CALIFORNIA DEPARTMENT OF CHILD SUPPORT SERVICES
P.O. Box 419064, Rancho Cordova, CA 95741-9064

Reason for this Transmittal

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

September 30, 2005

CSSIN LETTER: 05-15

ALL IV-D DIRECTORS
ALL COUNTY ADMINISTRATIVE OFFICERS
ALL BOARDS OF SUPERVISORS

SUBJECT: CONSORTIA GOVERNANCE AND COMMUNICATION PLAN

This letter provides information to the local child support agencies (LCSAs) regarding the Consortia Governance and Communication Plan.

As California moves closer to its phased implementation of the California Child Support Automated System, it is increasingly important for the Department of Child Support Services to be more directly engaged in the management and operation of the Consortia. The purpose of the Consortia Governance and Communication Plan is to clearly define roles and responsibilities, establish a decision-making body that represents the LCSA membership as a whole, and to provide a forum for Consortium members to voice their issues and concerns while sustaining support for the decisions made.

If you have any questions or concerns regarding this matter, please contact Jamie Murray at (916) 464-2704 or via e-mail at Jamie.Murray@dcss.ca.gov.

Sincerely,

Signature on file/csm

JOAN OBERT
CIO/Deputy Director
Technology Services Division

Attachment

CONSORTIA GOVERNANCE & COMMUNICATION PLAN

1. OVERVIEW

1.1 Background

The ARS and CASES consortia were established to serve as two of the six federally-approved "safe haven" child support automation systems after the failure of SACSS, California's attempt to meet a federal mandate of implementing a single, statewide automated child support system by 1997. California has been under severe financial penalties for its failure to meet the deadline. A contract was awarded in July 2003 to an Alliance of IBM, Accenture, and CGI-AMS to develop and implement the California Child Support Automated System (CCSAS) Child Support Enforcement (CSE) case management and accounting project. In December 2004, a contract was awarded to Bank of America to implement a State Disbursement Unit (SDU) to centralize collection and disbursement of child support payments. These two CCSAS components (CSE and SDU) when fully integrated and implemented in all Local Child Support Agencies (LCSA) will constitute the single, statewide child support automation system mandated by federal regulation.

CCSAS is being developed and implemented in several phases guided by federal certification requirements for the single statewide system, the federal Title IV-D program, and State child support laws and regulations. The three major phases are:

- CSE Version 1 (V1),
- SDU, and
- CSE Version 2 (V2).

The implementation of CSE V1 and SDU statewide, tightly integrated with the two remaining consortia (ARS and CASES) will provide California an opportunity to secure an early opportunity to request federal certification of an Alternative System Configuration (ASC) in September 2006. ARS and CASES consortia were selected as the two "base" consortia for the ASC based on several factors. The ARS members (Los Angeles, Orange, San Diego) had just completed their conversions, representing over 40% of the state's caseload, and focus centered on program improvement efforts through improved automation. CASES was used by a majority (34) of the LCSA, operates at a State data center and was scalable to accommodate 52 LCSA (55 counties) and over 60% of the statewide caseload. CSE V2 is the final destination as California's federally-certified single statewide automated system to be fully implemented in 2008.

1.2 Consortia Evolution

California was in the process of moving county child support automation systems to one of six federally approved consortia systems when the 1999 California child support reform legislation established the Department of Child Support Services (DCSS) in January 2000. The same legislative reform gave DCSS the authority over the child support program and all automation, local program and automation funding control, and

mandated processes for ensuring LCSA cooperation in assisting the State in implementing a single, statewide system (CCSAS).

The ARS software application is supported by a mix of LCSA IT staff with some contractor support. The ARS application runs at the Los Angeles County Data Center in a Unisys environment. The CASES software application maintenance and operation (M&O) is performed by a contractor, Informatix (M&O Vendor), under the management of DCSS Technology Services Division (TSD). The M&O Vendor is also responsible for the onsite support, including desktop, server, and telecommunications services, for several very small and small LCSA. The Health and Human Services Data Center (HHSDC) hosts the application in an IBM environment. Each LCSA has a separate and distinct database.

In 2002, DCSS elected to eliminate two consortia, BEST and CHASER, used by seven LCSAs. The CASES consortium was the State mandated destination for the impacted LCSA based on the consortium's long-standing stability, scalability, and operation out of a State data center. The CCSAS CSE solution included a two-prong approach (V1 and V2) to provide an opportunity for early certification as an ASC. The CSE team, as part of the CCSAS V1 implementation approach, has eliminated two additional consortia used by 14 LCSAs by converting them to the State-designated CASES consortium. As of July 2005, the CASES consortium has 52 member LCSAs (55 counties) and represent over 60% of the statewide caseload. San Bernardino and Riverside LCSA are the two largest LCSA now using CASES.

As California moves closer to its phased implementation of CCSAS beginning in Fall 2005, it is imperative that consortia governance be aligned with CCSAS structures for integrated change control, schedule monitoring, issue and risk management and clearly defined communication protocols. Consortia focus must remain on meeting CCSAS timelines on schedule with quality products. In addition to the major modifications required to reach the opportunity for ASC certification in September 2006, ARS and CASES management, staff and contractors must also "keep the lights on", i.e., ensure system stability throughout the almost three year implementation rollout. Maintaining system functionality, data reliability, and meeting program compliance must be priorities for both consortia until they are retired.

1.3 Purpose

As CCSAS is implemented it is increasingly important for DCSS to be more directly engaged in the management and operation of the consortia. The purpose of the Consortia Governance and Communication Plan is to clearly define roles and responsibilities, establish a decision-making body that represents the LCSA membership as a whole, and provide a forum for consortium members to voice their issues and concerns while sustaining support for the decisions made. It is envisioned that as LCSAs transition to CCSAS V2, the ARS and CASES Executive Steering Committees (ESCs) will be transformed into a single body with responsibility for providing local participation in CCSAS change order/request processes.

1.4 Objectives

The objectives for establishment of a more CCSAS-aligned consortia governance and communication structure are driven by DCSS' responsibility for ensuring the successful implementation of CCSAS and achieving federal certification. Through the existing Plan of Cooperation, which includes the Annual Automation Cooperation Agreement directives, DCSS is instituting this governance and communication structure to achieve the following objectives:

- Provide DCSS' direct leadership in consortia management and oversight based upon governance and communication structures that provide timely decision-making and the broadest distribution of information to the right people, at the right time, in the right place;
- Provide a governance structure that is representative of the consortium as a whole and that is responsible for decision-making, priority setting, and resource maximization;
- Provide a communication structure that establishes a primary point of contact for LCSA Directors and staff, DCSS, and the various partners engaged in CCSAS Project implementation;
- Provide forums for sharing best practices, sponsorship of committees and/or ad hoc workgroups to perform analysis, research, and develop improvement recommendations; and
- Move consortia governance from local-based to a State-based structure to ensure implementation of CCSAS occurs as seamlessly as possible on schedule.

The DCSS TSD management team is responsible for implementing this Plan and ensuring these objectives are met. The governance and communication structures will be evaluated for efficiency and effectiveness bi-annually by DCSS and continuously improved until CCSAS Version 2 is implemented statewide and consortia governance is no longer an issue.

1.5 Definitions

For purposes of this plan, the following definitions should be used:

TERM	DEFINITION
Ad Hoc Workgroup	A small team of subject matter experts (SME), representing the caseload size stratification, assigned to perform impact analysis of proposed changes to the ARS/CASES software application, business processes, procedures or practices; formed as needed for a specific assignment and, when complete, the workgroup is dissolved.
ARS	ACES Replacement System; the software application or automated system used by the consortium to support child support programs/services.

TERM	DEFINITION
ARS Consortium	The 3 LCSA using the ARS software application to provide program services; represents over 40% of statewide caseload.
CASES	Computer Assisted Support Enforcement System; the software application or automated system used by the consortium to support child support programs/services.
CASES/ARS Business Analysts	The consortia staff providing day-to-day operational support to the Consortium Technical Manager; including software application subject matter experts, user acceptance testing, and training that provide services on behalf of the consortium members; staff administratively report to the Consortium Technical Manager; workload priorities and resource assignments will be set by the CPL and implemented through the CTM.
CASES Consortium	The 52 LCSA (55 counties) using the CASES software application to provide program services; represents approximately 60% of statewide caseload.
Consortium Project Leader (CPL)	The DCSS representative responsible for the day-to-day oversight of the consortium's responsibilities, priorities, and ensuring resources are maximized; primary point of contact for the Executive Steering Committee, Consortium Technical Manager, Consortium Business Analysts, member Directors and LCSA staff. The CASES CPL interacts with the M&O Vendor regularly to provide State-level guidance and direction and to obtain status for DCSS reporting. The CPL is a member of Technical Advisory Board.
Consortium Technical Manager (CTM)	The manager of the Consortium Project Staff; technical expert on application functionality and program performance impacts of automation changes; provides ongoing guidance on technical issues to project staff; provides technical support to the ESC as requested; member of Technical Advisory Board.
Executive Steering Committee (ESC)	Consists of LCSA Directors, or their designee, that have been elected as a representative of the consortium responsible for decision-making and consensus building to deliver a single message from all members to DCSS; establishes priorities; assigns research and analysis to the various standing committees and/or ad hoc workgroups; the DCSS TSD Assistant Deputy Director serves as the chairperson and is a voting member of the committee.

TERM	DEFINITION
JAD Team	Joint Application Development Team; group of software developers, business analysts, and testers working together to define requirements, design, build, and test systems, and implement solutions; includes developing of UAT scenarios/ scripts.
M&O Contract Manager	DCSS primary point of contact for communication coordination between the M&O Vendor, Consortium Project Leader, Consortium Technical Manager, and DCSS; supports both consortia ESC as needed for meeting preparation and minutes distribution, and is a member the CASES Technical Advisory Board.
M&O Vendor	Vendor under contract with the State to provide maintenance and operations to the CASES application and support services to a group of very small and small LCSA; provides CASES Help Desk support; reports directly to DCSS M&O Contract Manager.
M&O Vendor Project Manager	The CASES M&O Vendor (Informatix) contract manager responsible for managing the software application, the M&O staff, workload priorities, CCSAS responsibilities and IT support services for several LCSA; M&O Vendor Project Manager is a member of the CASES Technical Advisory Board.
Technical Advisory Board (TAB)	The Consortium Project Leader and the Consortium Technical Manager. CASES TAB also includes the M&O Vendor Project Manager and M&O Contract Manager. TABs serve as technical advisors to the Executive Steering Committee; they are not elected and do not vote.
User Acceptance Testers	Participants selected to perform appropriate independent business verification testing prior to production release. The ability to perform testing locally will be made available to LCSA participating in UAT. UAT teams will be selected based on modification subject matter expertise.
Voting Member	Elected Director (or designee) to ESC as a representative of a caseload category; CASES ESC has six LCSA representatives who each have 1 vote; ARS has all three Directors on its ESC. The DCSS TSD Assistant Deputy Director (ESC Chairperson) is a voting member with 1 vote.

2. GOVERNANCE STRUCTURE

2.1 Executive Steering Committee

Effective July 2005, both the ARS and CASES consortia are governed by an Executive Steering Committee (ESC) comprised of member Directors (or their designee) and the

DCSS TSD Assistant Deputy Director. The TSD Assistant Deputy Director serves as the Chairperson and is a voting member of the ESC.

The ARS ESC is comprised of all three member Directors, i.e., Los Angeles, San Diego, and Orange LCSAs. The existing ARS governance structure in large part meets the objectives set forth in this Plan and is functioning efficiently and effectively at this time. The existing ARS structure also supports CCSAS-dependent workload tracking, monitoring, and communication protocols. The most significant change the consortium governance structure makes to the ARS ESC is replacing the existing chair (Consortium Technical Manager) with the TSD Assistant Deputy Director.

Because of the rapid growth of the CASES consortium, the change to its governance and communication structures are more significant. The CASES ESC is elected based on one (1) member from each of the six (6) designated caseload size categories for a total of six (6) voting members plus the TSD Assistant Deputy Director. The elected CASES ESC representatives are responsible for decision-making, consensus building across the consortium and ensuring consortium CCSAS responsibilities are met. CASES ESC members are responsible for being the liaison between the LCSA they represent and the ESC and the CCSAS Project.

The ESCs meet at least monthly and address automation or technical issues only; policy discussions are routed to the Policy Branch for research and resolution. The consortia ESCs address the implementation of policy decisions in the automated system. The ESCs ensure the LCSA viewpoint is delivered as a single message from the consortium to DCSS. The ESCs establish priorities and assign research and analysis as appropriate. The ESCs also facilitate sharing of best practices across the consortium, maximizing resources, and ensuring the consortia are appropriately represented in CCSAS development and implementation activities.

2.2 Technical Advisory Board

A Technical Advisory Board (TAB) serves the ESC by providing historical knowledge, communicating status, identifying program impacts on system functionality and a variety of other technical and system subjects. The Consortium Project Leader, Consortium Technical Manager, and for CASES, the M&O Vendor Project Manager and the M&O Contract Manager, serve in an advisory capacity to the ESC and can be assigned tasks to support ESC decision-making. The ARS TAB is comprised of the Consortium Project Leader and the Consortium Technical Manager. TAB members are not elected and do not vote.

2.3 Standing Committees & Workgroups

The prior consortia structure included subject matter specific Committees or Workgroups. The role of these groups was to provide analysis and research and make recommendations for implementation strategies. The CASES consortium workgroups also generated Service Requests (SR) for various improvements to the software application. These SRs were prioritized and “worked” by the M&O Vendor, Consortium Business Analysts and workgroups. A backlog of urgent, high, medium, and low priority

SRs exist for CASES, the majority of which will not be implemented but deferred to CCSAS.

With the advent of CCSAS implementation, the focus of the committees/workgroups has changed. Major functional modifications to the ARS and CASES software applications are reserved for certification issues, CCSAS implementation support, and/or federal or state program requirements changes (e.g. OCSE 157 form changes). An evaluation of the existing consortia structures as well as the ongoing role of committees/workgroups will be conducted and recommendations made to the ESCs to ensure resources assigned to those activities are providing value-add contributions to the overall governance and communication processes. The evaluation will also consider alignment of committees/workgroups across the consortia to ensure the CCSAS implementation approaches and strategies are consistent. Until the evaluation is completed, the existing committee/workgroups will remain in place but with a moratorium on undertaking any new activities without ESC prior approval.

Consortium members are expected to participate in supporting the existing Workgroups and future Ad Hoc Workgroups when requested and Directors are encouraged to provide the time necessary for workgroup members to perform their consortium responsibilities as a priority assignment. Maximizing LCSA resources for all consortia-related activities requires clear priority setting, planning and setting expectations for outcomes. In order to equitably share the additional workload activities associated with the consortium maintenance and operations responsibilities (e.g. workgroup participants, UAT participants). Resource management requires ongoing monitoring and oversight by the ESCs to ensure efficiency. Efforts not directly tied to the pending CCSAS implementation will be tightly controlled and managed to ensure expected benefits are attainable, on schedule, and within budget.

2.4 Ad Hoc Workgroups

At the direction of the ESC or TAB, Ad Hoc Workgroups will be established to provide specific analytical support on specific systems and/or program issues and make recommendations to the ESC for improvements to the application or business processes. Ad Hoc Workgroups have no more than seven members but must be representative of the caseload size stratification of the consortium. In the CASES consortium, Ad Hoc Workgroups will generally only have one representative per LCSA per workgroup. Workgroup assignments will be made by the ESC or TAB, including defining the scope of work, assumptions, communication expectations, and schedule for completion. When the assignment is completed, the workgroup is dissolved. For example, an Ad hoc Workgroup may be formed to report back to the ESC impacts of new federal bankruptcy legislation on consortia systems as well as CCSAS V2 requirements. A small workgroup of bankruptcy experts and application analysts/developers would be formed to conduct the analysis and prepare recommendation(s) for action back to the assignment originator (i.e., ESC or TAB).

Workgroup meetings will be held via teleconferencing or videoconferencing whenever possible. A consensus recommendation must come forward to the ESC for action. If consensus cannot be reached within the time period specified by the ESC or TAB, the issue with be elevated back to the ESC for action.

2.5 Consortia Business Analysts

The CASES/ARS consortia has a group of Business Analysts that are subject matter experts on the software application and how the child support program is supported by the application. Business Analysts assist the Consortium Technical Manager in the day-to-day operation of the consortium, including training, testing, and communication and outreach activities. Each workgroup is supported by one or more CASES/ARS Business Analyst(s). CASES/ARS Business Analysts are LCSA employees that report to the Consortium Technical Manager.

Both ARS and CASES project staff have been significant players in the development of CCSAS functionality and as such have gained detailed knowledge of the CCSAS functionality as it pertains to LCSA operations, consortia data and file exchanges, and the modifications made to the consortia systems necessary to make CCSAS a seamless system. With that knowledge, consortia project staff should be viewed as primary resources for workgroups when evaluating potential system and business impacts.

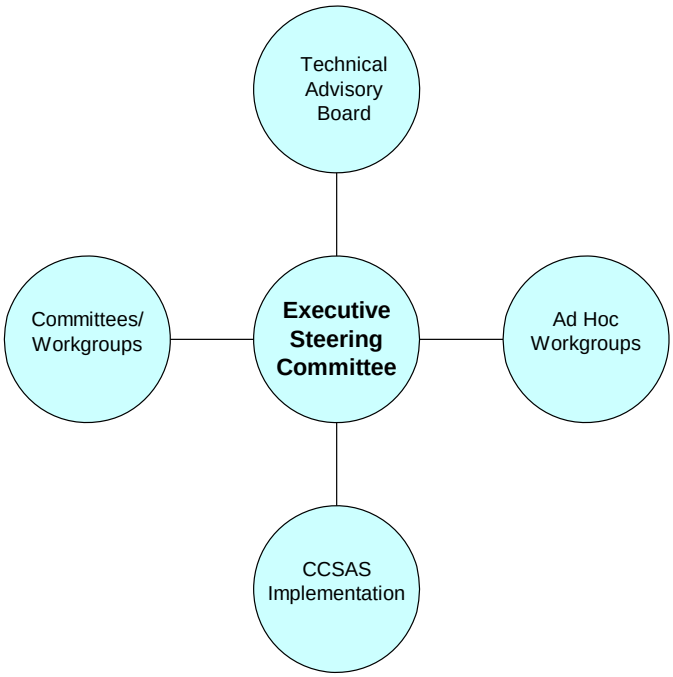
2.6 User Acceptance Test Participants

Except for emergency fixes, every modification to the consortia software application must be fully tested by LCSA users of the application, namely User Acceptance Test (UAT) participants. UAT participants perform test scenarios and scripts developed by Joint Application Development (JAD) team members. They also simulate production activities that may be outside script boundaries but part of the actual business workflow processes and/or procedures being modified. The UAT participants provide a Summary Test Report noting all defects, resolutions, and any issues or risks discovered during UAT. Whenever possible, UAT is performed locally at the LCSA participant's home office environment. It is important that Directors support staff participation in UAT to ensure modifications are ready for production release.

2.7 Governance Model

The governance model below depicts the ESC as the hub of consortia management and decision-making responsibilities. The ESC decision makers rely on the advice and expert opinions the technical and business subject matter experts provide. The ESC is responsible for ensuring the consortia CCSAS implementation responsibilities are being met. The consortia governance model will evolve as the CCSAS V2 system is implemented statewide and the consortia systems are retired.

CONSORTIA GOVERNANCE MODEL



2.8 Steering Committee Membership

The six CASES ESC members will be elected for two-year terms, with three members rotating/being elected each year. Elections will be held at the end of the state fiscal year (June) and the effective date of office will start at the beginning of the state fiscal year, July 1st. The first year, three members only serve for one year to allow a rotation to start the following year. It is the ESC members responsibility to find a substitute representative if they are unable to attend or participate in an ESC meeting.

2.9 Frequency and Location of ESC Meetings

The ESCs will meet monthly at a minimum. The meetings are open to all consortium members but only the ESC has voting privileges. “On call” or emergency ESC meetings may be necessary for expedited decision-making. In these cases, “virtual meetings” via video- or tele-conferencing or email will be used. The monthly ARS ESC meeting will generally be held at the Orange County LCSA; the CASES ESC will meet in Sacramento and be coordinated with other meetings requiring Directors to travel to Sacramento. Other meeting locations may be considered if agreed upon by the ESC.

2.10 Facilitation and Scribe Services

ESC meetings will be facilitated and scribe services will be provided. For the CASES ESC, the M&O Contract Manager will coordinate development of meeting agendas and posting of minutes to the consortia websites. Meeting minutes will document attendees, decisions made and action items. Email notification of when the minutes are posted to the website will be sent to all Directors and TAB. Whenever possible, background materials will be provided to the ESC at least three days in advance of meetings to ensure decision-makers are fully informed and prepared to be as efficient and effective as possible at the meeting. The ARS ESC process will remain the same with Orange County hosting the meeting and providing facilitation and scribe services.

3. CHANGE REQUEST MANAGEMENT

Only the highest priority Change Requests (CR) will be considered for consortia system implementation and must be tightly integrated with CCSAS requirements and phased implementation strategies. **Only application defects or “emergency fixes” will be performed without prior ESC approval**. However, even in these emergency situations the ESC will be back-briefed on all such emergency fixes to the application. All other CRs will be considered by the ESC based on the following competing priorities:

- ASC certification/CCSAS implementation
- Program performance improvement
- Significant worker productivity increase

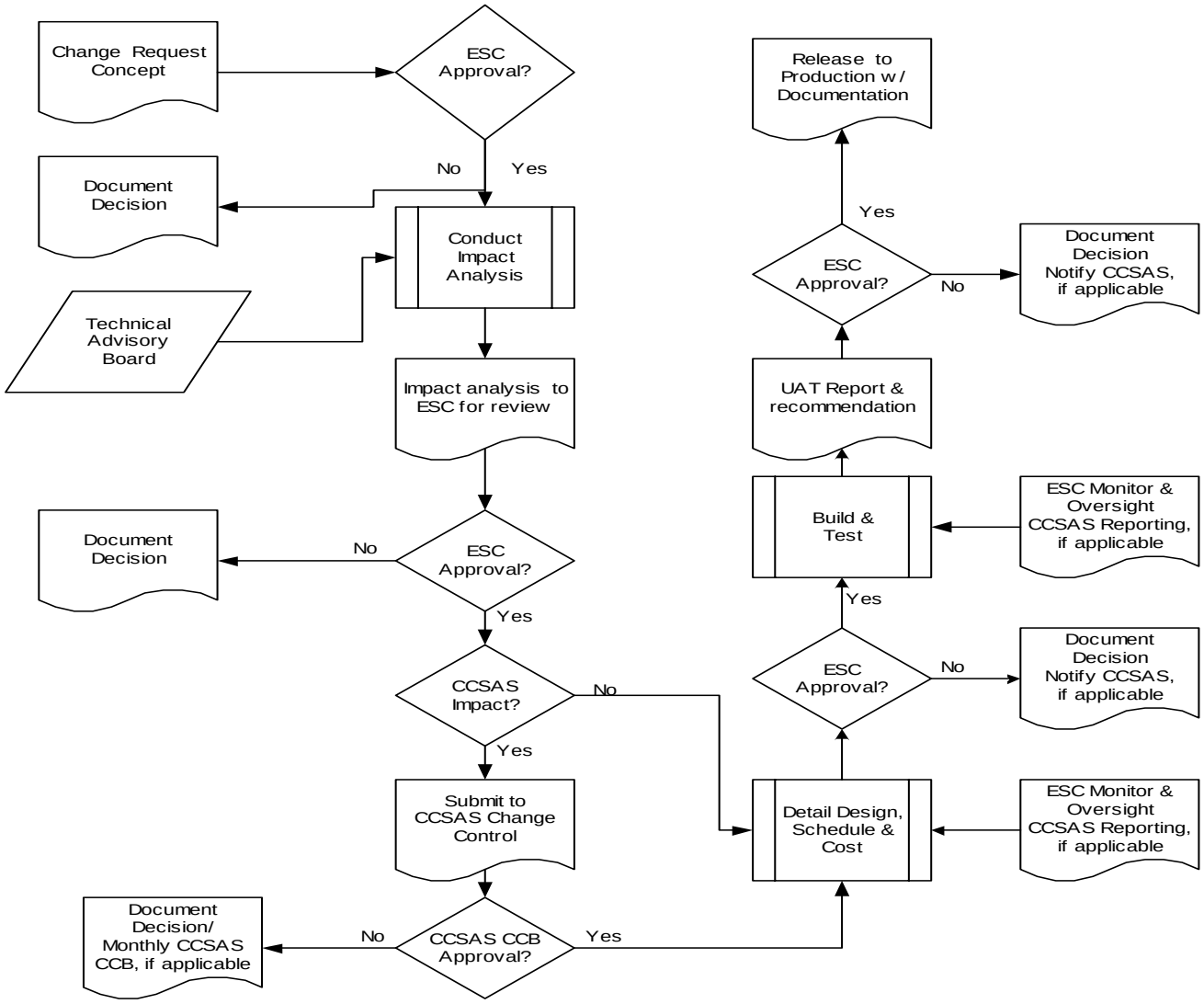
In addition to the above, CRs generated by ARS/CASES must be submitted to CCSAS Change Control processes for concurrence prior to work commencing on those CRs impacting other than the single consortium application.

3.1 Change Request Process

The ESC is responsible for managing and overseeing any CRs approved to ensure the above criteria are met, that priorities are properly established, and that critical deadlines are met with quality products. To ensure only those CRs supported by the ESC are "worked", the following high-level process is established; CRs currently in process will be evaluated for applicability based on status.

The chart below depicts the high level flow for obtaining approval to make any modifications to the consortia software applications that are not directly identified as necessary for certification and/or CCSAS implementation. A brief process description follows but it is intended to provide key concepts for processes, not specific procedural steps.

Consortia Change Request Process



3.1.1 Change Request Initiation Process

A Change request initiation form[1] is completed when a concept for a modification to be implemented in the consortia software application prior to retirement is identified. The ESC either vetoes the concept or approves for an impact analysis to be performed. The change request initiation form must, at a minimum, document the following information for the conceptual proposal:

- Title and Short Description of Scope
- Expected Benefit/Outcome (Certification, CCSAS, performance, productivity)
- Urgency Driver(s) (i.e., why not wait for CCSAS?)
- Alignment/Impact with other consortia
- Alignment/Impact with CCSAS solution
- First estimate of level of effort anticipated to accomplish (low/medium/high)

Additional information, such as recommended JAD team participants, assumptions, known software problems, etc. should be documented. The more complete and accurate the information submitted, the better informed the decision makers will be to act on the CR. The author of the change request should expect to be available during ESC review for questions and clarifications. If approved by the ESC, the CR will move to the next process step and an impact analysis will be conducted. If the ESC does not approve the CR, the action is documented and no further work is undertaken.

3.1.2 Change Request Impact Analysis Process

The ESC will determine the appropriate resources to assign to the impact analysis process (IAP) team. The IAP team, working closely with the TAB, conducts the impact analysis for the CR *concept* approved by the ESC. The IAP team is selected to meet the following criteria:

- Represents caseload stratification of consortium
- One representative per LCSA
- Specific subject matter knowledge and systems experience (business & software application)
- Ability to develop statewide solutions

[1] To be developed

When the impact analysis is completed, the team prepares an Impact Analysis Package that includes the following information:

- Complexity/Size of modification (e.g. # of programs, lines of code; financial/ accounting related, etc.)
- Alternatives Explored
- Recommended Solution
- Estimated Level of Effort including estimate of elapsed time
- Estimated Cost
- Expected Outcome/Benefit & Duration (i.e., how long will the modification be in place before the consortia is retired?)
- Impact to CCSAS Design/Implementation
    a. CSE
    b. SDU
    c. IDB
    d. CSR
    e. WAN
    f. Other consortium
- Impact to Certification
- Identified Issues/Risks

3.1.3 CCSAS Change Control Board

When either consortium proposes to implement a software modification that impacts one or more of the other CCSAS components, the change request must be approved by the CCSAS Change Control Board (CCB) prior to work commencing. The following table identifies the various CCSAS subcomponents and the system owner.

CCSAS Component	Organization
CSE	Business Partner-Alliance, under contract to FTB
SDU	Service Provider- Bank of America, under contract to DCSS
WAN	Health and Human Services State Data Center
IDB	DCSS

CCSAS Component	Organization
CSR	DCSS
ARS	ARS Consortium (3 counties)
CASES	CASES Consortium (55 counties)

Note: A change request that proposes any changes to data elements or file structures must be reviewed at the CCSAS CCB level. What appears to be minor changes to data elements or file structures in one system component may have significant impacts to another.

The CCB will review the ESC-approved Impact Analysis Package to determine if the change can be implemented without negatively impacting CCSAS resources, schedule, or budget. The CCSAS CCB will approve, reject or defer the CR. If the CCSAS CCB does not approve or defers the CR, the decision is documented and work is not started. If the CCB approves the CR, the ESC authorizes development activities to begin and established CCSAS CCB management and communication processes will be invoked. If the consortium CR does not impact any other CCSAS component, the CR is added to a Monthly CCSAS Subcomponent Review meeting as a method for sharing changes with other CCB participants. At this meeting each of the CCSAS Subcomponent systems provide information about CR they are planning on implementing or emergency CR's. This information allows the other system representatives to validate the CR to ensure it has no impact to other systems.

3.1.4 Detail Design, Schedule & Costing Process

The JAD team develops the detailed specifications and solution design. This includes definition of the appropriate business rules to ensure the software application changes do not result in program compliance or certification issues or create cross consortia inconsistencies important for certification. When completed, the JAD team prepares an Executive Overview that compares the Impact Analysis scope, approach, and estimates with the revised estimates based on the detailed solution description, schedule and costs. The JAD team presents its findings and recommends approval, withdrawal, or deferral of the CR for reconsideration at a later date. After any necessary discussion, including whether the CR still meets the criteria for moving forward, including cost effectiveness, the ESC votes on the proposed recommendation. The ESC action is documented in the meeting minutes; if approved, the CR enters the Build & Test processes.

3.1.5 Build & Test Process

Both consortia have mature system development lifecycle methodologies for guiding the build and test processes. However, the consortia governance and communication model requires that the following key concepts be deployed:

1. Consortia must employ a quality assurance activity to ensure the modification meets requirements as designed and is appropriately tested before release into production.
2. Developers are responsible for performing unit and system/subsystem testing successfully prior to User Acceptance Testing.
3. Consortia project staff or power users will develop the appropriate test scenarios and scripts to ensure UAT is comprehensive and meets business requirements.
4. LCSA users will conduct UAT. The CPL will coordinate the UAT resources and activities, including establishing local testing environments.
5. Developers will include the following in Release notes, if a release is moved into production with a known defect: the defect, the impact and the estimated timeframe before it will be "fixed." An alternative process should be proposed to mitigate the defect's impact to users.
6. If major defects are discovered during UAT, the CPL alerts the ESC and TAB via email of the problem(s) and resolution status. Any major defect resolution requires another pass through UAT and regression testing prior to production release. Each major defect needs to have the UA tester(s) sign off that the remediation was successfully tested.

3.1.6 Production Release Process

Both consortia have mature operational processes and procedures for the day-to-day support of the software application and supporting change control services. However, as CCSAS V1 is implemented, there is a new requirement to integrate both consortia operational processes and procedures into the overall CCSAS Systems Operations responsibilities. Consortia are now required to inform CCSAS Operations of any changes which impact the following areas:

- Software Release Management
- Configuration Management
- Hardware/Software Installation
- Network Management
- IT Security
- Disaster Recovery
- Help Desk Services
- User Profile Administration
- Data Elements, Characteristics and/or Business Rules

As modifications are released into production, updates to any of the related operational processes and procedures must be completed consistent with the CCSAS Systems Operations Integration Guide[2] as well as existing consortia management processes. CCSAS level changes require special coordination so each subcomponent system is prepared to release modifications into production at the same time.

[2] In development

4. MAINTENANCE & OPERATIONS RESPONSIBILITIES

4.1 Consortia Maintenance & Operations Management

It is essential that the consortia systems continue to operate in a stable, reliable, and available processing environment until they are retired. These systems are critical to the ongoing support of the child support program mission and collection of revenues for California children and families. Program performance and data reliability will continue to require mature and predictable results. With the first implementation of CCSAS in the Fall of 2005, the focus on CCSAS implementation and achieving federal certification will make demands on consortia managers and staff increasingly challenging. The consortia ESCs must work with the state to ensure that consortia ongoing consortia operations are sufficiently sustained with focus on CCSAS implementation remaining as the priority.

4.2 LCSA Maintenance & Operations Responsibilities

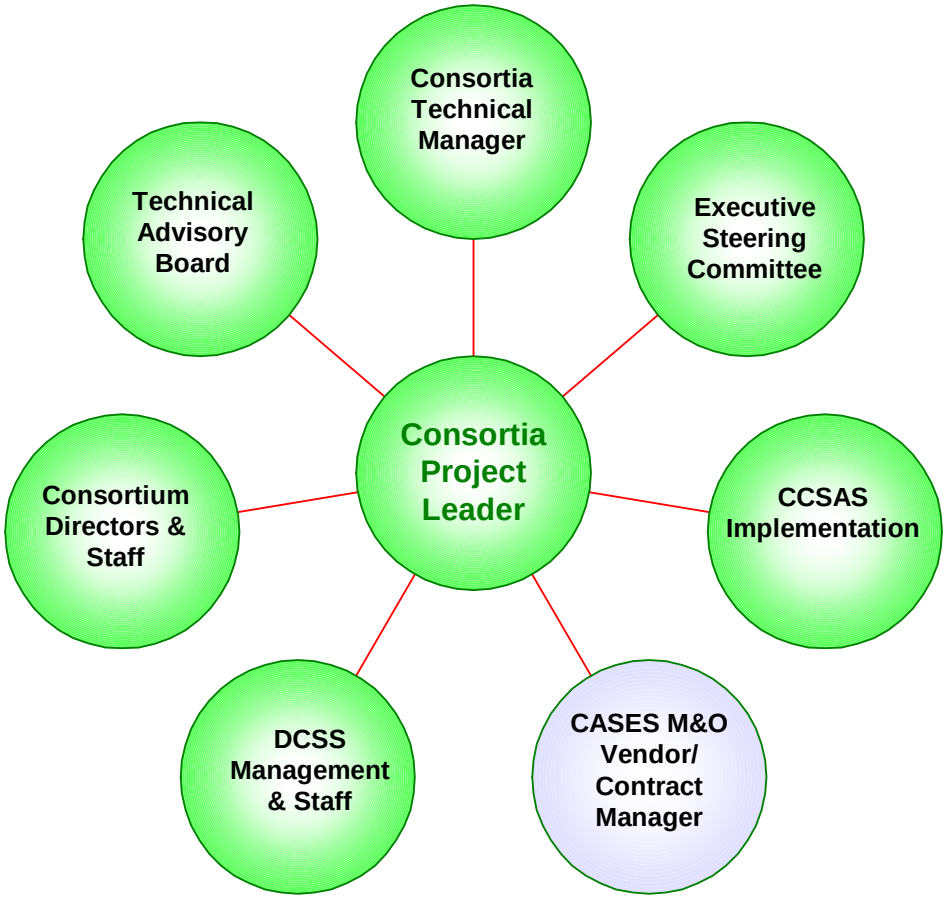
Along with new responsibilities for consortia managers and staff to meet CCSAS processing requirements, each LCSA has responsibility for maintaining and operating their own systems operations policies, processes, and guidelines consistent with State and federal requirements. This includes compliance with all IRS Safeguard Policies and Procedures for information and physical security as well as annual training certification. Each LCSA is required to have a current Disaster Recovery and Business Resumption Plan, Information Security Policies and Procedures, and IT hardware, software and telecommunications inventories. DCSS TSD is in the process of hiring staff to develop the oversight processes and procedures for these operational responsibilities as well as conducting LCSA onsite specific information and physical security audits per IRS regulations.

5. COMMUNICATION STRUCTURE

5.1 Communication Management

Successful communication relies on appropriate, timely, accurate, and effective communications at all levels across all organizations. Communications may be formal, informal, written or verbal. The nature of information and ideas, means of transmission, directions of the transmission, intent of the sender, and perception of the recipient are all part of the communication process. The chart below depicts the consortia communication model, with the Consortium Project Leader as the key facilitator of communication about consortia activities, practices, and procedures.

Consortia Communication Structure



5.1.1 Roles and Responsibilities of the Consortium Project Leader

The Consortium Project Leader (CPL) is the primary point of contact for the ESC, TAB, Consortium Directors and staff, and the CCSAS Project. The CPL is the "hub" of the communication flow between the state and local systems operations. The CPL works closely with the Consortium Technical Manager and their staff to ensure the software application remains stable and continues to support ongoing program operations while the CCSAS implementation activities are underway. The consortia are not targeted for retirement until SFY 2008/09. It is imperative that CCSAS implementation occurs with the least amount of disruption to program services and revenue collections as possible. The following principles for CPL communication include, but are not limited to:

- The CPL spends a majority of the work time at the consortium worksite providing leadership and DCSS guidance for the maintenance, operations and modification

efforts as well as all related supporting processes, such as project management, testing, release notes, etc.

- The CPL assists the Consortia Technical Manager in prioritizing staff assignments, monitoring progress, and reporting status. The CPL facilitates and coordinates member LCSA participation in consortia workload activities, such as UAT, training, etc.
- The CPL provides the ESC members with status reports on outstanding Change Requests or alerts the ESC and TAB when a problem with CR scope, schedule, or cost has been identified.
- The CPL ensures DCSS mandates for standardizing consortium services are coordinated across consortia, implemented consistently, and meet the objectives set forth.
- The CPL escalates issues to the Deputy or Assistant Deputy Director of TSD when the issues cannot be resolved satisfactorily. The TSD Deputy/Assistant Deputy Director will either resolve the issue or escalate it to the DCSS Directorate and CCSAS Project Leader.
- TSD management will manage and coordinate escalation of unresolved issues to the DCSS Directorate and CCSAS Project Leader to ensure clear, accurate, consistent, and timely information is provided to decision makers. ESC, TAB, and other key staff may participate. Resolution decisions will be communicated to the appropriate parties as quickly as possible.

5.1.2 Roles and Responsibilities of the Consortium Technical Manager

The CTM manages and directs the consortium project staff and is the technical expert for how the software application supports program policies, rules, and regulations. The CTM works closely with the CPL to ensure clear communication concerning State directives are followed and that the consortia systems remain stable until retirement. The CTM is a member of the Technical Advisory Board and provides in-depth knowledge and understanding of proposed modifications. As such, the CTM is responsible for identifying as early as possible in the CR process potential issues and risks associated with the proposed change as well as potential impacts to other CCSAS project subcomponents. The primary communication roles of the CTM include:

- Directly manages and supervises consortia personnel, including assigning of resources, priorities, and deadlines consistent with this governance structure.
- Provides resource assistance to the CPL to allow timely response to inquires.
- Works with the CPL to keep DCSS informed of problems at the LCSA level including uniformity and consistency of application use issues.

5.1.3 Roles and Responsibilities of the M&O Contract Manager

The M&O Contract Manager has a dual responsibility for DCSS consortia governance and oversight. The first and primary focus is to serve as the CASES M&O Contract

Manager, which includes review and approval of contract deliverables, processing amendments, verifying invoices, and ensuring responsibilities are met on schedule and within budget. The second role is as a resource to both the ARS and CASES consortia ESC, primarily in coordinating meeting agendas, publishing of minutes, and facilitating communication. The following outlines at a high level the major communication roles of the M&O Contract Manager:

- Monitor, manage and oversee CASES M&O contract to ensure that deliverables, service/change requests, and other contract requirements are being met with quality products on schedule and within budget.
- Provide clear direction and feedback to M&O Contract Vendor on managing CASES lifecycle activities, quality assurance, scope of services, status information, and participation in CCSAS activities.
- Work closely with the CASES CPL to ensure effective lines of communication are in place and used regarding the M&O vendor's performance in meeting CCSAS and other priority modifications as directed by the ESC and/or the State.
- Serve as the primary point of contact for State-level staff seeking information on various CASES issues and activities.
- Report to DCSS Executive Management regularly on the status of critical SRs in development.
- The M&O Contract Manager is a member of the CASES TAB.

5.1.4 Roles and Responsibilities of the M&O Vendor Project Manager

The CASES M&O Vendor is a critical partner in both the ongoing maintenance and operations of the software application but in the CCSAS implementation as well. The M&O Vendor Project Manager is the State's point of contact for any contract-related questions or concerns. The M&O Vendor Project Manager participates in CCSAS planning, modifications, testing, and project management activities. The M&O Vendor contract is held by DCSS and managed by the M&O Contract Manager. The M&O Vendor Project Manager is responsible for ensuring sufficient resources are retained to meet critical CCSAS deadlines while maintaining existing operations. The primary communication roles of the M&O Vendor Project Manager include:

- Directly manages and supervises M&O Vendor personnel, including assigning of resources, priorities, and deadlines consistent with the state's direction and this governance and communication structure.
- Serves as primary point of contact for M&O Contract Manager.
- Provides resource assistance to the CPL to allow timely response to inquires.
- Works with CPL to keep DCSS informed of problems at the LCSA level including uniformity and inconsistency of application use issues.
- The M&O Vendor Project Manager is a member of the CASES TAB.

5.1.5 Roles and Responsibilities of the ESC

ESC members represent the child support program and their constituents. They have a responsibility to communicate with the LCSA managers and staff which they represent to ensure the issues and decisions are well understood. The ESC members are responsible for attending all ESC meetings or naming a voting designee in their absence. The ESC also encourages member Directors to participate in the overall responsibilities of the ongoing consortia operations, such as UAT, sister LCSA onsite support, etc. The following guidelines are intended to guide ESC member communication:

- Participate in ongoing discussions with LCSA Directors and staff to ensure communication about consortia and CCSAS management and operations occurs frequently and clearly.
- Participate in CCSAS readiness forums and workshops; build consensus for decisions made and positions taken.
- Participate in ESC meetings; review minutes and other consortia information on the website.
- Support the decision-making process; provide clear information and recommendations to State on consortia positions.
- Encourage everyone to provide subject matter experts for analytical, usability, and testing assignments in support of consortium responsibilities.

5.1.6 Roles and Responsibilities of the LCSA Directors and Staff

LCSAs Directors and their staff are primary players in the effective delivery of child support services, and as such are key stakeholders in the functionality of the consortia and CCSAS system components. They have a vested interest in the service delivery of the systems, the coordinated changes to the systems, and, eventually, the migration to replacement systems. They have a desire to help their sister LCSA prepare and then commit to make the move to a new way of doing business. Therefore, the Director's voice and involvement in all aspects of change is essential. The following guidelines are intended to guide statewide participation in consortia ongoing operations and transformation to CCSAS:

- Participate in ongoing discussions with ESC representatives to ensure communication occurs frequently and clearly
- Participate in CCSAS readiness forums and workshops
- Participate in ESC meetings; review minutes and other consortia information on the website
- Support the decision-making process
- Provide subject matter experts for analytical, usability, and testing assignments in support of consortium responsibilities.

6. ONGOING GOVERNANCE & COMMUNICATION

6.1 Environment of Change

With the advent of the first implementation of CCSAS V1 upon us, it is important to remember that we are on the brink of a multi-year adventure where change will be one of the only constants in our lives. It will take a united effort for us all to get to “the other side” successfully. This Consortia Governance and Communication Plan is the first step in how management and operation of the consortia systems will change with CCSAS implementation. This document is a “living” document in that it will be updated and revised over time to reflect the various phases of CCSAS implementation and eventually transform into the long-term maintenance and operations of CCSAS.