Nevada Department of
Health and Human Services
DIVISION OF CHILD AND FAMILY SERVICES

Planning APD

DIVISION OF CHILD AND FAMILY SERVICES (DCFS) UNITY REPLACEMENT PROJECT

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1. Problem / Need Statement

The Unified Nevada Information Technology for Youth (UNITY) system is considered a transitional Comprehensive Child Welfare Information System (CCWIS) system from a SACWIS system through a modernization project that was approved by the State in 2019. DCFS has been using the UNITY application for more than 20 years providing direct services to children and families as well as oversight for programs administered at the county and local level. UNITY holds the official case record for all children and families served by child welfare agencies in the State of Nevada. See **Attachment (A)** for an illustrative drawing of the existing system architecture.

More than 1,600 users from various child welfare related entities throughout Nevada use UNITY to access or document information directly or via one of 22 API integrations. See **Attachment (B)** for an illustrative drawing of existing integrations and batch processes. Because of state size and population distribution, Nevada uses a state-supervised, county-administered structure to provide child welfare services. Counties with over 100,000 residents provide services for the youth in their counties. Thus, making UNITY a bifurcated system as child welfare services in Clark County are provided by the Clark County Department of Family Services (DFS) who are the largest users of UNITY, and child welfare services in Washoe County are provided by the Washoe County Department of Social Services (DSS). The remaining 15 counties in the state are served by Division of Child and Family Services (DCFS) – Rural Region staff. While Clark County DFS, Washoe County DSS, and DCFS Rural Region staff are the primary users of UNITY, other state government, county government, and non-governmental entities also access UNITY to help support child welfare services.

Although the modernization project approved in 2019 produced several improvements, the modernization was built on top of the legacy SACWIS system and the underlying foundation continues to be an impediment for users as it does not meet the needs of a modern platform. UNITY currently resides on an IBM mainframe that is hosted by the State. DCFS is one of several State agencies using the mainframe and the other agencies currently have plans to migrate from the mainframe within the next 3-5 years. DCFS currently shares the same mainframe processor as the Division of Welfare and Supportive Services (DWSS). The shared processor has a built-in cap at 80% CPU utilization and frequently hits this cap causing slowdowns for all users as the system cannot scale to meet increased demand. This is one of many constraints in the existing system. Other constraints and issues include:

- It is expensive to maintain due to old technology. DCFS employs an IT staff of 27 FTEs solely for maintaining the UNITY system. Mainframe databases are replicated to DB2 for all reporting to reduce mainframe processing cost causing increased work effort and resources.

- Is not user-friendly in general, and even less so in the field when using mobile devices. Other counties have implemented extensive work arounds to interact with UNITY in the field and the rural counties use paper files.

- Is difficult/impractical to adapt to new changes in regulations and requirements. The implementation of the Federal Family First Prevention Services Act (FFPSA) will add even more burdens to a struggling system, if it is possible at all.

- Lack of modularity of the system makes changes difficult to implement and track. DCFS currently has a list of over 180 work requests to be implemented that are necessary to meet federal and state reporting requirements. Each quarter stakeholders meet to discuss which fraction of the outstanding requests/work orders should be prioritized. These work orders are managed via a custom-built mainframe application called 'The IMS Toolkit'.

- The system cannot support images, audio, video files or upload scanned documents. In today's computing environment, this presents a real challenge in supporting the way individuals capture information.

- Payment processing is done using COBOL, an antiquated programming language that makes it difficult to attract knowledgeable resources.
- The system has substantial privacy/security issues - there is no way to lock a file so a user can only see a portion of a youth's information - as an example, a medical provider should only see the youth's medical information. If an individual has access to a youth's file in Unity, that individual can see everything about that youth as it pertains to their child welfare involvement. There is no granular level of security for data records.
- The system does not have high availability. Each release update deployment makes the system unavailable to users for 6 or more hours as new code gets promoted into production.
- The system is difficult to learn for new social workers and takes several months for them to become competent in navigating and using the application. User assistance is not available online or in real-time as a modern application typically provides.
- DCFS struggles to retain qualified staff. Creating efficiencies through technological innovation and utilizing modern technologies is one of the few realistic ways DCFS can help attract and retain staff. Other states have reported CCWIS replacements have led to reduced data entry time for social workers, reduced staff turnover, improved youth outcomes, and improved foster/adoptive family engagement.

The Division of Child and Family Services intends to replace the existing mainframe application with a Comprehensive Child Welfare Information System (CCWIS) as described in 45 CFR §§1355.50 through 1355.57. Upon completion of a planned needs assessment and narrowing down the list of viable alternative options that best meet DCFS needs, in consultation with the DCFS Governance Team, will analyze and determine the best technical and functional solution. Examination of the risks associated with the alternatives will be conducted and a cost-benefit analysis will be completed and documented.

2. Project Management Plan

The high-level project management plan is:

Activity	Estimated Date
Stand up internal DCFS Governance Team	11/22/2022
Submit two separate RFP's to Purchasing	01/05/2023
DCFS Governance Team review of RFQ material	05/15/2023
APD Submitted to ACF	06/08/2023
ACF review of RFP materials (60-days)	08/08/2023
Purchasing/Contracts review of RFP updates	08/18/2023
Release RFP's	08/30/2023
Vendor selection for RFP's	09/31/2023

3. Planning Budget

The existing UNITY system is staffed with 27 full-time FTE resources who continue to do development and maintenance. They are expected to continue developing future releases until we identify the appropriate time in the yet to be identified roadmap to stop accepting work order requests for future enhancements.

Our current work program request was approved by the Interim Finance Committee on October 20, 2022, for $18.4M to fund the project through fiscal year 2025. We anticipate using these funds for two RFPs 1) the first phase of a needs assessment anticipated to be 12-18 months known as RFP1 and 2) project management and organizational change management for the duration of the UNITY replacement which is anticipated to be 3-4 years known as RFP2. The fiscal year 23 plan calls for the project needs assessment services including future solution design decision. The fiscal year 24 plan will contain the business process redesign services, technical system integrator, initial CCWIS solution software purchase, project management, change management and other associated needs. ARPA funding for this project expires at the end of 2025.

A RFP2 will be released specifically for project management and design. It will also include organizational change management and communication. The reason for RFP2 is to select a vendor that can partner with DCFS for the entirety of the UNITY replacement project which is anticipated to be 3-4 years. Both RFP1 and RFP2 are expected to commence at the same time.

Funding Source	Funding %	Funding Note
Federal Grant%	50%	Title IV-E
Federal Grant%	50%	American Rescue Plan Act (ARPA). Funding obligation expires December 2024.
		100% funding approved

The projected cost per fiscal year(s) is as follows:

	FFY 2023 Q1-Q4	FFY 2024 Q1-Q4	FFY 2025 Q1-Q4	FFY 2026 Q1-Q4	FFY 2023-FFY 2026
Total Cost	$27,305,000	$8,759,000	$16,098,000	$11,856,000	$36,740,000

A detailed breakdown of projected costs and budget assumptions for the duration of the project are included in **Attachment (D).** The projected cost of RFP1 for the Needs Assessment is $1M. The projected cost for RFP2 for Project Management and Change Management is $1.5M which are included in the total cost shown above.
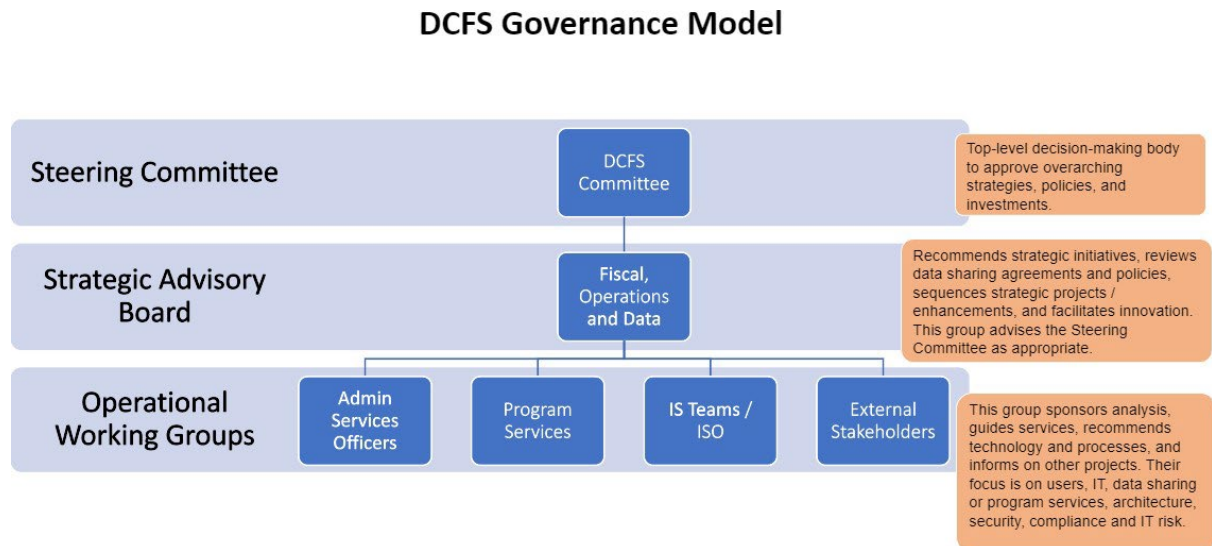
4. Estimated Total Project Cost and Methodology

The total project cost is difficult to estimate currently. The original overall planned budget was for $31M, however, that number was based upon the State of Idaho's project cost, and we do not yet know if our estimated total budget of $36.7M will be appropriate for Nevada's total project cost. We plan to have a better idea of the solution design, cost, and support needed only after having done the Phase 1 needs assessment work. We understand there are many decisions yet to be made that would impact the total project cost. Examples include software licensing held by the State or by the vendor, cloud or on-premises hosting, outsourcing or in-house support, skills re- training needed, new technology advancement, etc.

Detailed positions needed for future support of a newly redesigned application cannot be made at this time although we do estimate we will need additional resources for roles such as Data Architect and User Interface Designer. We envision a lengthy process to document the existing business processes and understand how they may be optimized only after deep immersive conversations with our customers and stakeholders. The newly designed system must meet customer needs as well as CCWIS requirements and produce the results we need. Only after we understand this, can we ideate collaboratively to design our business processes to meet those needs. The existing system does not meet needs for agility, automation, or modularity to scale up or down. In addition, the application code and dependencies are not

currently separated making it challenging to modify. There are many modern technologies that could be employed in the redesign which may impact the planned positions and skills needed but we have yet to go through the process to determine their suitability.

5. Approach to Studies and Requirements

DCFS established a Governance Team at the end of 2022 based upon the COBIT framework to implement, monitor, and improve IT management for projects to include the UNITY replacement project. This team has 34 members including numerous representatives from Rural representation, Washoe County and Clark County at all levels of the governance framework shown below. This governing body will be used to control technical issues, business risk, and control requirements.

DCFS is planning to release an RFP1 for our needs assessment and a separate RFP2 for project management and change management. Both RFPs have been reviewed and approved by the Governance team depicted above. The planned RFP1 objective is to identify the necessary work to modernize UNITY that will include discovery and gathering of information from the existing as-is system environment and business processes. Results of this work will inform to analyze, identify requirements and identify near term opportunities for improvement, reduce lead times, and streamline services. This will include ideating and designing innovative processes and business outcomes for a new to-be application system with documented current and future requirements. Consideration shall also be given to in-flight projects affecting key functional areas and integrations both within DCFS as well as within the State. The planned objective of RFP2 is to provide continuity for project management and change management needed over the entire length of the UNITY replacement project.

RFP1 - Business Process Flows

Business process flows shall be documented to reflect the existing business process using words, descriptions, images, symbols, along with a timeline, and resource(s) involved to illustrate how the process is currently being performed. Documentation shall be provided to show the number of business processes and which ones are taking place, their impact on DCFS, the contribution or lack thereof within the process, the resource role(s) involved, with an illustrative depiction of the steps involved in completing the process. The illustrative process flow depiction should be delivered in an industry standard format that would allow DCFS access to the source of the illustration.

Facilitation of stakeholder sessions and focus groups will need to be conducted by the selected vendor to evaluate the existing system and business processes as well as to articulate desired outcomes. Documented outcomes will include challenges and gaps with the current process. The discussions of the current system will be followed by participants discussing and defining the requirements for the future to-be system. These discussions will result in determining and addressing the gap between the current system and the desired to-be application system.

RFP1 - Requirements

The requirements gathering shall provide a high level, business view of the envisioned to-be system environment to include CCWIS compliance as well as any pending legislation affecting data elements and reporting requirements. Requirements shall be analyzed from the perspective of the functional system, commonality needed across modules, ancillary technologies currently in-use across the enterprise such as Microsoft Teams and O365, skillset of existing support staff, operation of each functional area, and current DCFS child welfare policies. Requirements may also include any recommendations for consolidation of existing integrations, policy and procedural changes.

The requirements shall include the following key functional areas:

A. Administration
- System Maintenance (Data that can feed into multiple pages)
- IMS (Information Management Services) Toolkit
B. Assessments
- Present Danger Assessment (PDA)
- Nevada Initial Assessment (NIA)
- Safety Plan Determination (SPD)
- Safety Plan (SP)
- Safety Assessment (SA)
- Risk Assessment
- Family Assessment
- Protective Capacity Family Assessment (PCFA)
- Protective Capacity Progress Assessment (PCPA)
- New Caregiver Assessment (NCA)
- Confirming Safe Environment - Child Placement Assessment (CSE-CPA)
- Confirming Safe Environment - Instrument (CSE-I)
C. Batch
- Claims/Payments
D. Case Management
- Adoptions
- Kingap
- In-home/Out-of-Home
- Differential Response
- Intensive Family Services (IFS)
- Commercial Sexual Exploitation of Children (CSEC)
- Specialized Foster Care (SFC) Data Task Queue
- Clinical Referrals
- Service Array
- National Youth in Transition Database (NYTD)
- Case Plans
- Upload Documents/Photos
E. Continuous Quality Improvement
- Case Review

- Data Analysis
F. Court Processing
    - Legal/Removal
    - Court Hearings
    - Court Calendar
G. Data Management and Data Quality
H. Eligibility
    - Title IV-E (Federal Eligibility Requirements for Funding) – Foster care
    - Title IV-E (Federal Eligibility Requirements for Funding) – Adoption
    - Title XIX
    - State Medicaid
    - Temporary Assistance for Needy Families (TANF)
    - Title IV-E – Prevention (FFPSA Eligibility Assessment)
I. Financial Management
    - All maintenance pages like budgets, revenue GLs etc.
    - Claims/Payments maintenance
    - Trust Accounts
J. Forms
K. Foster Care/Adoptive Family/Guardianship [2,3]
    - Placements
    - Foster Care Services for Application Licensing/Licensing Caseload [1]
L. ICPC (Interstate Compact on the Placement of Children)
    - Interstate Compact on the Placement of Children (ICPC) pages
    - National Electronic Interstate Compact Enterprise (NEICE) Interface
M. Independent Living
N. Intake
    - Referrals/Reports
    - Corporal Punishment
    - Institutional Investigations
    - Safe Haven
    - Investigation
O. Interfaces
    - Central Registry Interface
    - National Electronic Interstate Compact Enterprise (NEICE) Interface
    - Nevada Operations of Multi Automated Data Systems (NOMADS) Interface
    - Payment file to State, Clark County and Washoe County
    - Adoption and Foster Care Analysis and Reporting System (AFCARS)
    - National Child Abuse and Neglect Data System (NCANDS)
    - National Youth in Transition Database (NYTD)
    - Medicaid/Medical Passport Information [4]
    - MICA/DIONA (Clark County Mobile Integrated Case Management Applications) [6]
    - Nevada Integrated Financial System (IFS)
    - NV Kids Child Support Enforcement Automation System
    - Title IV-E Reimbursement
    - Title IV-E Recalculation
    - Social Security Administration (SSA)
    - Coalition to Prevent the Commercial Sexual Exploitation of Children (CSEC) Data Extract for University of Nevada Las Vegas (UNLV)
    - Tyler Technologies Enterprise Juvenile Justice Data
    - Master Client Index (MCI) Data Extract for Office of Analytics
    - U1 Forms
P. Medical Case Management/Treatment

Q. Organization
- Staff Management [7]
- Org Management [7]
- Security
- Reporting

R. Placements, Stability, and Resource Availability

S. Provider Management
- Licensing
- Provider Notes
- Recruitment
- Payment Processing [5]

T. Person
- Health
- Education

[1] Planned 3rd party BINTI application bi-directional data exchange
[2] Planned 3rd party Constant Contact online marketing
[3] State Records & Archives paper Adoption Records to be considered for electronic ingestion/storage
[4] JDBC data exchange from DHCFP (Division of Health Care Financing and Policy)
[5] Planned State Accounting and Human Resource (HR) Enterprise Resource Planning (ERP) System
[6] Planned 3rd party DFS (Clark County Department of Family Services) - MICA/DIONA (Clark County Mobile Integrated Case Management Applications)
[7] Planned integration of organizational updates from HR work orders via Help Desk ticketing system

DCFS envisions an innovative process in collaboration with DCFS and our stakeholders to design a superior solution using native modern technologies. These modern technologies shall address modularity, ease of use, user assistance, lower risk and cost of change, include new methods of data ingestion from multiple file types, provide mobility support and gain employee buy-in. We anticipate this will involve conducting customer research with our customers, getting deeply immersed in their perspectives, co-creating with stakeholders, and designing and executing new innovative ideas for delivering child welfare services to Nevada. The results of these sessions shall include any identified expanded or new requirements to include the source and best method for data collection or entry of the stated requirement.

RFP1 - Alternatives Analysis and Cost Benefit Analysis

The selected vendor will lead a feasibility analysis to evaluate options available and the best approach to achieving the desired solution. All alternative solutions shall be evaluated against identified business and functional requirements and analyzed with a cost benefit analysis to include the cost of the current status quo. The purpose is to provide DCFS with an objective and quantifiable analysis of all feasible options. In support of this activity, stakeholders may participate in demonstrations to review potential solutions. The cost benefit analysis shall contain the pros, cons, benefits, and examination of risks of each alternative, cost benefit data, viability, and estimated Return on Investment (RIO). Each alternative shall be scored and ranked.

RFP1 - Implementation Roadmap and Support Activities

A future implementation roadmap is to be provided by the selected vendor along with the additional support activities that may be required for the future implementation phase of the project. The roadmap shall include the recommended solution that best meets the defined business needs and requirements gathered along with identified risks and recommended mitigations. Deployment options should be identified and documented. The roadmap should include a visual depiction over a period of relative time to achieve the desired end state. The RFP1 selected vendor shall describe the work required including Governance, Policy, Funding, Procurement, Organizational Readiness, and Technology needed to achieve the desired end state.

<u>RFP2 - Approach</u>

A separate RFP2 will be released to select a vendor that can manage the entire UNITY replacement project from start to finish as well as manage the organizational change management needed to get to the future state. The focus of this effort is not on a technology uplift but rather creating new business processes for child welfare so there will be a heavy emphasis on change. This vendor shall create and maintain a project plan, communicate on project tasks, change management and activities openly, timely, and proactively in the best interest of the project. The selected vendor of RFP2 shall also maintain cooperative and collaborative working relationships with technical support staff, project stakeholders and customers to understand current business processes and manage the transition to a new platform.

<u>RFP1 – Approach</u>

Vendor will work closely with DCFS's chosen project manager from RFP2. Both vendors shall maintain cooperative and collaborative working relationships with technical support staff, project stakeholders and customers to understand current business processes and document requirements.

<u>RFP1 - Deliverables</u>

The RFP1 vendor will be responsible for completing, documenting, and submitting the following deliverables as well as meeting all deliverables/milestones defined in collaboration with DCFS chosen project manager and named below:

- Requirements (system functional and non-functional, mandatory, and optional) document
- As-is and to-be business process flows
- Matrix for managing the requirements documented
- Cost benefit analysis document
- Alternative analysis report
- Recommendation's document
- Gap analysis document to include support activities needed
- Technical design and implementation roadmap

<u>RFP2 - Deliverables</u>

DCFS will ensure the selected vendor from the second RFP2 will follow standard Project Management Body of Knowledge (PMBOK) and Change Management methodology and processes, to include the following activities and deliverables.

Project Management	Purpose and Objectives	Deliverables / Milestones
1. Initiating	- Define DCFS project's goals, objectives, and constraints - Review CCWIS requirements - Develop Statement of Work - Identify and assess initial project risks - Create list of project stakeholders - Mobilize project team	- Statement of Work - Project risks

Planning	• Establish project office and working environment • Document and communicate project management processes, change management processes, standards, template, and tools • Identify and assess stakeholder needs • Develop project schedule • Develop communication plan • Develop change management plan • Set a budget baseline • Identify, document, and address project risks and issues • Become CCWIS Subject Matter Advisor • Establish change ambassadors/agents	• Project Management office setup • Roles and Responsibilities • Communication plan • Change Management plan • Organizational plan • Readiness plan • Project schedule • Risk and issue log • Establish Change Ambassadors across the DCFS community
Executing	• Conduct meetings, activities, and tasks to prepare project deliverables • Conduct necessary project communications • Allocate project resources	• Project work products and deliverables • Requested project scope changes • Status reports and meetings • Communicate changes to user community
Monitoring and controlling	• Monitor project performance metrics and progress • Monitor contractor performance (if applicable) • Proactively manage project issues and risks • Ensure adherence to plan • Develop and approve preventative or corrective actions • Review project deliverables	• Project plan updates • Scope changes • Deliverable and milestone sign-off
Closing	• Conduct activities to close out the project and obtain sign-off • Close contracts with vendors (if needed) • Document learnings	• Deliverables completed • Project closure report • Contract closeout

During the planning phase, the selected RFP1 vendor will work in close coordination with DCFS. DCFS will assist with engagement of other agencies and community providers such as advocates for diverse and marginalized communities from NOMHE, the Nevada Indian Child Welfare Steering Committee, as well as the DCFS Governance Team and other workgroups as necessary to meet project goals. DCFS will partner with other State agencies within the Health and Human Services vertical and will seek input from non-government stakeholders such as the UNR and the UNLV to collaborate on a comprehensive approach to child welfare.

6. Definitions

Definitions for terms used in APD and supplemental Attachments:

ACF	Administration of Children and Families
AFCARS	Adoption and Foster Care Analysis Reporting System
ARPA	A funding source from The American Rescue Plan Act of 2021 that provides $350 billion in additional funding for state and local governments.
BINTI	A 3rd party software application by BINTI, Inc that manages foster licensing applications, licensing caseloads, and placement availability.
CCWIS	A regulatory compliance standard for Comprehensive Child Welfare Information Systems
COBIT	The acronym for Control Objectives for Information and Related Technologies. An industry standard framework for controlling technical issues, business risk, and control requirements.
COBOL	Common Business Oriented Language used in mainframe programming
COGNOS	A database reporting and analytics tool from IBM
CoolGen	CoolGen or CA Gen is a Computer Aided Software Engineering application development environment from CA Technologies
CSEC	Commercially Sexually Exploited Children
CSE-CPA	Confirming Safe Environment - Child Placement Assessment
CSE-I	Confirming Safe Environment - Instrument
C-SWAP	A repository created by the ACF and required for Title IV-E agencies to share: CCWIS and non-CCWIS child welfare-related modules, systems, Advance Planning Documents (APD), procurement documents, and other project documents (such as research materials). This site was developed by the Children's Bureau's (CB) Division of State Systems (DSS). This repository is limited to Title IV-E agency staff only.
DB2	A database technology used for replicating mainframe data
DCFS	The Division of Child and Family Services. A Division of the Department of Health and Human Services.
DHCFP	Nevada Division of Health Care Financing and Policy
DHHS	The Department of Health and Human Services

DIONA	A 3rd party software application by DIONA that turns smartphones and tablets into tools to achieve better outcomes by improving field investigations.
DPBH	The Department of Public and Behavioral Health
EITS	Enterprise Information Technology Services. The State entity that manages the Layer 3 network, mainframe hosting, O365, and other state-wide IT services for all State agencies including DCFS.
FPO	Family Program Office within DCFS
ICPC	Interstate Compact for the Placement of Children
ICWA	Indian Child Welfare Act created in 1978 by the federal government to re-establish tribal authority over the adoption of Native American children.
IFS	Integrated Financial System
ILP	Independent Living Program
JDBC	Java Database Connection
MCI	Master Client Index. An extract file created for the Office of Analytics.
NCA	New Caregiver Assessment
NCANDS	National Child Abuse and Neglect Data System
NEICE	National Electronic Interstate Compact Enterprise. A national electronic system for quickly and securely exchanging data and documents required by ICPC to place children across state lines. NEICE is hosted in the Azure Government Cloud.
NIA	Nevada Initial Assessment
NOMADS	Nevada Operations of Multi Automated Data Systems
NOMHE	Nevada Office of Minority Health and Equity that resides under the Department of Health and Human Services.
NYTD	National Youth in Transition Database
PCFA	Protective Capacity Family Assessment
PCPA	Protective Capacity Progress Assessment
PDA	Present Danger Assessment
PROD	Production environment
SIT	System Integration Testing environment
SA	Safety Assessment
SFC	Specialized Foster Care
SP	Safety Plan
SPD	Safety Plan Determination
SSA	Social Security Administration.
TANF	Temporary Assistance for Needy Families

Title IV-E	A funding source under Title IV-E of the Social Security Act, states, territories, and tribes are entitled to claim partial federal reimbursement for the cost of providing foster care, adoption assistance, and kinship guardianship assistance to children who meet federal eligibility criteria. The Title IV-E program, as it is commonly called, provides support for monthly payments on behalf of eligible children, as well as funds for related case management activities, training, data collection, and other costs of program administration.
Tyler Tech	Tyler Technologies, Inc. The current vendor of the Juvenile Justice application.
U1	A subsystem of the mainframe that places data into Word document forms (stored in MSSQL) as preparation for court documentation and other case file needs.
UAT	User Acceptance Testing environment
UNITY	The Unified Nevada Information Technology for Youth application. It provides child welfare case management and resides on an IBM z15 mainframe hosted by EITS.
UNLV	University Nevada Las Vegas. UNITY training courses are hosted by the Nevada Partnership for Training (NPT) and provided by the University's School of Social Work.
UNR	University Nevada Reno. UNITY training courses are hosted by the Nevada Partnership for Training (NPT) and provided by the University's School of Social Work. DCFS also collaborates with UNR on the Title IV-E Child Welfare Scholars Program.