childhood. This capability is important for policy makers in coordinating services for children, measuring outcomes, and making informed policy decisions.			
PE.33	The system does not currently support waitlist functionality required in the house bill.	The future environment must support waitlist functionality as outlined in the house bill.	Parent Eligibility and Case Management	HB14-1317 Changes	
PE.34	Currently CHATS does not track actual days of a job search and cannot provide accurate calculations related to authorizations for secondary education activities. Currently tracking is done manually.	In the future the system must be able to accurately track actual days of job searches and accurately perform necessary calculations related to authorizations for secondary education activities.	Parent Eligibility and Case Management	CHATS Stab	T.7 CHATS UI/UX Enhancements
PM.1	No online provider application.	Provider application can be completed and submitted online or completed and submitted on paper.	Provider Management	None	Not addressed
PM.2	Updates to provider fiscal screen cannot be made easily; an update clears the information and all rates have to be retyped.	Enable updates to the provider fiscal screen without clearing existing data.	Provider Management	None	T.7 CHATS UI/UX Enhancements

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
PM.3	When a provider is updated with different rates or different rate type, CHATS sets the start date as the day after the update is made. According to rule, the new rates should start from the date they are received, not later.	Users should have the ability to manually set the rate start date.	Provider Management	None	T.7 CHATS UI/UX Enhancements
PM.4	CHATS does not allow the addition of new rates or rate types to a provider agreement; it gives an error. The workaround is to start a new Fiscal Agreement date and add the new rate. Then, go back to the Fiscal Agreement Summary screen and find the pending change to initiate the update process. CHATS does not remember the original end date, so the user must have noted that before proceeding with the update; once the original rate is fixed, then can proceed with adding rates to a different rate type.	Allow the user to easily add new rates or rate types.	Provider Management	None	T.7 CHATS UI/UX Enhancements
PM.5	The system must provide flexibility in the rate structure component for county rates and payment policies (such as absences, holidays, registration fees, and activity fees) to accommodate upcoming changes in rules and policies.	The system must provide flexibility in the rate structure component for county rates and payment policies (such as absences, holidays, registration fees, and activity fees) to accommodate upcoming changes in rules and policies.	Provider Management	HB14-1317 Changes	
PM.6	The system must support a tiered	The system must support a tiered	Provider	HB14-1317	

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	reimbursement payment type. Payments for tiered reimbursement must be linked and verified to programs that are participating in the Quality Rating and Improvement System (QRIS).	reimbursement payment type. Payments for tiered reimbursement must be linked and verified to programs that are participating in the Quality Rating and Improvement System (QRIS).	Management	Changes	
PM.7	Linkages between CHATS, licensing and TRAILS are insufficient.	Expanded links are required between CCCAP, Licensing and TRAILS including: a) Identification of Qualified providers who complete pre-service training requirements. b) On-site monitoring visits to Qualified providers. c) Information identifying providers with adverse licensing actions.	Provider Management	None	T.6 CHATS Interface with QRIS
PM.8	There is no alert in CHATS to let the County worker know a background check is complete. County worker must repeatedly check CBC screen.	System-generated notification when background check is complete.	Provider Management	CHATS Stab.	NT.2 Additional CHATS O&M Staff
PM.9	The system does not support collection, storage, and reporting of accurate information on criminal background checks for Qualified Providers.	The system must support collection, storage, and reporting of accurate information on criminal background checks for Qualified Providers.	Provider Management	None	NT.2 Additional CHATS O&M Staff
PM.10	Current system does not provide any alerts if providers are going over capacity.	In the future environment having the ability to be notified if providers are above capacity at their facility will improve safety and quality.	Provider Management	None	NT.2 Additional CHATS O&M Staff

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
RP.1	CHATS does not have ad hoc reporting or query capability. Counties need to query CHATS data and run ad hoc reports on a combination of data elements related to any time period (point in time or cumulative based on date ranges) in order to conducting program planning and budgeting activities, respond to community requests for information, improve case management, and increase efficiency.	Provide real-time ad hoc querying and/or reporting capability with the ability to customize reports to include any combination of data elements related to any time period (point in time or cumulative based on date ranges).	Reports	None	T.4 Agile Data Management T.5 Business Intelligence and Predictive Analytics
RP.2	County staff do not have direct, real-time access to standard CHATS data and reports. The user makes a request through CHATS and the report is provided the next day.	Provide direct, real-time access to CHATS data and standard reports.	Reports	None	T.4 Agile Data Management
RP.3	Requested CHATS report cannot be saved. If a county would like the same report they need to run again and another ticket must be created. It would also be helpful to save reports for historical program data.	Provide the ability for requested reports to be saved.	Reports	None	T.4 Agile Data Management T.5 Business Intelligence and Predictive Analytics
RP.4	Report data is static; the user cannot manipulate report data. For example, a report of providers is not presented in alphabetical order.	Provide the ability for the user to manipulate report data and to drill down to view details.	Reports	None	T.5 Business Intelligence and Predictive Analytics
RP.5	There is no current report to show basic	Provide standard reports for	Reports	CHATS Stab	T.5 Business

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	<p>CCCAP county-wide and state-wide data like number of children served, by age group. Counties currently do not have real-time access to their CCCAP demographics, expenditures, payments by types or "burn rate" in CHATS. The ability to generate county and state CCCAP reports is needed as they are a critical tool for planning, monitoring and projecting impact of policies and expenditures and meeting federal reporting needs.</p>	<p>counties and the state to conduct program planning and budgeting, and view point-in-time program and service data.</p>			<p>Intelligence and Predictive Analytics</p>
<p>RP.6</p>	<p>Many reports, including the following, do not meet user needs:</p> <ul style="list-style-type: none"> - Case Load Management Report - Waitlist Report 	<p>Redesign standard CHATS reports with user input to meet user needs.</p>	<p>Reports</p>	<p>CHATS Stab</p>	<p>T.5 Business Intelligence and Predictive Analytics</p>
<p>RP.7</p>	<p>Standard reports are needed to support core business processes including the following:</p> <ul style="list-style-type: none"> - Recovering overpayments - Monitoring parent fees - "What if" analysis report of policy changes 	<p>Create standard CHATS reports with user input to meet user needs.</p>	<p>Reports</p>	<p>CHATS Stab</p>	<p>T.5 Business Intelligence and Predictive Analytics</p>
<p>RP.8</p>	<p>CHATS does not support creation of federal reports such as the QPR, ACF-800, ACF-801, and ACF-696. Creating these reports involves manual look-up and compilation of data from numerous</p>	<p>The system must provide the ability to generate the Quality Program Report (QPR), a federal report requiring states to provide data on their quality improvement initiatives</p>	<p>Reports</p>	<p>None</p>	<p>T.5 Business Intelligence and Predictive Analytics</p>

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	sources.	linked to CCCAP children. Specifically, the data required is the percentage of Child Care Development Fund (CCDF) subsidized children served in programs participating in a Quality Rating and Improvement System (QRIS) and the percentage of CCDF children served in high quality care. The system must provide the ability to generate the monthly federal ACF-801, which requires states to identify the number of CCCAP children in programs participating in QRIS. In addition, the report requires the number of CCCAP children in accredited programs and the number of children in programs that meet Pre-K standards.			
RP.9	CCCAP data is needed from the former legacy CHATS system for purposes of strategic planning and trends analysis.	The ability to integrate legacy data with current system data for purposes of strategic planning and trends analysis.	Reports	None	T.5 Business Intelligence and Predictive Analytics
TR.1	Formal CHATS training opportunities are limited and content is insufficient to enable users to perform core business functions effectively and efficiently.	Training in future must be comprehensive and ongoing and additional training should be provided if there are changes in releases, etc. State and some counties would like virtual,	Training	OEC Training	NT.3 CHATS User Training

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
		<p>interactive, training opportunities but in-person training should be available on a regular basis. Training must be a priority regardless of chosen system due to failures associated with user-errors caused by insufficient training in any system. Training should be built into new budget.</p> <p>Training should be organized for county staff at different levels of experience and job responsibilities (finance, provider, intake, and eligibility staff; supervisors; auditors; security administrators; state CCCAP team; Help Desk).</p> <p>Ongoing CCCAP and CHATS support and training and place to share questions, tips, and documents with other counties. In the future the county plan should also clearly identify how the county decisions fit into the larger state policy/plan.</p> <p>Create a central CCCAP help number at the state that will route to the appropriate person.</p>			
TR.2	CHATS system information/trouble-shooting is difficult to find in the portal.	Easy to access and use "Quick	Training	None (TBD)	NT.3 CHATS User

ID	Current Environment Issue	Future Environment Need	Business Area	Planned/In-Progress OIT/OEC Initiative	Future Initiative
	There are many separate User Manuals, they are not user-friendly and not always up-to-date with current policies. There used to be a hard copy User Manual for reference.	Reference" materials.			Training
TR.3	CHATS does not provide a "queue" for cases, so users in training struggle to remember all the necessary screens to use when working with different case types.	Users in training require a workflow and resource reference for all case types to draw from while working with cases.	Training	None	NT.2 Additional CHATS O&M Staff

Table C.2: Current Environment Issues/Gaps Identified by OIT

ID	Current Environment Issues/Gaps Identified by OIT	Planned/In-Progress Initiative	Recommended Future Initiative
Technical Issues / Gaps			
T1	Limited training environments and opportunities for county staff and providers.	N/A	NT.3 CHATS User Training
T2	CHATS IT staff lack training on the technology tools and software applications that are required for their daily work and the long-term health of the CHATS system.	N/A	NT.2 Additional CHATS Operations & Maintenance Staff
T3	There is commonly CHATS system user confusion regarding which department or agency should be contacted for support needs both technical and programmatic.	N/A	NT.1 OEC Strategic Technology Plan
T4	Limited funding allocated to on-going CHATS system maintenance and IT support.	N/A	NT.2 Additional CHATS Operations & Maintenance Staff

ID	Current Environment Issues/Gaps Identified by OIT	Planned/In-Progress Initiative	Recommended Future Initiative
T5	User support occurrences are not currently logged and tracked in one single location and not all calls (like those resolved in real-time or referred to another agency) are logged.	N/A	NT.2 Additional CHATS Operations & Maintenance Staff
T6	Helpdesk support is unable to keep up with the current volume of support tickets.	N/A	NT.2 Additional CHATS Operations & Maintenance Staff
T7	Current CHATS Sustainability funding and timeline to fix tickets does not account for the time required of the current OIT team to support the new staff over the 9 month project.	N/A	NT.2 Additional CHATS Operations & Maintenance Staff
T8	CHATS is currently running on the original hardware and software platform and regular maintenance and upgrades are needed. There are no funds budgeted for software or hardware upgrades.	N/A	T.1 CHATS Hardware and Software Refresh
T9	Deloitte system documentation is out of date.	N/A	T.1 CHATS Hardware and Software Refresh
T10	Informal disaster recovery plan that excludes testing.	N/A	
T11	POS does not support digital phone lines.	N/A	NT.4 RFI for Attendance Tracking System Replacement
T12	BizTalk performance is not appropriate given CHATS busiest periods.	Chats Stabilization Project	T.1 CHATS Hardware and Software Refresh
T13	There are identified inconsistencies with Autosys.	Chats Stabilization Project	T.1 CHATS Hardware and Software Refresh
T14	Front-facing system screens are confusing to provider and county-staff users in the current layout and design.	N/A	T.7 CHATS UI/UX Enhancements
T15	Ongoing maintenance and enhancements to the CHATS system don't have solid	N/A	NT.1 OEC Strategic

ID	Current Environment Issues/Gaps Identified by OIT	Planned/In-Progress Initiative	Recommended Future Initiative
	plans at the moment. Additionally, it is unclear on the level of support for providers because OIT help desk does not support them. July 1, 2015 is the last date for the current vendor (Wyant) to be providing this support.		Technology Plan
T16	The current interfaces with CBMS, EBT, SIDMOD, CDOR are insufficient and there is concern regarding accuracy. In addition, future needs related to vital statistics, social security, etc. cannot be met with existing interfaces.	Chats Stabilization Project	
Reporting Related Issues / Gaps			
T17	There is an inability and/or difficulties to generate ad hoc reports as a result of original system design, the lack of a centralized data environment such as a data warehouse, and the potential negative impact to operations that could result in the production environment.	N/A	T.4 Agile Data Management
T18	CHATS IT staff will only have back-end access to any reports generated in PSSP. Uncertainty about the structure of PSSP reports, formatting and data instructions, which raises questions about validation and the ability to provide user support.	PSSP	
T19	Provider Reports: Providers are currently unable to generate reconciliation reports.	PSSP	
T20	County Reports: Case management, family/parent, and aggregate reports are too limited to serve needs. Length of time to receive reports (next day) does not meet county needs.	N/A	T.4 Agile Data Management
T21	State / Program Reports: Current reporting is insufficient to measure the business impacts (i.e., number of children served and monies received, for real-time monitoring and quarterly/yearly progress reporting). Existing reports are insufficient for managing expenditures between participating programs and counties. Current reports do not tie in historic and current data elements for comprehensive analysis.	N/A	T.4 Agile Data Management T.5 Business Intelligence and Predictive Analytics
OEC / OIT Collaboration Related Issues / Gaps			
T22	PSSP development is underway; roll-out plan is four phases between September and December 2014 with no end-user training planned. OEC needs to come up with the strategy as a party responsible for the end user training.	OEC and PSSP Training	NT.3 CHATS User Training

ID	Current Environment Issues/Gaps Identified by OIT	Planned/In-Progress Initiative	Recommended Future Initiative
T23	Constant shifting of OEC program priorities resulting in unfinished projects	N/A	NT.1 OEC Strategic Technology Plan NT.2 Additional CHATS Operations & Maintenance Staff
T24	CHATS OIT team has very limited time available for maintenance and polishing of the system.	N/A	NT.2 Additional CHATS Operations & Maintenance Staff
T25	The current Qualistar search feature for parents does not distinguish whether the provider accepts CCCAP.	N/A	<i>N/A not related to CHATS</i>
T26	Current CHATS-PSSP integration plans are only one directional.	N/A	NT.1 OEC Strategic Technology Plan
T27	Lack of understanding of the strategic goals and objectives for the Office of Early Childhood, the Office of Information Technology and the CHATS project.	N/A	NT.1 OEC Strategic Technology Plan
T28	OIT staff is informing counties of policy decisions and practices.	N/A	NT.1 OEC Strategic Technology Plan NT.2 Additional CHATS Operations & Maintenance Staff
T29	Limited communication across agencies who utilize similar technologies to understand lessons learned and best practices.	N/A	NT.1 OEC Strategic Technology Plan
T30	IT support team is currently in charge of contract management.	N/A	NT.1 OEC Strategic Technology Plan
T31	In CHATS tiered reimbursement (the net difference when a provider is paid more because of its high tier), the difference between the high-tier cost and the providers private pay cost should be billed to the Quality Appropriation. The charges are coming through CHATS, perhaps not through the quality appropriation (perhaps 100% subsidy).	N/A	T.9 Financial Module Enhancements

ID	Current Environment Issues/Gaps Identified by OIT	Planned/In-Progress Initiative	Recommended Future Initiative
T32	While the new QRIS has business process flows and drafts of detailed requirements, data fields, and user groups, they currently do not address CHATS at all and will be subject to updates throughout development and user acceptance testing.	N/A	NT.1 OEC Strategic Technology Plan
T33	With the reality of continual OIT project priority changes, there is potential for the change management task group to be out of sync with OEC management and the legislative needs. Need more involvement of management to support daily work activities.	N/A	NT.1 OEC Strategic Technology Plan
T34	POS System has been commonly reported to be a burden on families in large part because you must be present to swipe. Some counties, particularly the ones with greater training budgets have had fewer challenges in this regard.	N/A	NT.4 RFI for Attendance Tracking System Replacement
T35	Data inconsistencies exist between counties. Some counties for example are tracking who is on the wait list within CHATS, and others are not.	N/A	NT.1 OEC Strategic Technology Plan
Universal Application Related Issues / Gaps			
T36	Limited functional plans for the CHATS/Universal Application linkage. Currently, plans only account for data being input into CHATS and accepted.	N/A	NT.1 OEC Strategic Technology Plan
T37	Internal uncertainty surrounding the Universal application persists despite initial dates projected due to a breakdown in communications. This uncertainty is in regards to the ownership of the systems training, ongoing maintenance, and user support.	N/A	NT.1 OEC Strategic Technology Plan
T38	Lack of identified short-term and long-term plans for the Universal Application.	N/A	NT.1 OEC Strategic Technology Plan
T39	Plans to integrate CHATS with the Universal Application and the Provider Self Service Portal (PSSP), lack clarity on system support protocols, ownership, and ongoing maintenance.	N/A	NT.1 OEC Strategic Technology Plan
Future Needs			
T40	HB 1317 requires tiered reimbursement based on QRIS data. No operational	N/A	NT.1 OEC Strategic

ID	Current Environment Issues/Gaps Identified by OIT	Planned/In-Progress Initiative	Recommended Future Initiative
	solution yet.		Technology Plan