I. INTRODUCTION

A. Charter Purpose
The purpose of this charter is to document an understanding among OCFS, the CONNECTIONS Executive Steering Committee and CONNECTIONS Management Committee who represent Local District and Voluntary Agency administrators, managers, line, and technical staff regarding the completion of the CONNECTIONS Project. This charter will include a definition of project scope, assumptions, development and implementation approach, project roles and a preliminary project budget. This charter will serve as the foundation for the development of detailed statements regarding the scope of the project, development work plan and resource requirements.

B. Project Background & Rationale
The New York State Office of Children and Family Services (OCFS) is responsible for the supervision and oversight of child welfare services that are provided through 58 Local Departments of Social Services (LDSS), including New York City’s Administration for Children Services (ACS) and over 350 Voluntary Agencies. OCFS, Local Districts, and the Voluntary Agencies form a network that provides for the safety and well-being of children and families. OCFS is also responsible for direct care services to youth in the Juvenile System.

In 1986, the U.S. Congress, concerned about the lack of information available on children in foster care and their families enacted legislation that requires the Federal government to institute a foster care and adoption data collection system. (AFCARS) Ultimately federal regulations were promulgated that required the states to provide such information in a consistent and reliable fashion. The Omnibus Budget Reconciliation Act of 1993 provided enhanced federal funding for states to build Statewide Automated Child Welfare Information Systems. (SACWIS) The objectives of these systems included assisting the states to submit AFCARS, and to promote the effective administration of services provided in Child Protective, Preventive, Foster Care and Adoption.

The New York State SACWIS project is CONNECTIONS. The CONNECTIONS Project is a statewide effort to provide OCFS, LDSS, and Voluntary Agencies with an automated tool that would provide a uniform system to improve the quality and consistency of their efforts on behalf of children and their families. When complete, the project will automate Child Welfare record keeping and service delivery through the installation of hardware and software. When fully implemented, the system will provide case management support for direct caseworkers, decision-making support tools for managers, and appropriate access to client information across the state. Through the statewide network, CONNECTIONS will link child welfare caseworkers, supervisors, and other management and administrative staff.

The initial development of CONNECTIONS was undertaken in 1996. In response to stakeholder-identified issues with CONNECTIONS prior to the completion of the project, OCFS Commissioner Johnson suspended implementation of the application in the spring of 1998. Governor Pataki convened a Panel in January of 1999 to review the issues and to make recommendations for the future of CONNECTIONS. The Governor’s Panel recommended that an independent contractor conduct an analysis and reassessment. The CONNECTIONS Reassessment Report (3-9-01) presented the findings and recommendations of MAXIMUS resulting from the review and analysis of CONNECTIONS.
Although it was determined that CONNECTIONS did not meet a significant number of users' needs nor did it meet all SACWIS requirements, Maximus found that the State could leverage the investments that have been made in the design, development, and modifications to CONNECTIONS to build a more responsive SACWIS system for New York State. Based upon these findings, the report recommended that the State move forward with the development of critically needed family focused Case Management and Financial Management functionality using new application architecture.

II. PROJECT SCOPE

The current New York State SACWIS System, known as CONNECTIONS is in production statewide and includes the following components:

- Child Protective Services (CPS) Intake
- Child Protective Services (CPS) Investigation
- Resource Directory & Foster Adoptive Home Development (FAD)

The completion of the CONNECTIONS includes three main components:

- Child Welfare Case Management Functionality
- Child Welfare Financial Management
- Management Information and SACWIS Reporting

A. Target Population

The system developed under this charter will apply to children of New York State who are in need of Child Protective Services, Preventive Services, Foster Care and/or Adoption Services. Most families will enter the system through a report to the State Central Register. Additionally, families who enter the system through voluntary services or placement will be included. Data related to OCFS direct care youth would additionally be supported in order to support Federal AFCARS reporting.

B. New Functionality:

Child Welfare Case Management (Phase I)

The new system will enable the structured entry and tracking of data to support decision-making at the individual and case level. The system changes are being made to promote the dual goals of safety and permanency for all children. It will also provide aggregate case management information for agency management and monitoring of these goals.

The Case Management Phase will define security functionality for the system and provide for the creation of a child welfare Family Services Stage in CONNECTIONS. It will allow for the cases currently in CONNECTIONS CPS production (cases that entered the system through SCR Intake and progressed through CPS Investigation) to be completed as Child Welfare Family Services Stages. It will also provide Family Services Intake for families requesting voluntary services, including the determination of programmatic eligibility for Preventive Services. This phase will also provide a comprehensive electronic case record for Child Welfare cases, which will include all assessment and service planning activity currently encompassed in the Uniform Case Record (UCR). To maintain consistency, the Family Services Case Record will be modeled after the previously developed multi-tabbed format of the Child
The major Child Welfare Case Management components are as follows.

- **Family Services Intake**

  The Family Services Intake process must record and track requests for services outside of the CPS track, including requests for information and referrals. Capacity is needed to record the requestor/referral source, enter basic demographic information, access Person search functionality, record the presenting issue in a narrative format, and record the decision to open for services, complete a pre-service evaluation, or close the intake. If a case is not opened, the system must capture the reason for this.

  The Family Services Intake process must support the determination of programmatic eligibility for Mandated Preventive Services and provide for a multiple level (local district and voluntary agency) approval process for determinations. It is also necessary to retain a proper audit trail of information after determining programmatic ineligibility. The Family Services Intake must also allow for optional recording and tracking of Information and Referral Requests and provide access to the Resource Directory.

  The system should produce an Application for Services with pre-filled information from the Family Services Intake and provide for the date the Services Application is signed by the family to be recorded in the system. This date is the Case Initiation Date driving regulatory timelines for prescribed service activities. The system must also a record of whether the Application for Services was accepted, withdrawn or denied, and support a supervisory approval of the Family Services Intake.

- **Creation of Family Services Stage**

  The Family Services Stage process must support the capacity to record and document the provision of any child welfare service that is made available to any child or family coming into the system for which Uniform Case Records (UCRs) are required. The Family Services Stage is the shell that holds all of the case assessment, service planning and fiscal activities. This includes maintaining information concerning programmatic eligibility, and the documentation of progress notes and contacts.

- **Uniform Case Record**

  The system must support the workers need to assess and plan with families continuously over the life of a case, making modifications as appropriate to changing circumstances, evolving needs, and lessons learned from past approaches. A multi-tabbed approach will be used for recording of discrete components of the UCR. Workers must be able to work on components in any sequence and to update individual components as needed until supervisory approval. They should be able to see separate components concurrently on screen. (For example, they should be able to view assessment information while completing the services plan). All relevant components must be completed before bundling and sending a services plan for supervisory approval as required by law/regulation at specified points in a case. The system must provide for a multiple level approval process. Components must be printable separately and as a
formatted complete UCR, which can be read and signed by the family. The system must provide workers with the appropriate UCR components to be completed as determined by the type of case and the prescribed OCFS timetable. The system must alert workers to coming due and overdue UCRs.

UCR functionality is as follows:

• **Assessment**

  Workers will complete a Family Assessment. The system will provide all necessary components for a comprehensive assessment. Analysis to date has identified the following components: Family Update, Safety Assessment, Risk Assessment (CPS Cases Only), Current Family Functioning, and Family Analysis.

• **Services Plan**

  The system must record the narrative Services Plan that describes the actions planned to meet the most important needs of the family so that the Permanency Planning Goal (PPG) can be achieved.

  The system must support workers in the development of service plans in conjunction with the family that address the needs/concerns/risks identified in the Risk and Family Assessments, pursue family and caseworker identified goals, and utilize, support and supplement family strengths and resources in the planned activities to achieve outcomes appropriate to the PPG.

• **Placement Issues**

  Although Placement will not be implemented until Phase II, the system must support recording of placement issues in phase I so that foster care workers can use the Family Case in CONNECTIONS to document placement issues in UCRs. These placement issues will be grouped under a separate tab.

• **Progress Notes / Casework Contacts**

  Progress notes are an ongoing narrative log of all the activities, meetings and general information about a child or family to whom services are being provided. Notes are entered throughout the life of a report or case. The system must support the users need to record and maintain progress notes on a daily basis in a uniform, easy to use manner.

**Child Welfare Case & Financial Management (Phase II)**

The new system will support the authorization, payment and claiming of child welfare services as well as providing aggregate financial management information for Office of Children and Family Services management and monitoring.
• **Foster Care Placement**

The system must allow for the recording of all required information related to the placement and movement of a child in a foster or adoptive home. Search capabilities must the capability to locate a resource and program that will best meet the needs of the child. All demographic data, medical data and information concerning legal authority for the placement that is required for AFCARS reporting must be captured by the system. The level of difficulty (LOD), any modifiers to the LOD and any emergency situations must be supported by the system in order to identify proper payment levels. All legal activities related to permanency need to be supported by the system. If the child is moved to another foster home or congregate care facility, the system must track all movements of the child including absences. Additionally, the system must maintain an historical record of when and where the child was in foster care. The system must be able to record a surrender agreement and record all adoption milestones. Registration for adoption photo listing must also be supported.

• **Services Authorization**

The services authorization process begins with the caseworker identifying that a client has a need for a particular purchased service or needs to receive particular goods. Examples of services authorized are counseling, housekeeping, and camp fees. The caseworker could be from a voluntary agency or from a local district. The system must support the entry of services to the system through a services authorization referral. Detailed information concerning where the service will be purchased, the schedule for service and the amount of services authorized must also be supported. This detailed information would translate the needs identified in the referral process into the codes and data elements that would be forwarded to the payment system. In some locations, the local district caseworker would enter the detailed information. However, in the majority of districts, support staff that would not necessarily have a role in the case would enter the detailed data. For on-going foster care placement, recurring clothing, and on-going adoption subsidy payments, no authorization processing should be required. The authorization records required by the payment system should be created as a by-product of the foster care placement and adoption dialogs.

• **Adoption Subsidy**

The adoption subsidy process begins with a review to determine if the child is eligible for an adoption subsidy. To derive the proper payment amount, the level of difficulty and any rate modifiers must be recorded. There also must be an interface to the New York State Adoption Services. Once an adoption is finalized, and if an adoption subsidy payment is established, the information must be passed to Benefit Issuance and Control System (BICS) for payment generation.

• **Eligibility**

To meet SACWIS requirements, the system must not just record financial eligibility, as is performed in the current system, but must allow for the actual determination of financial eligibility. Based upon previously entered data and additional information entered, the system must determine the eligibility of a foster care child for IV-E, TANF-EAF, TANF-200% of poverty and Medical Assistance. For in-home preventive cases, the system must determine eligibility for TANF-EAF and TANF-200% of poverty. Once the eligibility of the child or family is determined, it should be forwarded to the payment system. As payments are generated for that
child or family, the payment system must use the eligibility data received to derive the most beneficial claiming situation for each expenditure.

- **Rate Table Entry for Voluntary Agencies (legacy system change)**

  The current legacy financial management system (BICS) provides rate table entry and rate table processing for direct foster care and adoption subsidies, but does not provide the same functionality for voluntary agency payments. The ability to enter payment rates for all programs, for all voluntary agencies must be developed. The system must support the entry of contract, as well as Maximum State Aid Rates (MSAR). Contract rates will be entered by the local districts and will identify the amount that will be paid. The MSAR will be entered by State staff and will determine the maximum amount that local districts will receive in State and Federal reimbursement. Rates must be entered for all program areas for all voluntary agencies that will receive foster care payments. In addition, there must be the ability to enter multiple occurrences of the same program type for a particular resource. Rates are required to be entered for foster care room & board payments.

- **Rate Processing in Voucher Processing (legacy system change)**

  During voucher processing for rate-based payments, the system must access the contracted rates that were entered through the new rates setting functionality and automatically derive the payment amount based on an analysis of the rates and the days in care. The vendor’s rates for the particular program would be accessed along with the authorized service type to determine the amount of payment. After the payment calculation, the system must review the derived amount against the MSAR. The portion over the MSAR must be identified as non-reimbursable.

- **Monthly Batch and Retroactive Claiming (legacy system change)**

  The financial management system must include voluntary agencies in the monthly claiming batch job that determines all special and retroactive claiming. Any foster care homes that are not certified, any child without proper legal authority for placement, and any payment amounts over the MSAR must be identified as non-reimbursable (NR). The system must also retain the reason for the NR situation to allow this information to be displayed on the user requested Non-Reimbursable report. If an emergency situation exists, the system must not allow IV-E claiming but must determine the maximum amount reimbursable from other funding sources. In addition, any retroactive claiming category changes to previously issued expenditures would be identified and reported on a supplemental composite roll used for supplemental claiming. Changes in eligibility must be determined derived from changes to the eligibility module. When a change is made, the information must be passed to BICS and any payments within the changed period must have an adjustment record created. The adjustment record would be reflected on the supplemental composite roll.

- **Monthly Retroactive Payments (legacy system change)**

  Any increase to the payment rates or any change to the placement of the child that would result in additional payment to voluntary agencies must be included in the payment system. These changes could result from changes to the vendor’s daily rates as well as changes in the individual child’s level of difficulty or a correction in child’s date of birth. The system must be enhanced so that a voucher is automatically created based on changes resulting in a change in the amount (more or less) of monies due the voluntary agency.
Child Welfare SACWIS Compliance (Phase III)

The new system must support contracts for services and an accounts receivable subsystem as well as bring the CONNECTIONS system into full SACWIS reporting compliance.

- **Contracts**

  In certain preventive services situations, and in some foster care situations, local districts establish a contract with a voluntary agency to perform certain services. Contracts are usually entered for a one-year period, but could be for a shorter or longer period of time. A dollar amount with various cost allocation breakouts must be provided to local districts to allow them to enter the contract. Inquiry against the entered and updated contract data needs to be available to local districts and to the related voluntary agency. Local Districts need the ability to modify the dollar amount within the contracts and also the period of the contract. The contract information will be used by BICS voucher processing to determine that the dollar amount of the each cost allocation breakout is not exceeded. To be clear, the contracts referenced in this module are not for regular room and board provided by voluntary agencies. Room and Board rates are established through the rate setting functionality.

- **Accounts Receivable**

  To meet SACWIS requirements, the financial management portion of the system must contain an Accounts Receivable component. Accounts Receivable is the tracking of overpayment to providers and, when appropriate, the reduction of future payments based on the debt owed. An Accounts Receivable module must also track trust accounts established for individuals. Monies received from external sources may be added to a clients account or may be processed as a refund in repayment of room and board.

- **Management Information and SACWIS Reporting**

  The new system will meet the SACWIS reporting requirements. Required AFCARS and NCANDS information will be entered into the system, and resultant data will be extracted. The system must support AFCARS/NCANDS data requirements as well as the needs of system users. The deficiency of Federally required data elements should not prevent workers from documenting case events such as foster care placement or services authorizations. The system will be designed to support a summary page that lists all AFCARS/NCANDS data that has been captured for a given case. The page will also identify data that has not yet been recorded. Workers could use these screens to facilitate the entry of the missing data.

  Management reporting needs must be met primarily though the Data Warehouse. Some reports will be part of the application, but most information needs will be processed using the Data Warehouse. The Data Warehouse will replace the previous Management Reporting module referred to as CONNECTIONS Release 5. The system will support linkages to other data sources for informational needs; for example, the Welfare Reform Tracking System (WRTS) Reporting System, will done through the Data Warehouse.
C. Replacement Legacy Systems, Components of Legacy Systems and Databases

The system developed under this charter will replace the functions currently provided by OCFS’s legacy mainframe systems and databases, including the following:

- CCRS
- WMS Services – Child Welfare Services (Foster Care, Adoption, Preventive & Protective Services)

Replacement of the legacy systems or components of legacy systems will require conversion of legacy child welfare data into the CONNECTIONS application.

Other standalone systems will be identified for potential integration.

D. Interfaces or Links to Other Systems

The following interfaces are envisioned between CONNECTIONS and other New York State systems:

- **System Interface to Benefit Issuance and Control System (BICS)**
  
  Additionally, the system will interface with the Department Of Family Assistance’s statewide payment system, BICS for the processing of vouchers, payments and claims associated with services, placements and adoption subsidies authorized in CONNECTIONS.

- **System Interface to Non Services Welfare Management System (WMS)**
  
  Federal SACWIS requirements mandate an electronic interface between the CONNECTIONS and Non Services WMS. The expected results of the interface are to:
  1. Allow for the exchange of common data, an example of such information is financial information necessary for eligibility;
  2. Accept and process updated or new case data and;
  3. Identify potential duplicate payments.

- **System Interface to Child Support Management System (CSMS)**
  
  Federal SACWIS requirements mandate an electronic interface between CONNECTIONS and CSMS (Title IV-D System). The expected results of the interface are to:
  1. Allow for the establishment of a child support case
  2. Identify child support resources for Title IV-E children
  3. Allow for the exchange of common data;
  4. Capture data needed for the Adoption and Foster Care Analysis System (AFCARS)
  5. Provide the CSMS system with information about the current foster care payment
  6. Accurately record child support collections on appropriate Federal reports.

The interface may also be used to access the use of the Federal Parent Locator Service on behalf of children in foster care to identify non-custodial parents to facilitate permanency-planning activities.
• System Interface to Medicaid Management Information System (MMIS)

Federal SACWIS requirements mandate an electronic interface between CONNECTIONS and MMIS (Title XIX System). The expected results of the interface are to:
1. Provide for the exchange of information needed by the State Medicaid system to calculate and track Medicaid eligibility for children in foster care;
2. Allow for the automatic exchange of common data; and
3. Capture the data necessary for AFCARS.

• System Interface to New York State Adoption Services Systems (NYSAS)

Currently, NYSAS systems provide automated searching capabilities for adoptive resources and for the required photo listing of children when freed for adoption. An interface will be built between CONNECTIONS and these systems to avoid duplicative data entry and promote programmatic efficiencies.

• System Interface to Division of Rehabilitative Services (DRS) KIDS System

KIDS is the automated system that supports case management, tracking and facility support for youth placed in the Custody of the Commissioner of OCFS. An interface will need to be developed for the exchange of common and necessary information regarding mutual clients including the capture of AFCARS information on Title IV-E eligible youth.

E. User Groups and Functionality

The system needs to effectively and efficiently support over 18,000 State, local and voluntary agency child welfare staff in responding
- To over 140,000 child abuse and maltreatment reports received annually on families involving approximately 270,000 children
- To over 80,000 families in need of Preventive and aftercare services
- To over 48,000 foster care and juvenile delinquent children currently in out-of-home care

F. System Features

• Graphical User Interface (GUI)

The front end of the system to be developed will utilize a graphical user interface (e.g., point and click field access, drop down menus, scrollable fields for narrative entry, radio buttons) to support intuitive screens with flexible sequencing and completeness and accuracy checking.

• Security

The system must facilitate maximum information sharing within a security system that assures that only appropriate staff has access to information. The system should have locally modifiable access profiles that control the following types of rights: create, read, update, delete and print. Profiles need to be dynamic based upon a worker’s function and/or location and a need to know. The Security architecture needs to be independent of the application system to provide maximum flexibility and optimal performance.

Security features will also include auditing of access and modification of certain database tables.
G. Infrastructure

The scope of this project proposes the use of a much more open system interface capability than the existing CONNECTIONS Infrastructure, while leveraging and reusing critical technical components such as the upgraded desktops and CITRIX Servers.

The Technical Team will recommend and assess the system architecture to determine if existing network capacity can support acceptable performance standards (response time and number of users). If not, the technical team will recommend an alternative architecture or identify required upgrading for Office of Children and Family Services review and approval.

Testing will assess whether the system meets established performance criteria.

III. ASSUMPTIONS

The following assumptions have been made in defining the scope and resource requirements of this project. Successful completion of this project is dependent on the following assumptions:

• There will be top level Executive support for the project, and it will remain a high priority within the Office of Children and Family Services.

• The Office of Children and Family Services will provide and maintain project staff (program and technical) throughout the life of the project with continued support after implementation.

• The Office of Children and Family Services will provide adequate budgetary support, which can be accessed in a timely fashion for all items included in the approved project budget.

• The Office of Children and Family Services will avoid unnecessary delays in the processing of proposed Policies, and the Project must exist within this Policy environment. Additionally, the Project can move forward only within the means given it, and must have the flexibility to accommodate changes in Policy.

• The Office For Technology will provide and maintain staff and technical support for the technical infrastructure including the Network, Data Center and Enterprise Help desk.

• The CONNECTIONS Project Executive Steering Committee will provide overall guidance and leadership to the project.

• The CONNECTIONS Project Management Committee will provide management coordination, integration of the work group efforts, issue resolution and prioritization for the changes to Connections. The Committee has prioritized and developed the schedule for implementation for the changes to the production application and will continue to set the direction for the new development efforts.

• The CONNECTIONS Project will adhere to a System Development Life Cycle (SDLC) approach so that the product delivered to the end user meets the business need and is compatible with their work operation. Any deviation from the prescribed SDLC will be explained and justified.
CONNECTIONS - Full Implementation of NY SACWIS System

- The CONNECTIONS Project will support an independent Quality Assurance contractor, as well as employ internal quality assurance practices within the project to identify project risks and develop and implement appropriate risk mitigation strategies.

- The CONNECTIONS Project, in conjunction with the Office of Children and Family Services, will assure that training, sufficient to operate the system as designed, will be available to all end users. This will include, at a minimum:
  - Basic PC skills training and
  - Understanding by each user of how to use the system to accomplish their assigned tasks.

IV. DEVELOPMENT APPROACH

A. Development Approach and Methodology

The functionality of the system, identified in the Project scope section, will be organized into logical components, and deployed so as to have the least operational impact on end users.

A System Development Life Cycle (SDLC) approach to system development will be adhered to for the project so that the product delivered to the end user meets the business need and is compatible with their work operation. The life cycle will include User Requirements definition, Logical and Detail Design, Code Construction, Product Test, User Acceptance Test, Training, Communications and Implementation.

We recognize that changes in policy, practice, law (state/federal), SACWIS requirements, could impact the requirements/design of the case management/fiscal modules. We will accommodate these changes, as they are identified and prioritized by project staff, in conjunction with the CONNECTIONS Management Committee, to insure that the system meets and continues to meet user needs.

- Requirements Design and Construction

Program staff, in concert with the functional workgroups, will define user requirements. In order to most effectively maximize the time commitment of the workgroups, requirements will be presented with a proposed solution for their review and comment.

The application development process will be more iterative than in past CONNECTIONS development efforts through the use of rapid development tools that allow for prototyping. Within each functional component, design and development will overlap. Screen prototypes will be started after design has begun, but before it is complete. This will allow both OCFS Program staff and end users to weigh in early in the design effort with suggestions for functional improvements and enhancements. Database will be modified incrementally with design of each functional component. A standard object oriented COM+ design methodology will be employed, supported by non-proprietary automated development tools. Implementation of each functional component will be phased in based on priority and logical fit within the development effort, as determined by the Project Team.

This approach will provide for faster delivery of quality based functionality and more easily managed implementation.
Testing

Effective system testing begins in the requirements phase where errors can be detected and corrected on paper rather than after coding. Any/all organizations responsible for testing must be involved in application development, from the requirements phase through final sign off if testing is to be successful.

Unit test is a discrete test of each individual item created or modified in an application. It is usually done by the developer organization. This phase of testing is largely limited to verifying that each individual component accepts and/or processes information as defined in the requirements. Once all individual items have been fully tested and deficiencies corrected, they are assembled into the final application and passed on to product test.

Product test is a wrap up test of the final, complete application, usually done within the developer organization, prior to releasing it to the requester/user for final user acceptance testing. The two major objectives of this phase of testing are the verification that the individual components “fit” together and that they operate as defined in the requirements. It is in this phase that full regression testing is initiated, some of which can be supported by automated testing tools. Again, product test is usually done under the auspices of the developer organization and largely focused on the technical operation of the application. Once product test is complete and deficiencies are corrected, the final application is released for user acceptance testing.

User acceptance testing should reside in the customer/requester organization and focus on how the functional application “fits” the customer’s needs rather than on its technical operation. The desired outcome is not only to verify ascertain that the application operates as defined in requirements/specifications but that it efficiently supports the administrative/organizational structures and business functions found throughout the customer community. It has as its principal mission, the “exercise” of the application in both system and administrative structures/environments analogous to those in place throughout the customer community. It should be done by staff familiar with customer business functions and administrative structure, using test plans/scenarios encompassing the types of situations expected in the “real world”. Secondarily, this phase of testing provides final chances to identify technical problems not previously addressed and refer them to the developer organization for repair/re-test. While automated tools have a place in this phase of testing so that the application arrives in the user test environment intact, the actual test depends on “hands on” flexibility and creativity.

Implementation, Training and Change Management

The Connections Project will provide training and technical assistance to users to assist in the full implementation of Connections through a comprehensive strategy that is based on the following principles:

- The project will develop a coordinated and integrated approach to support the field with input from the workgroups and regional implementation staff activities.
- The project will support a phased implementation approach.
The project will provide support for workers using a variety of tools and methods in order for them to operate the system and incorporate it with their daily workflow.

The project will provide support to assist districts/agencies to assess basic skills and readiness of users well in advance of implementation.

The project will address Change Management issues and necessary changes in local practice, process and operation prior to implementation of new functional components.

The project will provide on-going post implementation support in the form of training and on-site assistance to allow users to become familiar with new functionality and integrate new functionality into their business operation.
B. Development Deliverables and Schedule

The following schedule provides preliminary, high level dates for key stages and deliverables for this project:

**PHASE I: CASE MANGEMENT DEVELOPMENT SCHEDULE**

<table>
<thead>
<tr>
<th>SDLC Step</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requirements</td>
<td>Aug 2001</td>
<td>Dec 2001</td>
</tr>
<tr>
<td>Logical Design</td>
<td>Nov 2001</td>
<td>Apr 2002</td>
</tr>
<tr>
<td>Detailed Design</td>
<td>Feb 2002</td>
<td>Jun 2002</td>
</tr>
<tr>
<td>Software Construction</td>
<td>May 2002</td>
<td>Oct 2002</td>
</tr>
<tr>
<td>Product Testing (planning…execution)</td>
<td>Apr 2002</td>
<td>Jan 2003</td>
</tr>
<tr>
<td>Field Testing (execution)</td>
<td>Mar 2003</td>
<td>Apr 2003</td>
</tr>
<tr>
<td>Production</td>
<td>Apr 2003</td>
<td>Apr 2003</td>
</tr>
<tr>
<td>Implementation (Planning, training, &amp; post implementation)</td>
<td>Jul 2002</td>
<td>Jul 2003</td>
</tr>
</tbody>
</table>

**PHASE II: CASE & FINANACIAL MANAGEMENT DEVELOPMENT SCHEDULE**

<table>
<thead>
<tr>
<th>SDLC Step</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requirements</td>
<td>Jan 2002</td>
<td>Jul 2002</td>
</tr>
<tr>
<td>Logical Design</td>
<td>Apr 2002</td>
<td>Dec 2002</td>
</tr>
<tr>
<td>Detailed Design</td>
<td>Sep 2002</td>
<td>March 2003</td>
</tr>
<tr>
<td>Software Construction</td>
<td>Jan 2003</td>
<td>Aug 2003</td>
</tr>
<tr>
<td>Product Testing (planning…execution)</td>
<td>Aug 2002</td>
<td>Jan 2004</td>
</tr>
<tr>
<td>User Acceptance Testing (planning…execution)</td>
<td>Dec 2002</td>
<td>May 2004</td>
</tr>
<tr>
<td>Field Testing (execution)</td>
<td>May 2004</td>
<td>Jun 2004</td>
</tr>
<tr>
<td>Production</td>
<td>Jun 2004</td>
<td>Jun 2004</td>
</tr>
<tr>
<td>Implementation (planning, training, post implementation)</td>
<td>Mar 2003</td>
<td>Sep 2004</td>
</tr>
</tbody>
</table>
### PHASE III SACWIS COMPLIANCE Development Schedule

<table>
<thead>
<tr>
<th>SDLC Step</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requirements</td>
<td>Jul 2002</td>
<td>Nov 2002</td>
</tr>
<tr>
<td>Logical Design</td>
<td>Oct 2002</td>
<td>Apr 2003</td>
</tr>
<tr>
<td>Detailed Design</td>
<td>Feb 2003</td>
<td>Jun 2003</td>
</tr>
<tr>
<td>Software Construction</td>
<td>May 2003</td>
<td>Oct 2003</td>
</tr>
<tr>
<td>Product Testing</td>
<td>April 2003</td>
<td>Feb 2004</td>
</tr>
<tr>
<td>User Acceptance Testing</td>
<td>April 2003</td>
<td>May 2004</td>
</tr>
<tr>
<td>Field Testing</td>
<td>Jun 2004</td>
<td>Jun 2004</td>
</tr>
<tr>
<td>Production (SACWIS Compliance)</td>
<td>Jun 2004</td>
<td>Jun 2004</td>
</tr>
<tr>
<td>Implementation</td>
<td>Jun 2003</td>
<td>Sep 2004</td>
</tr>
</tbody>
</table>
V. PRELIMINARY PROJECT BUDGET

The following is the preliminary project budget for CONNECTIONS Case and Financial Management. This cost estimate will be refined and may change, as user requirements are more precisely defined, as the project plan is updated to reflect final user requirements, and as the system design and architecture are more fully specified.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>DEVELOPMENTAL COST ESTIMATES</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal Service</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 1,2,3</td>
<td>3,028,599</td>
<td>3,862,459</td>
<td>965,615</td>
<td></td>
<td></td>
<td>7,856,673</td>
</tr>
<tr>
<td>Travel &amp; Misc.</td>
<td>250,000</td>
<td>250,000</td>
<td></td>
<td></td>
<td></td>
<td>500,000</td>
</tr>
<tr>
<td>Contractual</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 1,2,3 Development Contractor</td>
<td>10,766,000</td>
<td>8,966,424</td>
<td></td>
<td></td>
<td></td>
<td>19,732,424</td>
</tr>
<tr>
<td>Other Contractual</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality Assurance Contractor</td>
<td>1,633,935</td>
<td>1,682,953</td>
<td></td>
<td></td>
<td></td>
<td>3,316,889</td>
</tr>
<tr>
<td>Training</td>
<td>3,000,000</td>
<td>2,500,000</td>
<td></td>
<td></td>
<td></td>
<td>5,500,000</td>
</tr>
<tr>
<td>Local District Costs</td>
<td>8,400</td>
<td>8,400</td>
<td></td>
<td></td>
<td></td>
<td>16,800</td>
</tr>
<tr>
<td>Production Hardware (New Environment)</td>
<td>1,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1,000,000</td>
</tr>
<tr>
<td>SPSS II</td>
<td>7,900,000</td>
<td>7,900,000</td>
<td></td>
<td></td>
<td></td>
<td>15,800,000</td>
</tr>
<tr>
<td>Total Developmental</td>
<td>24,586,934</td>
<td>25,670,237</td>
<td>3,465,615</td>
<td></td>
<td></td>
<td>53,722,786</td>
</tr>
</tbody>
</table>
### VI. PROJECT ROLES AND RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Team/Office</th>
<th>Role</th>
<th>Responsibilities</th>
<th>Members</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive Steering</td>
<td>Executive Direction and Support</td>
<td>• Resolve issues</td>
<td>Executive Sponsor</td>
</tr>
<tr>
<td>Committee</td>
<td></td>
<td>• Approve and direct Policy changes</td>
<td>Directors LDSS</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Directors Voluntary Agencies</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>OCFS CONNECTIONS</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Project Directors</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>OCFS Budget</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>NYS DOB</td>
</tr>
<tr>
<td>Management Committee</td>
<td>Provide management coordination</td>
<td>• Oversee integration of the work group efforts,</td>
<td>OCFS Project Managers</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Resolve issues</td>
<td>Local District Managers</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Prioritize changes to CONNECTIONS</td>
<td>Voluntary Agency managers</td>
</tr>
<tr>
<td>Project team</td>
<td>OCFS Requirements Team</td>
<td>• Define and coordinate the programmatic and user aspects of the project user</td>
<td>OCFS Program Staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td>requirements</td>
<td></td>
</tr>
<tr>
<td>Implementation Team</td>
<td>Define and coordinate communication</td>
<td>• Define and coordinate communication, training and implementation aspects of the</td>
<td>OCFS Program Staff</td>
</tr>
<tr>
<td></td>
<td>and schedules</td>
<td>project.</td>
<td></td>
</tr>
<tr>
<td>Testing team</td>
<td>Develop test strategies, plans and</td>
<td>• Develop test strategies, plans and schedules</td>
<td>OCFS Program Staff</td>
</tr>
<tr>
<td></td>
<td>schedules</td>
<td>• Executing and documenting user tests</td>
<td></td>
</tr>
<tr>
<td>Application Development</td>
<td>Develop and coordinate the Application</td>
<td>• Develop and coordinate the Application Development team and technical/suppo...</td>
<td>OCFS IT Staff</td>
</tr>
<tr>
<td>Team</td>
<td>Development team</td>
<td>so that the system is delivered within project constraints (budget and schedule)</td>
<td>Contract Staff</td>
</tr>
<tr>
<td>Management Reporting</td>
<td>Design and develop management &amp; SACWIS</td>
<td>• Design and develop management &amp; SACWIS reporting capability</td>
<td>OCFS Program Staff</td>
</tr>
<tr>
<td></td>
<td>reporting capability</td>
<td></td>
<td>Contract Staff</td>
</tr>
</tbody>
</table>
### TEAM/OFFICE & ROLE RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Team/Office</th>
<th>Role</th>
<th>Responsibilities</th>
<th>Members</th>
</tr>
</thead>
</table>
| Technical Team |                             | • Interface with Office for Technology (OFT) representative(s) from the Data Center and Human Services Network to coordinate hardware and software required for development and production. | • OCFS IT Staff  
• Contract Staff |
| End User Workgroups |                             | • Defining user requirements, logical and detailed design for case management functionality.  
• Assisting with user acceptance testing.  
• Identification of change management strategies and training needs and supports.  
• Identification of the need for subgroups to work on specific issues or development | Subject area experts from  
• LDSS,  
• Voluntary Agencies,  
• OCFS Program,  
• OCFS Policy,  
• CONNECTIONS Project Staff |
| QA Consultant |                             | • Project Management Support  
• Technical and Functional Alternative Support  
• Evaluation of proposed Technical Solutions  
• Independent Validation and Verification of the adherence to SDLC  
• Identify Project risks and identify & evaluate risk mitigation strategies | Maximus Consulting |
| OFT Data Center Open Systems |                             | • Define, procure and maintain all hardware and software required software for development, testing, training and production; | • OFT Open Systems Staff |
| Network Architecture |                             | • Develop and implement any required upgrades to network so that the existing network provides required connectivity and capacity | • OFT Network Staff |
| Enterprise Help Desk |                             | • Develop and implement 24 x 7 help desk support plan and materials | • OFT Help Desk Staff |
### Resource Notes

The project will require support staff sufficient to facilitate the project’s progress.

- At all phases of the development, the CONNECTIONS Project Staff will solicit and coordinate end-user involvement through the use of facilitated workgroups with end-user participation. It is expected that a representative from a Local District and Voluntary Agency will be chosen to co-lead the workgroup. The leads will report periodically to the Management Committee regarding the direction and decisions of the workgroup. Issues that cannot be resolved by consensus within the workgroup will be presented for resolution to the Connections Management Committee. Either through on-site participation or via electronic exchanges or conference calls, end users will be involved in all phases of project development.

- Consultants, if needed, will be contracted with to perform functions that cannot be provided by state staff. However, contract staff will be directly supervised and report to State staff.

- Management, program, and technical staff will be available for involvement, as needed.

- Ongoing technical support will be available for the project team and for the final implemented system.

- Equipment and supplies needed for the project team to conduct business will be available.

### Table: Team/Office Role Responsibilities Members

<table>
<thead>
<tr>
<th>Team/Office</th>
<th>Role</th>
<th>Responsibilities</th>
<th>Members</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Network Security</td>
<td>• Develop and implement Security Plan for the System to be developed</td>
<td>• OFT Security Staff</td>
</tr>
</tbody>
</table>
In signing this project we are indicating our support for the completion of the CONNECTIONS Project, specifically the implementation of the Case and Financial Management components of the system, confirming our agreement with the project practices, goals, and objectives as they are stated, and expressing our confidence that the project will meet both program and technical requirements through adherence to the charter.