



STATE OF NORTH CAROLINA  
DEPARTMENT OF HEALTH AND HUMAN SERVICES

ROY COOPER  
GOVERNOR

MANDY COHEN, MD, MPH  
SECRETARY

January 24, 2018

**SENT VIA ELECTRONIC MAIL**

The Honorable Louis Pate, Chair  
Joint Legislative Oversight Committee on  
Health and Human Services  
North Carolina General Assembly  
Room 311, Legislative Office Building  
Raleigh, NC 27603

The Honorable Josh Dobson, Chair  
Joint Legislative Oversight Committee on  
Health and Human Services  
North Carolina General Assembly  
Room 301N, Legislative Office Building  
Raleigh, NC 27603

The Honorable Donny Lambeth, Chair  
Joint Legislative Oversight Committee on  
Health and Human Services  
North Carolina General Assembly  
Room 303, Legislative Office Building  
Raleigh, NC 27603

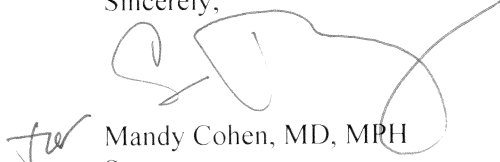
Dear Chairmen:

Session Law 2017-57, Section 11C.7.(b), requires the Department of Health and Human Services, Division of Social Services, to submit a quarterly report to the Joint Legislative Oversight Committee on Health and Human Services on the development, implementation, and outcomes of the child welfare component of the NC FAST system.

The attached report includes the current time line for development and implementation of the child welfare component to NC FAST, any adjustments and justifications for adjustments to the time line, progress on the development and implementation of the system, identification of any issues in developing or implementing the child welfare component to NC FAST and solutions to address those issues, the level of county participation and involvement in each phase of the project, any budget and expenditure reports, including overall project budget and expenditures, and current fiscal year budget and expenditures.

Should you have any questions about this report, please contact Wayne Black, Director of the Social Services Division, at [wayne.black@dhhs.nc.gov](mailto:wayne.black@dhhs.nc.gov), or 919-527-6335.

Sincerely,



Mandy Cohen, MD, MPH  
Secretary

cc:	Wayne Black	Denise Thomas	Marjorie Donaldson	Kolt Ulm
	Theresa Matula	Rod Davis	Christen Linke Young	Pam Kilpatrick
	Lisa Wilks	Leah Burns	LT McCrimmon	Matt Gross
	<a href="mailto:reports@ncleg.net">reports@ncleg.net</a>	Mark Benton	Susan Perry-Manning	Joyce Jones

**Status of the Implementation of the Child Welfare  
Component of the North Carolina Families Accessing  
Services Through Technology (NC FAST) System**

**SL 2017-57, Section 11C.7.(b)**



**Report to the  
Joint Legislative Oversight Committee on Health and  
Human Services**

**By  
North Carolina Department of Health and Human  
Services**

**January 24, 2018**

## **Reporting Requirements**

### **SESSION LAW 2017-57 SECTION 11C.7.(b)**

**SECTION 11C.7.(b)** Child Welfare/NC FAST. – The Department of Health and Human Services, Division of Social Services, shall continue toward completion of the child welfare component of the North Carolina Families Accessing Services Through Technology (NC FAST) system to (i) bring the State into compliance with the Statewide Information System systematic factor of the Child and Family Services Review (CFSR) and (ii) ensure that data quality meets federal standards and adequate information is collected and available to counties to assist in tracking children and outcomes across counties.

It is the intent of the General Assembly that the child welfare component of the NC FAST system be operational by December 31, 2017. To that end, the Department of Health and Human Services, Division of Social Services, shall report on the development, implementation, and outcomes of the child welfare component of the NC FAST system to the Joint Legislative Oversight Committee on Health and Human Services quarterly through April 1, 2019. The report shall include, at a minimum, each of the following:

- (1) The current time line for development and implementation of the child welfare component to NC FAST.
- (2) Any adjustments and justifications for adjustments to the time line.
- (3) Progress on the development and implementation of the system.
- (4) Address any identified issues in developing or implementing the child welfare component to NC FAST and solutions to address those issues.
- (5) The level of county participation and involvement in each phase of the project.
- (6) Any budget and expenditure reports, including overall project budget and expenditures, and current fiscal year budget and expenditures.

## **Timeline**

### **1) SECTION 11C.7.(b).1 The current timeline for development and implementation of the child welfare component to NC FAST.**

Per the language in Section 12C.1.(c), the initial goal for implementation of the Child Welfare component of NC FAST was that it be operational by December 31, 2017. Section (2) below provides additional details on the project timeline.

### **2) SECTION 11C.7.(b).2 Any adjustments and justifications for adjustments to the timeline**

The information prepared for this report has been finalized as of December 15, 2017.

The Child Welfare component, also called Project 4 (P4), introduces a significant change to the way county departments of social services operate and manage their Child Welfare programs. Given the limited automation present in support of current Child Welfare operations, it is vital that county Child Welfare leaders and staff have the support required to ensure a smooth transition to NC FAST and reduce the deployment risk. As explained below, the initial project plan did not account for the business process improvement and extended implementation support staffing cost estimates. It is extremely important to provide business process improvement and extended support for the success of the project.

Based on feedback and the results of prior NC FAST deployments, the rollout of a major system requires a carefully planned, phased deployment across all 100 counties in the state. Also, the initial schedule date was subject to completion of the Fit/Gap Analysis Phase. The Fit/Gap Analysis Phase of the project compares state requirements against the capabilities of the IBM base software (i.e., Cúram) and identifies which requirements are met with the base software and which requirements require configuration or customization of the base software. This phase facilitates the identification of issues and scope changes required to meet North Carolina requirements.

The Fit/Gap phase was completed in June 2016, and a high-level Deployment Plan was developed. This expanded P4 Deployment Plan was developed based on input from the three county directors (referred to as the Tri-Chairs) leading the Children Services Committee of the North Carolina Association of County Directors of Social Services (NCACDSS). The Deployment Plan was approved by the NC DHHS Executive Advisory Committee (EAC). This committee serves as a steering committee for NC FAST and comprises county directors, state office representatives, and other key stakeholders. The deployment schedule has also been presented to the Joint Legislative Oversight Committee on Health and Human Services. Reviewing the deployment schedule with these groups is critical as it promotes buy-in and early identification and resolution of issues and concerns with the approach.

As reflected in prior reports, the Child Welfare component of NC FAST timeline, which is presented in Appendix A, has been updated since the original proposal:

- The system will be deployed to pilot Counties in three releases of system functionality. (Refer to the Release breakdown shown on page 6):
  - July 2017: Release One – focused primarily on Intake, CPS Assessment, and In-Home/Out-of-Home Case Management and supporting capabilities; was deployed into the production environment. Pilot counties began using the new system to confirm that user access was properly configured on July 31, 2017. Entry of new cases commenced on August 7, 2017.
  - December 2017: Release 2 – is focused on Adoption, Provider Management, Guardianship Assistance, Youth in Transition (LINKS), and other supporting capabilities. Additional Release 2 functionality will be implemented in early 2018.
  - June 2018: Release 3 – A third release has been added to the rollout of P4 to accommodate compliance with the federal Comprehensive Child Welfare Information System CCWIS requirements. In addition, Release 3 will include other enhancements, including electronic fund transfers for adoption assistance. The following interfaces are proposed as part of Release 3 of P4, once federal funding is approved. These interfaces, which are required for CCWIS compliance, will be bi-directional, based on business requirements, technical feasibility, and funding available by the partner agencies:
    - Courts
    - Education
    - Medicaid claims
    - Child placing agencies for foster care and adoption
    - Residential treatment programs
    - Ancillary child welfare systems used by agency staff

In addition, as part of Release 3, NC FAST will integrate upgrades to the Adoption and Foster Care Analysis and Reporting System (AFCARS) and the National Youth in Transition Database (NYTD), in compliance with the federal mandate.

- Release 1 was successfully deployed to the Pilot Counties; new cases were entered into NC FAST beginning August 7, 2017. For the documented history of the Pilot County deployment of Release 1, refer to Appendix B.
- During the Pilot County deployment of Release 1, the participating counties proposed a series of enhancements to NC FAST. After discussion and planning, it was agreed that the Release 1 deployment to Group 1 counties would be rescheduled in order for the NC FAST team to provide the agreed upon enhancements to the system. This schedule change has not affected the timeline of

Releases 2 and 3. In addition, the release schedule for the deployment of the Mobile App has now been approved and is being implemented.

- Deployments to Counties:
  - Release 1 through June 2018
  - Mobile App through June 2018
  - Release 2 through October 2018
  - Release 3 through November 2018

To view the timeline, refer to Appendix A.

### **Recommendation of the North Carolina Association of County Directors of Social Services (NCACDSS)**

On December 15 2017, the North Carolina Association of County Directors of Social Services (NCACDSS) Executive Committee expressed concerns about the release of the P4 Project to the rest of the counties in January 2018. DHHS and NCACDSS will continue to work together to address these issues.

## Implementation Strategy

### **3) SECTION 11C.7.(b).3 Progress on the development and implementation of the system**

The P4 Project implementation is being conducted in phases, with three major releases.

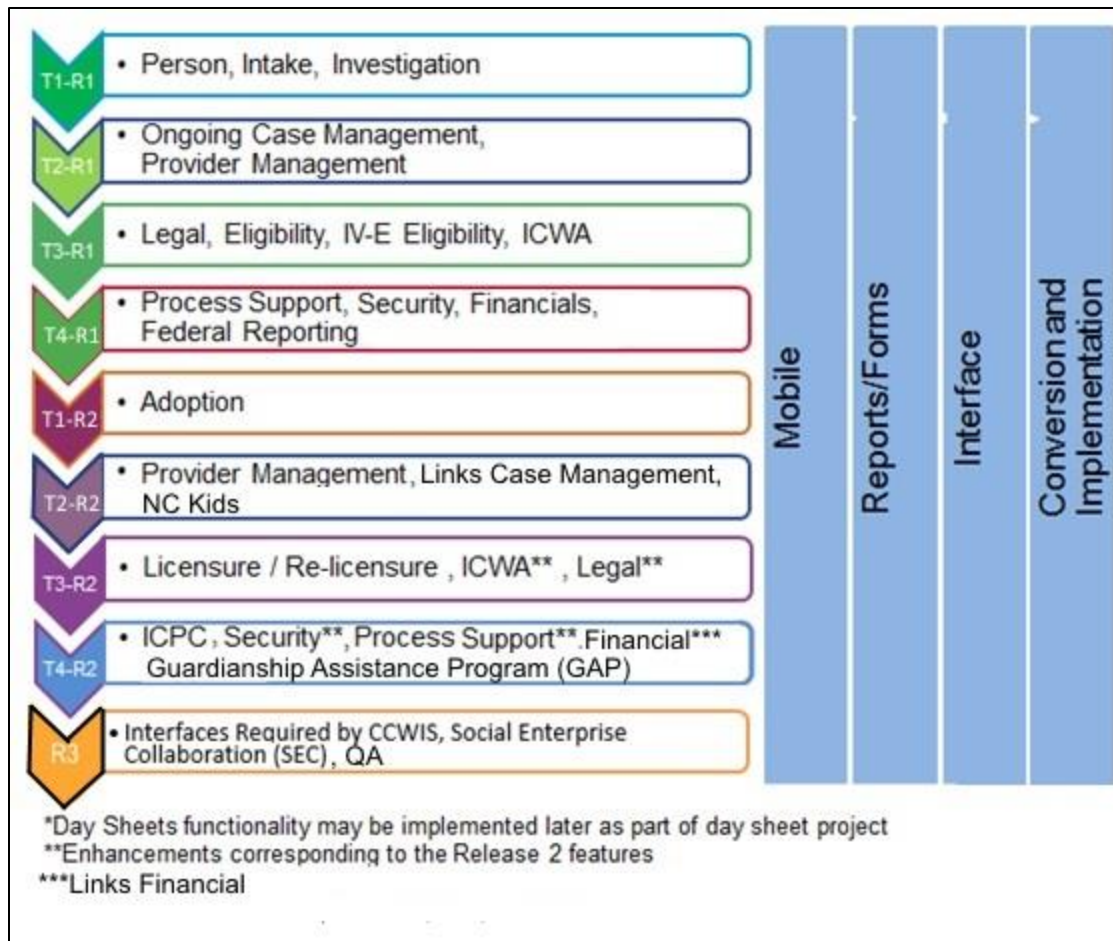
Development occurs across four parallel tracks, using an Agile Project Management methodology. The Agile methodology engages with county stakeholders very early in the requirements confirmation and system design activities. The software continues to be developed incrementally, so that functionality is demonstrated to the county representatives as the system is being built; their feedback helps to shape the design of the system as development and builds continue. This approach is in contrast with the traditional “waterfall” approach to system development, in which county stakeholders were exposed to the system very late in the development process, just prior to go-live. Because of deferred exposure of stakeholders to the new system, a waterfall approach would have allowed the development team only limited capacity to address stakeholder feedback prior to go-live. Using an Agile approach minimizes implementation risks by addressing key user concerns well in advance of go-live.

The project scope also includes the development and deployment of a mobile solution. Counties can choose the option to deploy the CPS Assessment Mobile App (for iPad tablet), the first mobile application for NC FAST. The mobile solution provides child welfare social workers with the ability to complete their casework outside the office, thus allowing them to spend more time interacting with families instead of completing case documentation back at the DSS office. In counties that choose to deploy the mobile application, case workers will be able to perform their work activities in either a connected or disconnected mode, with automatic synchronization of data to the system when a network connection becomes available. A stand-alone mobile application demonstration has been developed and shared with county stakeholders at several recent meetings. Feedback from stakeholders has been uniformly positive, and they look forward to the positive impact the new application will have on their ability to serve children and families.

It is anticipated that the new CPS Assessment Mobile App will be deployed to participating pilot counties in early 2018.

Deployment of P4 to pilot counties will be conducted prior to the phased roll-out to remaining counties.

The planned high-level functionalities are listed below:



## Current Status and Planned Activities

### Pilot counties in production since August 7 with Release 1

The P4 Child Welfare project team has completed the fit/gap, design, development, and test phases for Release 1. Implementation for Release 1 has been completed for the five pilot counties. Implementation activities were successfully completed and included the following:

- User Acceptance Testing (UAT) in July. UAT was an opportunity for state office and county staff to test the system prior to pilot county implementations.
- Recruiting and onboarding of Project 4 Help Desk staff in preparation for pilot county go-live. Additional Help Desk staff will be brought onto the project in the coming months as the number of county system users increases and based on an analysis of actual average per-user ticket volumes and trending

### **Release 1 Milestones Reached**

As noted above, Release 1 Go-live for the next group of counties has been rescheduled from October 2017 to January 2018 to provide modifications requested by the Pilot counties.

- Initial implementation planning visits with all Group 1 counties have been completed.
- Software updates (enhancements, financial adjustments) have been deployed on a monthly basis since go-live.
- The Help Desk is now supporting pilot counties 24/7.
- The deployment schedule to the remaining counties has been agreed upon by the Executive Advisory Committee (EAC). This is the updated deployment schedule:
  - Group 1 - January 22
  - Group 2 - March 26
  - Group 3 - April 23
  - Group 4 - May 21
  - Group 5 - June 25
- These changes do not affect the Release 2 rollout schedule.

### **Release 1 Ongoing Activities**

- Weekly on-site visits are being made to all five pilot counties by NC FAST County Liaisons to ensure that the transition to the NC FAST system is going smoothly.
- Weekly calls are being held among DHHS Executive Management, the Division of Social Services (DSS) Leadership, Pilot County leadership, and the NC FAST team to keep all stakeholders updated on Pilot issues and concerns and how these are being addressed by DSS and the NC FAST team.
- Group 1 mobilization efforts are continuing (e.g., user training, security set up, legacy data cleaning) as well as planning for January 2018 go-live.
- Reviewing with Group 1 counties the list of defects and enhancements to be released after the initial implementation.
- We have increased the number of Group 1 counties to provide a greater geographic dispersion of counties in this deployment group. Macon, Pitt, and Dare counties were added to Group 1 by the EAC.

### **Release 2 Milestones**

- Additional functionality and enhancements are being planned for subsequent minor releases after Release 2. These minor releases are scheduled to be implemented between January and June 2018. These are the additional functionalities and enhancements:
  - ICPC/NEICE,
  - CCWIS interfaces,
  - Adoption and Provider Management enhancements,
  - Gap Guardianship Case Management
  - Quality Assurance processes

- Release 1 updates recommended by Pilot counties
- User Checkpoint #3 took place October 24-26. See Appendix C for results.
- User Acceptance Testing for Release 2 was conducted from November 28 to December 8. The following defect totals were discovered:
  - No critical or major defects
  - 38 high priority
  - 26 medium priority
  - 3 low priority
- Regional Leadership Workshops were conducted for planning purposes in all 100 counties and were concluded on November 15. Refer to the Readiness heading in Section 5 of this document for more details.

## **Project Management**

The team is using an Agile Project Management methodology to ensure early county and state stakeholder involvement, adherence to the end users' requirements, and to contain schedule, cost, and scope risks. The status highlights are listed below:

- Joint application design (JAD) activities are a collaborative approach to the design of NC FAST Project 4 that promotes buy-in early in the project through the active participation of state office and county stakeholders. JAD activities have continued for Release 2 and are complete. For subsequent releases, JAD activities are continuing with input from the five pilot counties (Franklin, Guilford, Richmond, Rockingham, and Sampson), the seven Group 1 counties (Buncombe, Carteret, Catawba, Chatham, Cleveland, Orange, Rowan), and the State Division of Social Services (DSS).
- The development approach is to use Out of the Box (OOTB) software and incorporate NC-specific policy and process changes, promote ease of use, and integrate functionality across a state-wide system. Leveraging the capabilities of OOTB software reduces the time and effort required to build the NC FAST Project 4 solution. It also minimizes the long-term maintenance cost of the system because the software vendor continues to invest in the capabilities of the base OOTB software to take advantage of emerging technological advances to serve their global customer base.
- Collaborative design webinars and previews of development work with County and State users are continuing for all ongoing design and development work.
- Training materials for Release 2 have been provided to Pilot counties. These materials are also available to non-Pilot counties so they gain exposure to the Release 2 system capabilities available in the Sandbox training environment. Training materials supporting the deployment of the CPS Assessment Mobile application have also been made available to the Pilot counties.

- Providing regular status updates with State and county DSS leadership through EAC monthly meetings and the 100 County Director call (monthly). In addition, NCFast updates and dialogues are held with the Joint State-County Relations Committee and the Director's Association Executive body.
- A collaborative web site serves as a communication hub for all counties during pre-implementation. The URL is <https://ncfasttraining.nc.gov/>. All counties now have participants registered to use the Learning Gateway site.
- A User Checkpoint was held in November 2017 to review Release 2 functionality. The purpose of the User Checkpoints is to provide counties with early exposure to the system functionality. Refer to Appendix C.
- The county and state stakeholders completed User Acceptance Testing (UAT) in July prior to the first software release to production in early August. UAT for Release 2 functionality was conducted in late November through early December. UAT was an opportunity for state office and county staff to test the system prior to pilot county implementations.
- Continuing to post training materials and project status information on the project collaboration site. Continuing to maintain communications via the project email address. Topics have included the County Checklist (Readiness), walk-throughs from the demonstrations, graphic printouts of the webinars, and the User Checkpoint Training Manual. Discussion Boards are offered for each topic.
- Sharing the latest information about the rollout of Child Services in NC FAST continues at regional meetings of the NC Association of County Directors of Social Services (NCACDSS) and other stakeholder groups as requested. See Release 1 Ongoing Activities in Section 3.
- A document management solution was chosen in July 2017. A new document management project (Project 12) was initiated on August 16, 2017. Child Welfare Document Management requirements are part of the scope of P12, which is in the planning stages.
- Testing of the CPS Assessment Mobile Application is now underway. As of this writing, final license negotiations are being resolved.
- Release 3 is scheduled to be deployed in June 2018. Release 3 comprises CCWIS additional interface requirements and additional system enhancements.

## **NC Child Welfare ASSIST and NC FAST**

NC FAST is coordinating with the Division of Social Services and the Department of Information Technology Government Data Analytics Center (GDAC) to assure that, as the Department begins implementation of Project 4 for Child Services, data sharing and integration processes are established between the NC Child Welfare ASSIST initiative and the NC FAST system.

## **CCWIS (Comprehensive Child Welfare Information System)**

A Comprehensive Child Welfare Information System (CCWIS) is a case management information system that states and tribes may develop to support their child welfare program needs. If a state or tribe elects to build a CCWIS, the federal government will provide additional funds to help pay for it, as long as the system is designed to support social workers' automation needs to organize and record quality case information about the children and families receiving child welfare services.

- NC FAST already meets more than 50% of the CCWIS requirements with the existing requirements.
- CCWIS compliance will provide federal funding at a 50/50 match rate, as opposed to a match rate that applies a penetration rate.
- In December 2016, the Administration for Children and Families (ACF) conditionally approved North Carolina's request for CCWIS funding. The conditions of the approval are based upon the submission of additional information regarding the project plan and automated functions that will be included in NC FAST; this additional information was submitted in March 2017.
  - NC FAST Project 4 and ACF have continued discussions with regard to CCWIS funding approval. ACF has requested detailed information before finalizing the approval for CCWIS funding. We have provided additional documentation to the ACF that demonstrates CCWIS compliance. A detailed report on CCWIS compliance has been appended to the NC FAST Annual Advance Planning Document for 2017.
  - In November 2017, NC FAST Project 4 submitted the mandatory P4 Data Quality Plan to the ACF, fulfilling a crucial part of the requirements for CCWIS compliance. This plan outlined the methods employed by NC FAST to meet CCWIS requirements ([45 CFR 1355.52 - CCWIS Project Requirements](#)). After evaluating the submission, the ACF granted NC FAST P4 conditional CCWIS approval. See the [Budget and Expenditures section \(SECTION 11c.7.\(b\).5\)](#).

## **Mobility Update**

The project includes delivering an optional mobile solution, the CPS Assessment Mobile App, that will support work outside of county DSS offices.

- The optional mobile CPS Assessment Mobile application, exclusively for iPad tablets, supports connected or disconnected use (a consideration for rural counties that choose to use it).
- The design and development of the CPS Assessment Mobile App are complete. System testing is complete. The deployment to pilot counties is planned for winter 2017-2018.
- Development and integration are completed for the application.
- Deployed the sandbox/training application to Richmond County.

- Deployment of production app to Richmond is dependent on license being signed and production hardware deployment.
- Next steps for CPS Assessment Mobile application:
  - Begin working to deploy the app in Sampson County.
  - Assess training feedback for pilot counties.
  - Deploy the application to NC FAST MDM (Mobile Device Management) to allow counties without MDM to leverage the app.

Mobile device management (MDM) software is required to control, secure and enforce policies on smartphones or tablets that access business critical and secured data through the CPS Assessment app and other future mobile applications. Some counties have existing county-level MDM solutions and NC FAST will work with county-level IT staff to leverage those solutions to support deployment of the CPS Assessment Mobile App to county DSS tablet computers. The State MDM vendor contract will be leveraged to support counties that do not have an in-house MDM solution. To ensure the appropriate safeguarding of sensitive client data, counties will have to use either a county-level MDM solution or the State MDM solution if they wish to use the CPS Assessment Mobile App or any future NC FAST mobile tablet applications.

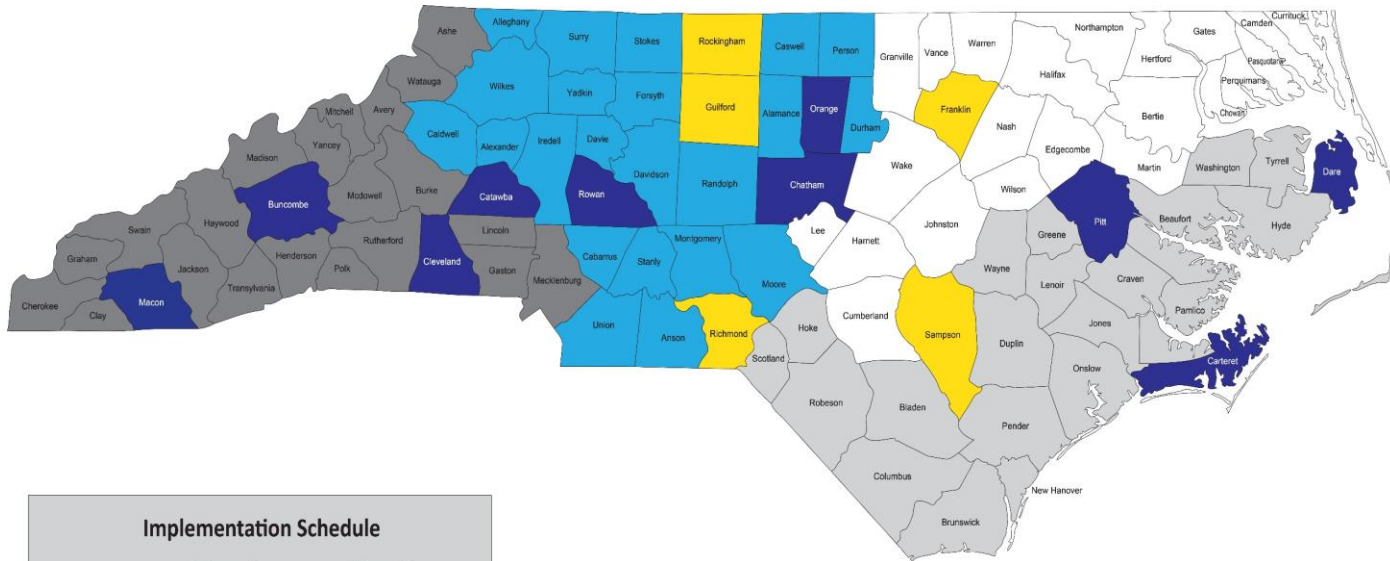
- Status of State Mobile Device Management procurement:
  - The state contract has been awarded to SHI to procure MobileIron as the MDM vendor.
  - Begin procurement process for MobileIron MDM.
  - Create Mobile profiles for the Mobile Assessments App.
- Initiated RFP development for future mobile apps.

## **Deployment Plan**

- In late September, the pilot counties presented a list of additional enhancements to the NC FAST system and requested that these enhancements be added to the system before any further deployment of Release 1. It was agreed that the enhancements would be added. Deployment to the Group 1 counties was rescheduled for January 2018 to allow time for the enhancements to be implemented. All future deployments for Release 1 were also rescheduled. Refer to the timeline (Appendix A).
- The case conversion for Release 1 was completed in August 2017. The approach employed this strategy:
  - New intake cases created after the go-live date were keyed into NC FAST.
  - Open out-of-home (i.e., Foster Care) cases that were created in the legacy system were converted to NC FAST through an automated process and are maintained on a go-forward basis in NC FAST.
  - Existing open, non-Foster Care cases at go-live (i.e., Open CPS Assessments and In-Home cases) will continue to be maintained in the legacy system(s) until they

are closed or until the start of the 'Read-Only' phase of the Child Services Legacy Systems. The Legacy Systems are expected to be retired approximately one year after the complete roll out of Releases 1 and 2.

- The case conversion approach for Release 2 is in the planning phase. A workgroup composed of county stakeholders is reviewing alternative approaches for converting open Adoption, NC KIDS, and LINKS cases into NC FAST. The final recommendation of this workgroup will be presented to the Executive Advisory Committee (EAC) for final review and approval in early 2018.
- Below is the current planned roll-out by county grouping:



Implementation Schedule			
	Release 1	Release 2	
<span style="color: yellow;">■</span> Pilot	August 2017	December 2017	
<span style="color: darkblue;">■</span> Group 1	January 2018	April 2018	
<span style="color: lightgray;">■</span> Group 2	March 2018	July 2018	
<span style="color: white;">■</span> Group 3	April 2018	August 2018	
<span style="color: lightblue;">■</span> Group 4	May 2018	September 2018	
<span style="color: gray;">■</span> Group 5	June 2018	October 2018	

## Risks

### 4) SECTION 11C.7.(b).4 Address any identified issues in developing or implementing the child welfare component to NC FAST and solutions to address those issues.

The project team maintains a formal “Risk Register” of risks and issues affecting the project and reviews those details along with mitigation plans on an ongoing basis. The key risks are noted below.

The approach is to focus on “Out of the Box” functionality and minimize customizations while trying to achieve a balance between supporting NC specific requirements and minimizing the long-term project cost. We also focus on providing high value functionalities first and minimizing disruption to county operations.

#### **Risk I:**

Implementation of NC FAST P4 will have a significant impact on county processes and the way county Child Welfare Social Workers and Supervisors document their cases and manage their work. This is a significant risk based on the lessons learned from previous NC FAST implementations. Today, many county child welfare programs are managed largely from paper case files. Moving to a statewide, integrated case management system will have a major impact on the way social workers document their cases, access information, and complete their required activities. Based on what we learned on previous projects, counties need time to adjust their staff and their processes to the new information system. DHHS and NC FAST need time to work with counties to identify best practices from the pilot county implementation, document these best practices, and share them with other counties before they transition to the new system.

Specific steps to mitigate this risk include having a dedicated team to work with counties to do the following:

- A hands-on test environment was provided to the Pilot counties as of June 1. It will be made available to subsequent groups as they get closer to their implementations.
- Encourage staff to become proficient with typing ahead of NC FAST go-live (if they are primarily reliant on hand-written notes today).
- Assess impact of transition to new to-be process flow.
- With endorsement from the pilot counties, employ a phased rollout approach to deploy the system across the state.
- Review job classifications and standardize pay ranges and hiring profiles.
- Establish a staffing model to identify staffing gaps ahead of go-live.
- Ensure maximum staff availability around key deployment milestone dates.
- Conducted Regional planning workshops with all 100 counties.

**Risk II:**

Currently, Child Welfare processes and procedures vary from county to county. Counties may struggle in adapting to the new system unless Child Welfare processes have been standardized and the Division of Social Services has the resource capacity to support counties on the implementation of policy as recommended by the North Carolina Statewide Child Protective Services Evaluation (March 1, 2016). Mitigation steps include:

- A Simplification workgroup has been established with county representation to review and standardize the forms, notices, and requirements.
- All Simplification workgroup activities have been reported up through the Executive Advisory Subcommittee (EAS) and Executive Advisory Committee (EAC) structure and reviewed during monthly status meetings.
- A decision has been made to implement the Cúram component for Structured Decision Making (SDM). This component provides support to Case Workers in the assessment process to determine outcome plan goals.

**Risk III:**

Inadequate supply of Business Subject Matter Experts (SME) resources with the required specialized skills may impact the project schedule. NC FAST is proactively identifying other options to mitigate this risk. Mitigation steps include the following initiatives:

- Selecting “alternative” models of employment, such as temporary, part time, using third-party state run “temporary solutions”.
- Re-allocation of expert resources from State DSS and other NC FAST projects.

**Risk IV:**

Policy changes from Federal or State entities may impact the P4 project schedule and budget. Mitigation steps include:

- Assess any policy changes if/when they occur through coordination with the state Division of Social Services (DSS).
- Follow the established Change Request process.
- Changes will be prioritized according to the business objectives of the Project.

**Risk V:**

The vendor procurement process is underway to select a vendor to manage EFT payments to adoption families. The risk is that any delay in the procurement process may impact the timeline established by the project for EFT payments.

- Project management will review the RFP to verify that requirements are precise.

- To mitigate the risk, the project team will closely monitor the procurement process and take actions as necessary.

## **County Participation and Involvement**

### **5) SECTION 11C.7.(b).5 The level of county participation and involvement in each phase of the project.**

To drive a timely and smooth implementation of NC FAST Project 4, county workers have been involved in planning and readiness preparation from the beginning of the project development lifecycle. This collaborative, transparent approach with county involvement in processes and procedures is based on the Agile Project Management process used commonly in the development of complex information technology systems.

As explained previously, the Agile development approach engages with county stakeholders very early in the requirements confirmation and system design activities. The software is developed incrementally, so that functionality is demonstrated to the county representatives as the system is being built; their feedback helps to shape the design of the system as development and builds continue.

#### **Go-live Strategy**

The NC FAST team works closely with the counties that are going live to collaborate on a strategy that incorporates lessons learned from prior NC FAST implementations and operational considerations. This approach mitigates deployment risk and allows each county to transition over to use of NC FAST Child Welfare functionality in a way that does not adversely impact ongoing support of families and children in need.

In the period immediately preceding a county's Release 1 go-live date, their foster care case data is converted to NC FAST. This data primarily consists of person, provider, and central registry data. At a scheduled point in the go-live preparation cycle, users log into the system and confirm that their security access is functioning as designed.

Once a county goes live, new referrals of child abuse and neglect are entered into the NC FAST system. Existing open Intake, Assessment, and In-home Ongoing cases at go-live are processed using legacy processes (i.e., non-NC FAST processes) until these cases close through normal events. It is expected that the vast majority of these cases will close in approximately four months from go-live.

As new cases progress through their lifecycle in NC FAST and case participants are identified as either victims, perpetrators, or responsible individuals, the only place that this information is captured for these persons is NC FAST. Previously, this information was captured in the Central Registry legacy system. For this reason, the counties still using the legacy system have identified a small number of users to perform searches in NC FAST as part of their case participant background search process to confirm if any case participants have information captured in NC

FAST. Conversely, as non-pilot counties identify victims, perpetrators, and responsible individuals in the Central Registry, county staff that use NC FAST will have to continue searching the Central Registry to see if updated information is available there. While this is technically “double work”, the searches can be performed quickly. The need to search both systems will be eliminated when all child welfare cases in all 100 counties are being managed in NC FAST.

Broader inquiry-only access to Project 4 NC FAST case data can be provided to appropriate legacy county child welfare staff at the discretion of their county leaders. Web-based training is available to assist these persons in the use of the system. This level of access is provided until the county goes live on NC FAST, at which point security roles will be changed to allow creation and editing of case data. Audit trails in the system are available to investigate potential instances of inappropriate access to case records maintained in NC FAST. Special protections are provided for sensitive or conflict of interest cases through special functions in the system. These functions are intended to restrict access and viewing of specific cases.

The Foster Care reimbursements are being processed through NC FAST for those counties that have gone live. Because of software defects in the financial modules that are now fixed, NC FAST has provided additional training and troubleshooting support for the Pilot counties as they transition to this system.

As we progress from the go-live date, the number of Intakes will be captured in NC FAST and will move through the case lifecycle in NC FAST. Cases open prior to go-live will close as they proceed through their case lifecycle. In this way, counties can smoothly transition from current legacy processes to supporting all their cases in NC FAST in a matter of a few months. This approach was developed in collaboration with representatives from 15 counties. It has received strong support from additional counties as it has been shared across the state.

When a county begins using NC FAST child welfare functionality, there are many resources available to them. A separate NC FAST Help Desk team has been established with agents dedicated to supporting the child welfare program area. This child welfare Help Desk is available 24/7 to assist county users. A core set of project trainers is also available to provide supplemental training to county staff should they have questions or concerns about specific system functions. The project team can use these trainers to deliver ad-hoc training to supplement the standard core NC FAST child welfare training curriculum. This training can be delivered either in-person or via webinar depending on the expected length of training and audience.

On-site support (OSS) staff resources are being identified in each county DSS. These county DSS staff receive additional training to supplement the formal NC FAST training curriculum. The supplemental OSS training resources focus on troubleshooting scenarios and are informed based on situations that were identified during county implementation activities. The advantage of using county DSS staff as OSS resources is that it builds a knowledge base within each county

that can be used to help train new county DSS staff well after the system is initially deployed. It also helps to build a core of system expertise in each county.

The NC FAST project team deploys project Readiness liaisons and state business representatives to support the successful transition of the counties to NC FAST. The project County Readiness liaisons have captured lessons learned from the five pilot counties that can be shared with the other 95 counties to aid in the preparations for their go-live. Additionally, NC FAST held a Pilot Lessons Learned session at the Social Services Institute conference in Hickory in October 2017. In a panel discussion about the new Child Welfare functionality, representatives from the five pilot counties shared their experiences with county DSS representatives from across the state.

### **Contingency Planning**

In the event of significant challenges at go-live, the NC FAST County Readiness team works with each county to perform contingency planning. If significant challenges are encountered at go-live, the counties are able to revert to legacy forms, systems, and processes. After go live, daily calls are conducted between the going-live counties and the NC FAST project team so that clear channels of communication are available and questions and concerns are quickly addressed. NC FAST County Readiness liaisons deployed on-site in each county at go-live are able to quickly identify and escalate broad-based issues as soon as they arise – expediting identification and resolution of issues.

### **Readiness**

#### **Regional Leadership Planning Workshops**

The NC FAST team has worked closely with all 100 NC counties to make them aware of the specific actions they need to take to prepare for deployment of the new system. This was accomplished through a series of regional Leadership Workshops. Each of these two-day events included 5-7 counties. Each county typically sent 3-10 members of their leadership team to the workshop (e.g., county director, program manager, key supervisors, NC FAST county champion). On the first day of the workshop, a series of system demonstrations was conducted to clearly show how the new system functions. After each demonstration, process and operational impacts were discussed to clearly communicate how the system would impact the counties. On the second day of the workshop, general approaches and concepts were covered on topics such as, training, conversion, security, hardware, and mobility. Pilot lessons learned were also shared with the participants.

County-level discussions were held periodically through the two days to develop county-specific action plans for what each county needed to do to get ready for the new system. Each county presented their action plans to the other counties in attendance to share thoughts and perspectives with peers. Feedback received on the Leadership Workshops has been uniformly positive from the participants. They saw it as a valuable use of their time, and it provided an excellent opportunity to learn about NC FAST. Coming out of

the workshop, each county's leadership team clearly understood specific actions that needed to take place to prepare for a successful go-live.

#### State DSS Technical Assistance

State DSS child welfare SMEs are partnering with the County Readiness Team to provide technical assistance, once the remaining counties come on board with NC FAST.

#### Training

Release 1 and Release 2 training content has been updated to incorporate feedback from the five pilot counties. The training approach for the rollout of the system to the 95 Group 1-5 counties relies on a multi-faceted approach incorporating the following elements:

- Web-based Training (WBT) – Over 40 hours of web-based training content is hosted in the NC FAST Learning Gateway learning management system (LMS). Training is organized according to a user's role. County staff can take the training as their schedules permit, and course completion is tracked by the LMS. Tests are administered at the conclusion of each module that must be passed to get credit for the course. Completion reports are made available to county leaders so they can monitor the progress of their staff through the content.
- Sandbox – A live "Sandbox" training environment is available so county staff can practice the concepts covered in the WBTs using a live training version of NC FAST. Training scenarios are provided to help guide county staff in their use of the Sandbox environment. Based on pilot county feedback, the Sandbox environment has been a highly valuable element of the Project 4 training approach.
- Job Aids and Procedures – Over 200 procedures and job aids are available to county staff in the Learning Gateway. These procedures have been continually updated to incorporate feedback from pilot county staff and to remain in sync with enhancements to the system. These job aids and procedures provide step by step instructions for completing various tasks in the system.
- Virtual Instructor-Led Training – Webinars are hosted by NC FAST trainers that county staff can attend to view live system demonstrations. These sessions allow county staff to ask questions about specific system functions and receive ad-hoc demonstrations of system features and capabilities. Counties can also request individually tailored distance learning sessions that are specifically designed to meet the instructional needs of each county.
- On-Site Support (OSS) Training – Each county is required to identify staff in their county who will serve as a first line of over the shoulder support for their staff as they start using the new system. County staff who are identified to serve in this capacity will receive three days of face-to-face training covering troubleshooting topics that are identified based on input from Project 4 Help Desk staff and NC FAST Readiness Liaisons who have spent considerable time working with in the pilot counties helping their staff through the transition to NC FAST.

Recent summary training completion reports can be found in Appendix D.

## **State Level Boot Camp and Deep Dive Training for Continuous Quality Improvement (CQI)**

State DSS Child Welfare Leadership and NC FAST project leadership partnered to provide an intensive training and education series to key Division of Social Services child welfare staff members. This training is designed to familiarize them with the NC FAST system and to start the transition of their workflow to include using NCFAST Child Welfare. State DSS staff have initiated planning for the business process adjustments they must make as the state transitions to a new system. The Continuous Quality Improvement (CQI) protocols for Child Welfare in North Carolina provides technical assistance to county Child Welfare staff in the provision of service delivery. In addition, CQI staff, under the banner of NC DSS, review case work records across the service continuum to ensure that quality goals in Child Welfare are being consistently met.

The NC FAST training team provided a one week training course from November 13 through November 17 to approximately 50 staff from the NC DSS, Child Welfare Section. Members of the staff then visited the Pilot counties to observe use of the NC FAST system in the field. The knowledge gained from the training and observations will be used to integrate the system into their work, including the CQI review process.

In mid-December, a second week of training was conducted as a follow up for the state DSS Staff. This additional system-focused training was used to provide hands-on, unit-specific training to support the need for state staff to use NCFAST as primary data source when completing quality assurance activities.

### **General County Engagement Activities**

The following activities were performed; they are intended to actively and continuously engage project stakeholders

- Over 60 staff from eight counties (Buncombe, Carteret, Catawba, Chatham, Cleveland, Richmond, Rowan, and Orange) are involved in the review of business system functions (BSFs) and design activities. Design activities have been expanded to include pilot counties.
- Conducted 154 JAD sessions, 10 User Demos, and sent 7 customer satisfaction surveys to county participants. To see survey results obtained from county participants in on-site JAD sessions, refer to Appendix E.
- Over 70 county staff from 30 counties are involved in eight work groups that report to the Executive Advisory Subcommittee (EAS) and then to the Executive Advisory Committee (EAC).
- In April 2017, seven members of the NC FAST Project 4 leadership team traveled to Buncombe County for a meeting with stakeholders about specific questions that the county had regarding the NC FAST system and its features and capabilities. The

NC FAST team saw a demonstration of the Buncombe County legacy case management system and addressed 16 specific county questions and concerns about NC FAST. This meeting was viewed as a productive session by all in attendance.

- Leadership Engagement: Project team members continue to take advantage of existing meetings to share important updates on project activities and conduct system demonstrations. Examples include:
  - East Region DSS Directors' Meeting
  - Central Region DSS Directors' Meeting
  - West Region DSS Directors' Meeting
  - Child Services Committee
  - County DSS Executive Committee
  - Joint State/County Relations Committee
  - Statewide DSS Directors Meetings
  - Child Welfare Section Meetings
  - Most Impacted Counties Meetings
- Demos and Communication Resources: As system functions become available, members of the County Readiness team document important information and system demonstrations and make them available via the NC FAST Learning Gateway communication website. Two mobility videos have been made available via the Learning Gateway.
- Three surveys have been conducted with all 100 counties to gather information about their current technology.

The user demonstrations, checkpoints, workshops, and user acceptance testing help the county and state users to have early exposure and hands-on experience with the new NC FAST Child Welfare system.

### **Communication**

The NC FAST communication approach encourages open, two-way communication. To support this process, the NC FAST County Readiness team includes County Readiness Liaisons who work together with County Champions and Pilot User Group members to do the following:

- Provide consistent and accurate information to targeted audiences at the proper times through engaging communication materials/resources.
- Employ multiple communication channels (e.g., e-newsletters, collaborative site, presentations, webinars, on-site visits) to share information in a timely manner with project stakeholders.
- Foster the establishment of realistic expectations about the system and related county DSS process changes.

- Define specific approaches to inform target audiences of NC FAST project scope, job/process impacts, and implementation activities and timing.
- Prepare county DSS staff for the impact the new system will have on their jobs, and equip them with the required knowledge, skills, and abilities they will need to effectively use the new system.
- Involve DHHS leadership and county DSS leadership and staff in preparation for the NC FAST implementation and related business processes impacts.
- Coordinate with Public Information Office (PIO) resources assigned to the NC FAST project to craft communications at the state and county level.

### **Sub-Committees**

Sub-Committees under the Executive Advisory Committee (EAC) have been established that meet at least monthly to focus on addressing specific topics. These sub-committees are composed of county, state, and NC FAST project team members to ensure various stakeholder viewpoints are considered. These are the specific committees and their objectives:

- P4 Conversion – To define a strategy to prepare for the migration of active cases into NC FAST. 15 counties have actively participated in defining the P4 conversion strategy.
- Document Management – To provide an overall framework for the security of and access to documents in NC FAST, a statewide document management solution has been established, leveraging county investments to date. Several meetings and product demonstrations were held with county representatives and the state. We assessed the approach that is in the best interests of the state and counties. A solution was chosen in June 2017.
- Simplification – To develop a consistent and standardized method of operating across counties. With county agreement, the committee achieved approximately a 40% reduction in agency forms as part of standardization.
- Mobility – To establish a statewide mobile policy for the optional use of a mobile application, confirming mobile hardware and software standards, and providing counties with guidance about the future of NC FAST mobile computing.
- Security – To define the user security roles required to support Child Welfare operations in small, medium, and large counties.
- Data Governance – To establish how data will be shared across program areas.
- Staffing and Capacity – Developing a tool to help counties forecast staffing and resource needs specific to the NC FAST Project 4 implementation so that they are appropriately staffed once the system goes live.
- SIS Cleanup – In preparation for conversion of child welfare service records to NC FAST, this group helps counties resolve instances of multiple within-county and cross-county SIS client IDs for individual clients, where multiple instances of the SIS IDs exist.

## Potential Challenges

The following challenges have been identified by the NC FAST project leadership team. These challenges were mitigated by the project team and the county DSS stakeholders as we worked towards the pilot go-live in late July. The categories below refer to the system component:

- *Readiness* refers to the NC FAST team responsible for county readiness; and
- *Conversion* means moving historic data into NC FAST.

<b>Challenge</b>	<b>Status</b>	<b>Category</b>	<b>Potential Impact</b>	<b>Mitigation</b>
Assessments completed within the assessments portion (safety assessment, risk assessment, Strengths and Needs, etc.) should carry over to Ongoing cases	Open – enhancement request	System	<ul style="list-style-type: none"> <li>County staff would have to recreate the assessments from scratch when the case progresses from the CPS stage to the ongoing stage of its lifecycle</li> </ul>	<ul style="list-style-type: none"> <li>Assessments created during the CPS stage of the case are still viewable.</li> <li>Exploring system enhancement to address the situation.</li> </ul>

<p>Portions of the Structured Intake tool have a linear navigation path which may present challenges for Intake staff when they are capturing referral information from reporters (someone reporting an issue with a child).</p>	<p>Open – continuing to monitor</p>	<p>System</p>	<ul style="list-style-type: none"> <li>• Potential frustration for the reporter and the caller due to the structured way in which some of the Intake information needs to be captured.</li> <li>• Potential to slow down the Intake process or cause important information to be omitted.</li> </ul>	<ul style="list-style-type: none"> <li>• Provided a free-form note taking field in the “Smart Panel” which is available throughout the Structured Intake tool. It allows the worker to capture important call details even if the details are provided out of the sequence in which data is captured on the screens.</li> <li>• Exploring system enhancements to provide enhanced screen navigation options.</li> <li>• NC FAST Readiness Liaisons for the Pilot counties reached out to confirm the timeframes the Pilot counties are experiencing with the entering of Intakes into NC FAST (from answering the phone to submitting the completed Intake Report to the Supervisor for review and approval). Depending on the complexity of the Intake in terms of the number of persons involved and the number of allegations of abuse, neglect, or dependency being made, the time required to complete an Intake with NC FAST is generally 30-45 minutes. Based on feedback from the Pilot counties, this duration is comparable to the time required to complete Intakes</li> </ul>
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Challenge	Status	Category	Potential Impact	Mitigation
				using legacy business processes prior to NC FAST.
Intakes requiring approval are routed to the immediate supervisor for approval. This creates challenges when the direct supervisor is not available	Closed	System	<ul style="list-style-type: none"> <li>Potential confusion as the covering supervisor will not see the Intake approval in their list of assigned system tasks.</li> <li>Potential to slow down the approval process.</li> </ul>	<ul style="list-style-type: none"> <li>Enhanced the system to create an Intake work queue that multiple supervisors can easily access and use to view and review/approve Intakes.</li> </ul>
In the event an Investigator has been sent out to check on a case before the Supervisor has approved the "Submitted" intake, the Investigator must have the capacity to upload documents to the case even though the Supervisor has yet to approve (in particular, Risk Assessment or Safety Assessment).	Open – Continuing to monitor	System	<ul style="list-style-type: none"> <li>Potential to slow down the process as CPS workers cannot update the case until the Intake is approved.</li> <li>Confusion about the status of case information.</li> </ul>	<ul style="list-style-type: none"> <li>CPS Supervisors can approve the Intake.</li> <li>To date, pilot counties have been able to expedite review and approval of Intake decisions, as needed to support operational requirements.</li> </ul>
When creating a New Case Log narrative, a save button should be added to avoid timing out and losing the inputted information. Another option could be to include a mechanism for the system to recognize typing as an activity and prevent timing out. Additionally, add an Alert-Warning for when the system is going to Time Out soon.	Closed	System	<ul style="list-style-type: none"> <li>Potential loss of case narrative information if system times out during entry (e.g., worker stops in the middle of creating a case narrative to attend to other matters and the system times out after 30 minutes).</li> <li>Worker frustration and time expended recreating the case narrative.</li> </ul>	<ul style="list-style-type: none"> <li>Enhancement was fully deployed in October 2017 to provide an on-screen timer showing time until the system logs a user out of the system.</li> </ul>

Challenge	Status	Category	Potential Impact	Mitigation
Ongoing case - have a way to differentiate whether case is in-home or out-of-home on the home page as opposed to clicking around the tabs.	Open – documented as a requested system enhancement	System	<ul style="list-style-type: none"> <li>Potential confusion in counties that have separate teams responsible for in-home and out-of-home ongoing cases.</li> </ul>	<ul style="list-style-type: none"> <li>Enhance NC FAST to display placement status on case listings that will clearly differentiate among the two placement types.</li> </ul>
NC FAST security roles may not align to the division of responsibilities for staff in the counties.	Open – implemented interim solution	Readiness	<ul style="list-style-type: none"> <li>County staff may not have appropriate system access to perform their required duties.</li> <li>Switching security roles for individual users through the day to allow performance of job duties may slow down county operations.</li> </ul>	<ul style="list-style-type: none"> <li>Gathered specific use cases from county stakeholders.</li> <li>Implemented process to allow counties to provide multiple NCIDs to staff who require multiple system roles.</li> <li>Exploring long-term solution with the NC FAST software vendor (i.e., IBM) to allow one user account to have multiple security roles.</li> </ul>
Separate legacy county document management systems may present challenges sharing information between counties.	Open – Project 12 underway	Readiness	<ul style="list-style-type: none"> <li>Gathering paper documentation may delay providing information to county receiving case transfer.</li> <li>Time expended exporting documents out of one document management system and importing it into a different county's document management system.</li> </ul>	<ul style="list-style-type: none"> <li>Establish a statewide document management system.</li> <li>Document Management project (i.e., Project 12) began on August 16, 2017.</li> <li>Promote use of basic document attachment functionality present in the baseline Cúram software product as an interim solution until statewide Document Management system is deployed</li> </ul>

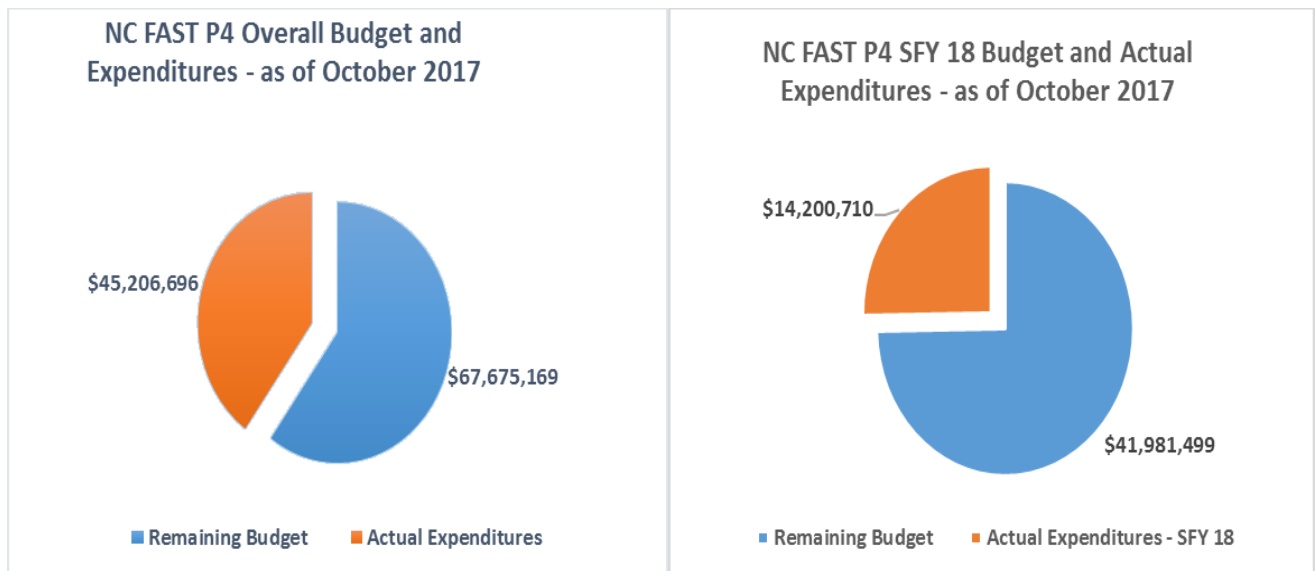
<b>Challenge</b>	<b>Status</b>	<b>Category</b>	<b>Potential Impact</b>	<b>Mitigation</b>
County business processes may not be fully aligned to new NC FAST system.	Open – continuing to monitor	Readiness	<ul style="list-style-type: none"> <li>County case processing may be slowed down as counties figure out how to adapt to new system.</li> </ul>	<ul style="list-style-type: none"> <li>Every county has attended a Leadership Workshop where system impacts on county operations were discussed in detail.</li> <li>Monitoring county process readiness through the structured Readiness Assessment process</li> <li>Leverage non-production “sandbox” environment as a method to test local county business processes prior to actual system deployment.</li> </ul>
County staff may not have completed training prior to go-live.	Open – Continuing to monitor	Readiness	<ul style="list-style-type: none"> <li>County DSS staff are not prepared to perform required job functions at go-live.</li> <li>Potential user frustration, confusion, and resistance.</li> </ul>	<ul style="list-style-type: none"> <li>Monitor training completion reports on a weekly basis; follow up with individual workers.</li> <li>Work with counties individually to ensure staff complete required training prior to go-live.</li> <li>Made training completion reports available to leaders in each county.</li> </ul>

Challenge	Status	Category	Potential Impact	Mitigation
County legacy data may not be cleansed prior to go live (e.g., resolving person matches, marking closed cases as closed in the legacy systems).	Open – Continuing to monitor	Conversion	<ul style="list-style-type: none"> <li>• Duplicate person or case records being created at go-live.</li> <li>• Time required by county staff after go-live to clean up duplicate persons or records.</li> </ul>	<ul style="list-style-type: none"> <li>• Running multiple mock conversions prior to go-live to identify and resolve potential issues.</li> <li>• Monitor pre-conversion data cleansing reports to ensure counties are making appropriate progress in data cleansing activities; follow up with counties as appropriate if sufficient progress is not being made.</li> </ul>

## Budget and Expenditures

**6) SECTION 11C.7.(b).5** Any budget and expenditure reports, including overall project budget and expenditures, and current fiscal year budget and expenditures. Overall Budget and Expenditures: Current Fiscal Year (SFY 18) Budget and Expenditures:

Overall Approved Budget	Remaining Budget	Actual Expenditures	Approved Budget - SFY 18	Remaining Budget	Actual Expenditures - SFY 18
\$ 112,881,864.91	\$67,675,169	\$45,206,696	\$ 56,182,208.50	\$41,981,499	\$14,200,710

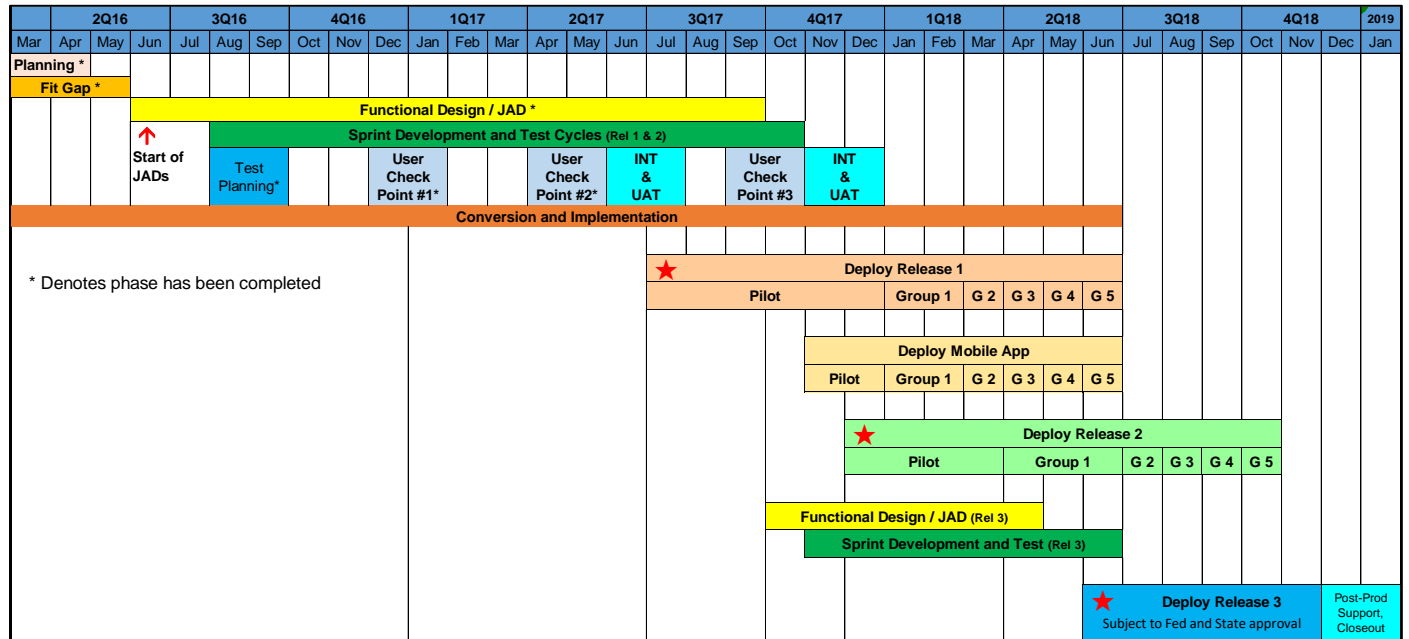


1. Expenditures as of October 2017 are understated because contractor payments are reflected only through July 2017.
2. Annual APDu funding has been conditionally approved by the Federal Partners. They have requested additional documentation to be submitted with the next APDu.

# APPENDIX A

## Project Timeline

The chart below shows the revised timeline of the project:



## APPENDIX B

### Project History: The Pilot Process and Results

#### 1.0 Pilot Final Preparations

NC FAST moved the P4 code into production in mid-July, according to schedule. Training materials were made available to the pilots starting in mid-June, and the release of additional content extended into late July. A training “Sandbox” environment was also made available to the pilot counties. This environment proved quite helpful to the counties as they sought to understand how the system would affect their local office procedures. The Sandbox environment was a great complement to the web-based training as it allowed staff to practice in the new system and confirm that they understood how local office business processes would be impacted by the new system.

However, the amount of training and Sandbox practice required placed a burden on the pilot counties, as they needed to get all their staff through the training while still serving families and children in crisis. The project team had a checkpoint call with pilot county leaders on Friday, July 28. During this call, the pilot directors requested a one week delay in their use of the new system to allow their staff to have additional time for training and Sandbox practice. DHHS and NC FAST Project 4 leadership agreed with this request. The additional week also allowed pilot staff to confirm that they could log into the new production environment (as the code was deployed into production in mid-July). A second checkpoint call was held with pilot county leaders on Thursday, August 3, and a decision was made to start entering cases in the new system on Monday, August 7.

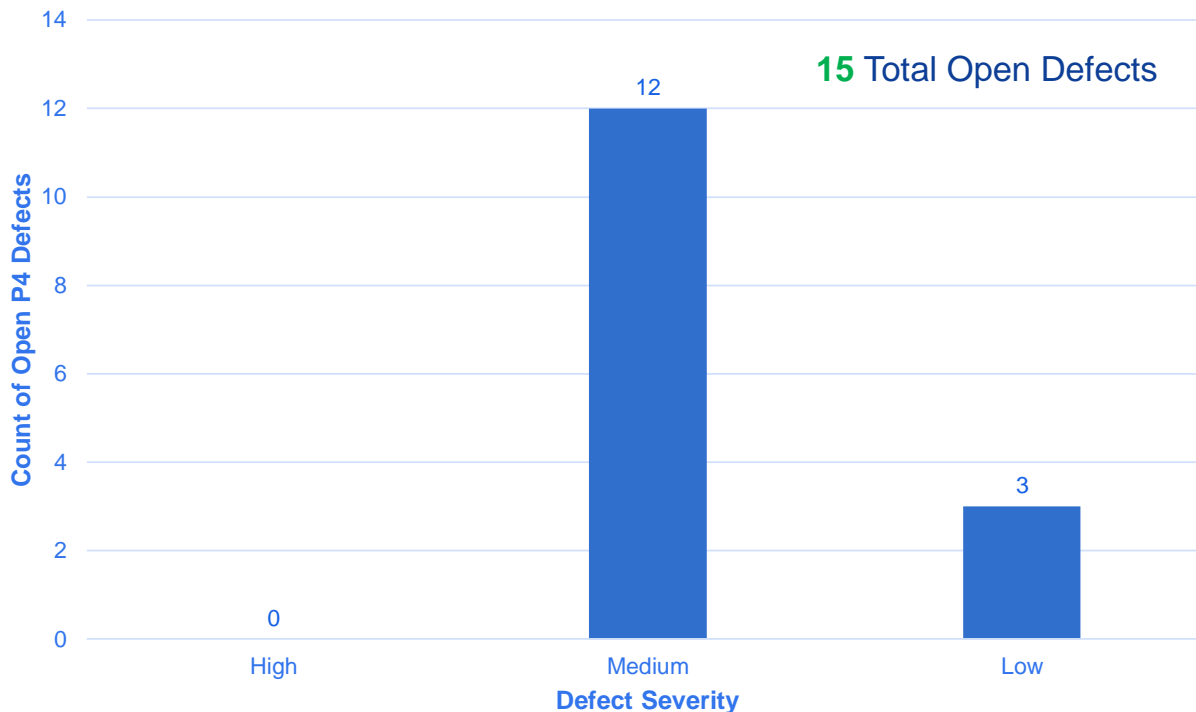
#### 2.0 Pilot Results

Overall, to date, the P4 pilot went well. All five counties have completed the transition to the new system and are using the Release 1 functionality to support work in the Intake, Assessment, and Ongoing Case Management areas. The chart below shows the volume of transactions entered into the new system in the first 2 ½ weeks of operation (data as of August 23, 2017).

	CASE TYPE					
COUNTY NAME	1.Intake	2.Assessment	3.Ongoing	4.Legal	5.Provider Placement	Grand Total
Franklin	51	24	4		42	121
Guilford	342	199	17	43	53	654
Richmond	60	36	11	12	1	120
Rockingham	78	34	7	8		127
Sampson	54	27	10	47		138
Grand Total	585	320	49	110	96	1160

As expected with large pilot IT implementations, some challenges were encountered, and the project team collaborated with the leadership teams in the five pilot counties to address specific issues. None of the challenges experienced by the pilots had an adverse impact on operations. The success of the pilot can be attributed to the hard work of the county stakeholders in

preparing for go-live and the low number of defects present in the system. At go-live, NC FAST P4 had a total of 15 defects, as follows:



The NC FAST P4 help desk has been in operation since go-live on a 24/7 basis. New help desk interactive voice response (IVR) menu options have been added to route Child Services calls to a dedicated P4 help desk team. To date, these staff have been able keep up with the pilot call volume and provide prompt creation of tickets and resolutions of questions/issues where possible.

Pilot counties were very supportive of the project. In the weeks leading up to go-live, based on pilot county requests, NC FAST deployed trainers and county readiness liaisons into each of the counties to assist with local training and final readiness activities in each county. After go-live, the project maintained an on-site presence in each county. To foster open communication, the project team established a “war room” at the project site and opened a conference call line that was available to deployed project staff and key points of contact in each county throughout the normal business day. This line provided the project team with early warning of any issues with widespread impact. For the first two weeks of pilot, the project team also held a daily checkpoint call with all the counties in which current status, lessons learned, and daily transaction volumes could be shared and discussed. As the pilot progressed and the number of open items diminished, the project team continued the checkpoint calls with the counties on a less frequent basis.

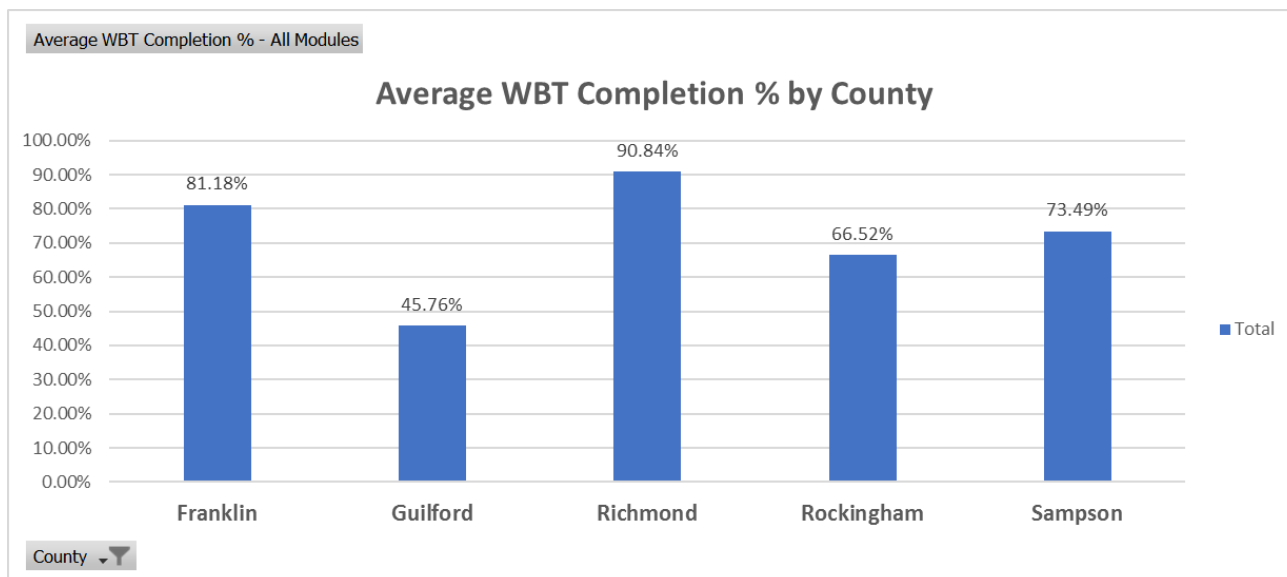
As defects were identified, the project team assigned resources to address items based on severity and impact on county operations. Several system patches were implemented that have

addressed important defects and system enhancements. The speed with which the project team has responded to county feedback has increased confidence in the project and the ability of the system to support county operations. Through daily calls with the counties, seven system issues arose that were of particular importance to the counties. The project team was able to address all seven top priority issues by the end of September 2017.

Additional system enhancements have been identified by the pilot counties. These have been provided to the NC FAST P4 Project team through the change request process to develop a schedule for each approved enhancement request to be incorporated into the system.

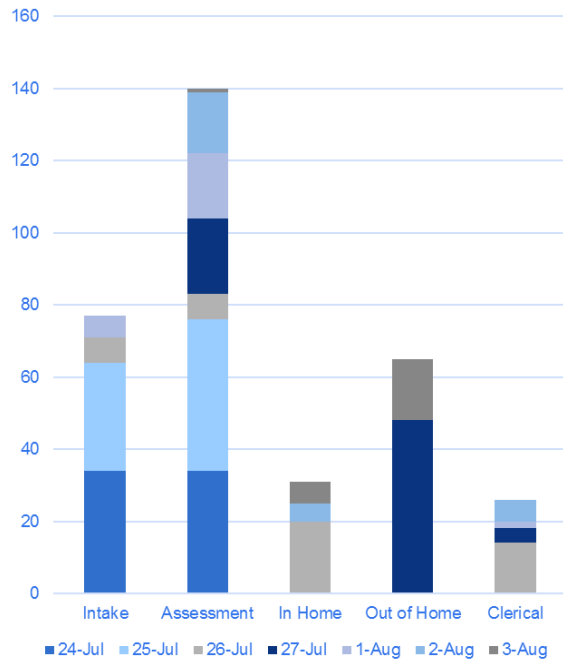
### 3.0 Pilot County Training

Feedback on the training from the pilot counties has been incorporated into both the eLearning content as well as the job aids. The pilot provided quite a few lessons learned regarding training. One lesson learned was that participant self-registration in the learning management system (i.e., Learning Gateway) did not work as well as anticipated. The reason was that a specific user could register for all available training even though the user needed only to take a portion of the training to perform their assigned job. This situation skewed the training completion reports available from the Learning Gateway. The WBT completion percentage by county appears below. It is followed by additional training completion graphs from the pilot counties.

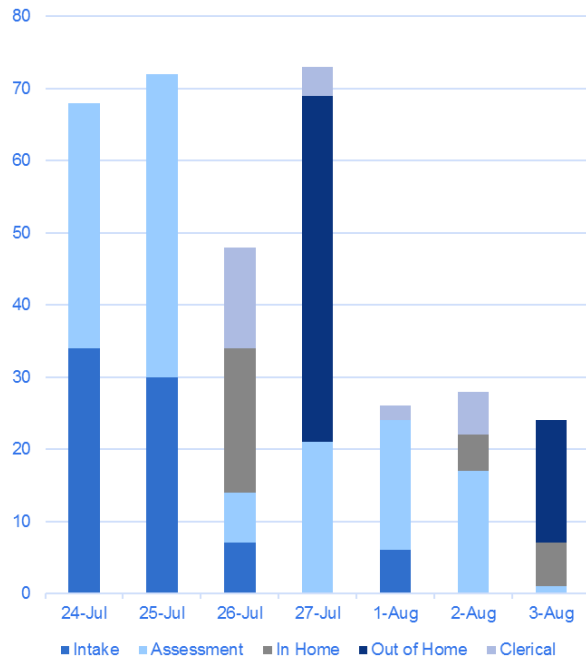


While the above numbers are lower than expected, the following chart shows classroom training participation for Guilford County. This shows that many of Guilford's 160 NC FAST P4 users completed classroom training. All five pilot counties received some form of supplemental training from the onsite resources. This training took the form of learning labs, trainer office hours, and system demonstrations. The specific approach was determined in collaboration with the leadership teams in each county.

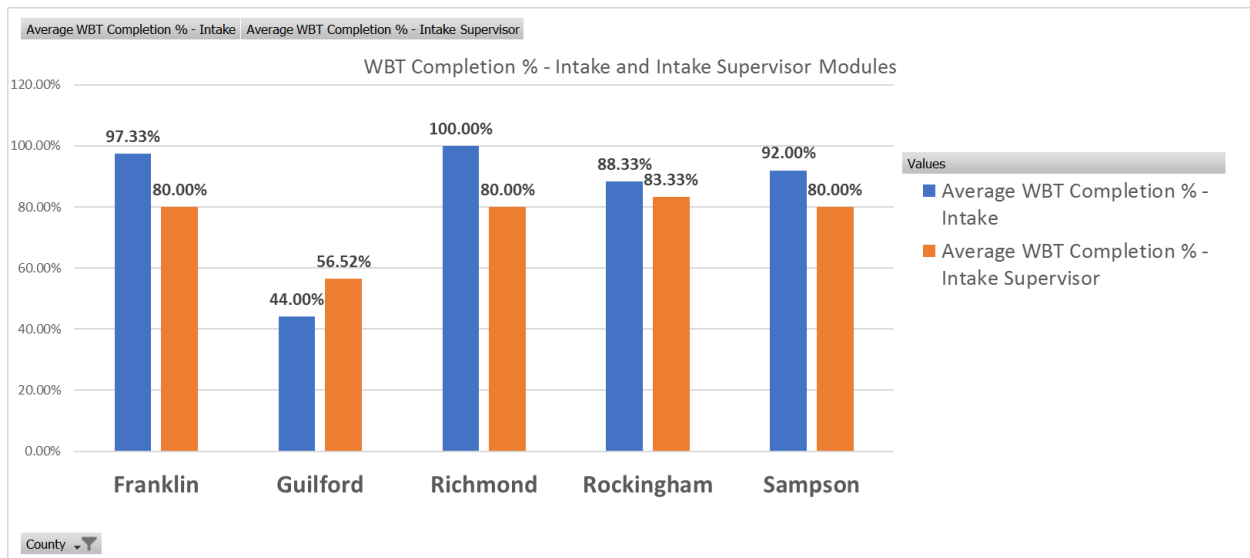
### Total Participants by Content Area View

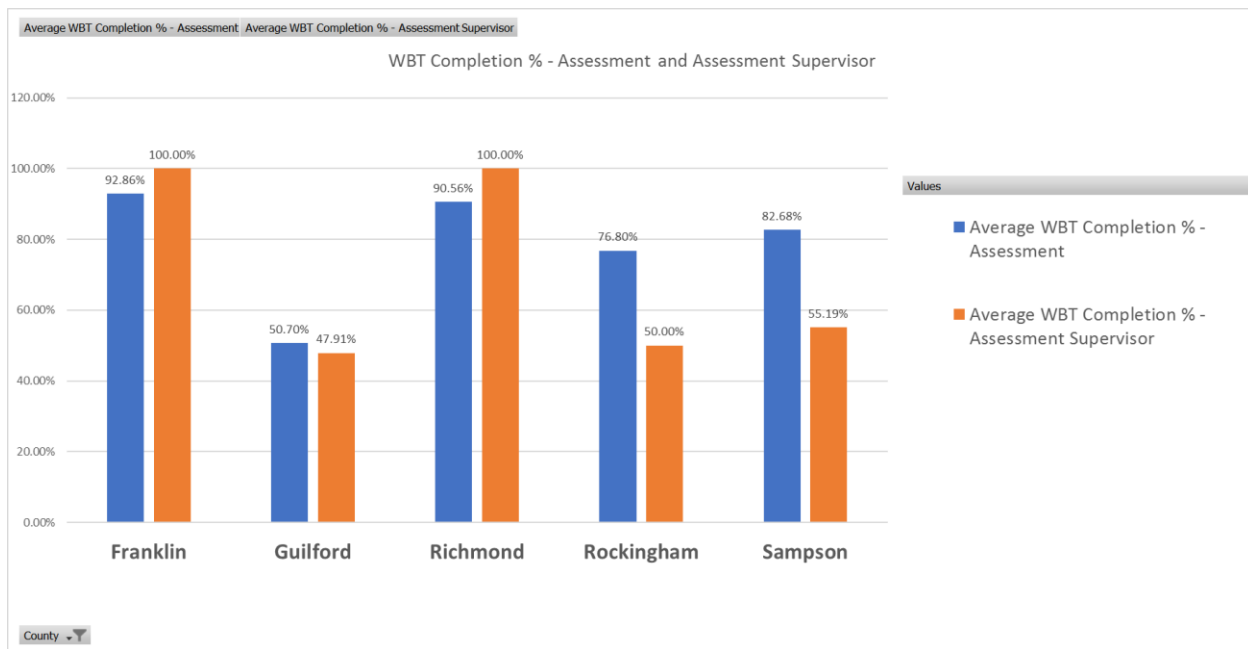


### Daily Participant Count View



Child Protective Services are concerned primarily with the processes of Intake and Assessment. The Intake and Assessment areas were more directly impacted immediately after go-live than Ongoing Case Management. The following two graphs show that WBT training completion in each county is much higher in the Intake and Assessment areas.





#### 4.0 Pilot Lessons Learned

From the first day of pilot go-live, lessons learned have been identified and discussed on calls with representatives from the pilot counties. In mid-August, representatives from the five pilot counties conducted a panel discussion at a regional directors' meeting. During this meeting, the representatives shared key lessons learned. A list of key lessons learned to date is presented below.

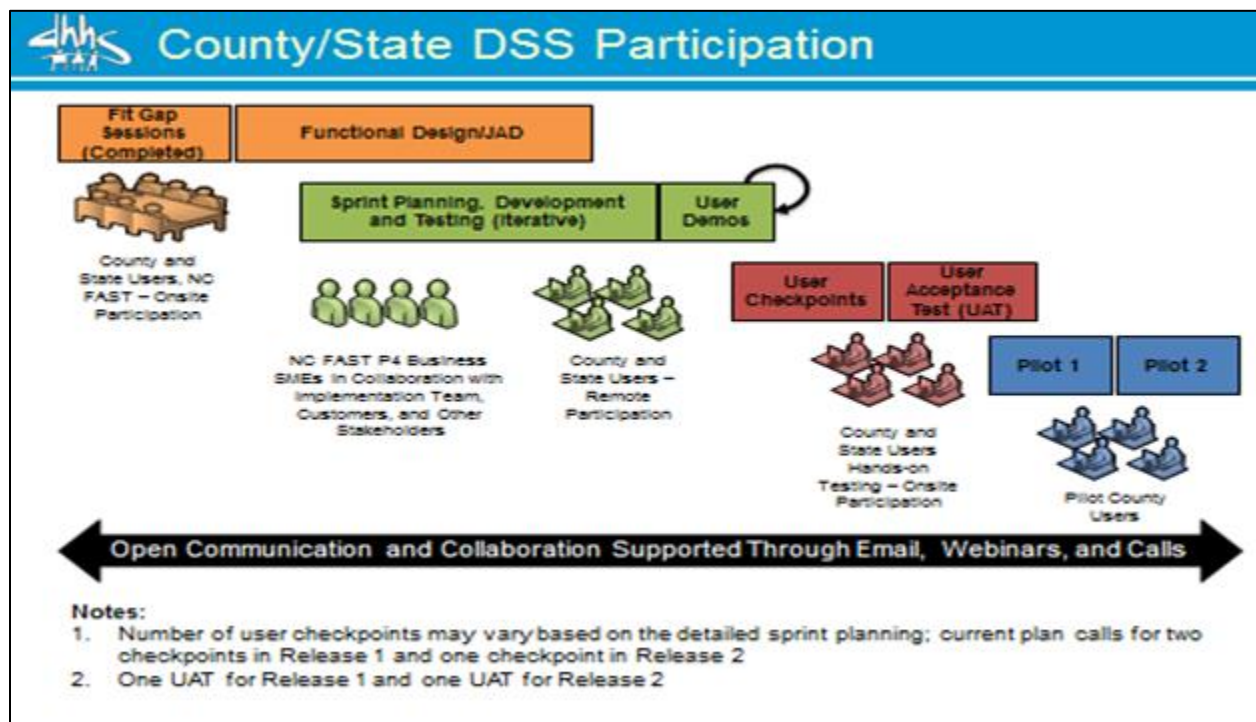
Pilot Lesson Learned	Implication
Counties needed more time to complete required training and take advantage of the Sandbox environment.	For future implementation groups, training content will be made available at least two months prior to go-live.
NC FAST County Readiness Liaisons were helpful to the county leadership team and staff.	Project team is increasing the size of the Readiness team to be able to provide some level of on-site support in counties during future implementations.
The Sandbox environment was a valuable resource to the counties as it allowed them to assess how local business processes would be impacted by the new system.	Providing accelerated county access to the Sandbox on a deployment group priority basis. The intent is to provide Sandbox access to all users at least two months prior to go-live. A workbook has been developed to guide county practice in using the Sandbox.

<b>Pilot Lesson Learned</b>	<b>Implication</b>
Local tracking of training completion performed by supervisors worked well.	Gathering training tracking templates and posting on the Learning Gateway so they are available to all 100 counties. Encouraging county leadership and supervisors to take an active role in ensuring that all staff complete required training.
County clerical staff can be redeployed to help key data into NC FAST that is captured by Social Workers out in the field. Counties can also consider hiring recent retirees to assist with case conversion preparations.	Clerical staff and retirees can help to maximize the use of Social Worker time by eliminating the need to key data captured in the field into NC FAST or organize/scan case records.
Supervisors should complete training ahead of front-line staff where possible.	Will encourage counties to adopt this practice as it enables supervisors to be able to answer staff questions as they go through training and start using the Sandbox.
Regular status calls with the project team are beneficial to share important updates and gather lessons learned.	Project team will conduct checkpoint calls with future implementation groups to promote sharing of important updates.
System access for front-line staff and supervisors should be tested at least a week prior to go-live in each county.	Testing system access ahead of go-live eliminates issues tied to account setup and passwords on go-live day. Will adopt this as a standard readiness practice.
County on-site support (OSS) resources need to be familiar with all aspects of Child Services.	County in-house support staff need to be readily available to staff in their unit and need to be well versed in the policies and practices associated with each part of the system. Will encourage counties to adopt this approach as they plan towards their go-live.
It is beneficial to take deliberate measures to build up staff excitement and morale ahead of go-live.	Will encourage counties to turn go-live into a celebration so that spirits are high.

Pilot Lesson Learned	Implication
Online access to case records can be a significant benefit to supervisors. Being able to review records without having to go meet with a user to access their records or to perform a case review from home is a great benefit of the new system.	Online access to case records will be stressed as a significant benefit of the new system.
Providing iPads to workers ahead of go-live was beneficial. It allowed users to become familiar with the devices. iPads can also be used to access the main NC FAST system (after go-live) as long as connectivity is available.	Will encourage counties to deploy tablets ahead of go-live.

## 5.0 Pilot Go-Live Preparations

A successful Project 4 pilot implementation required considerable planning. The following section provides an overview of preparations for pilot implementation.



The following describes some of the specific activities leading up to the Project 4 go-live in the pilot counties for Release 1. Many of these readiness activities will be repeated with the non-

pilot counties. In addition to the specific activities listed below, there are ongoing activities that engage the counties on a regular basis.

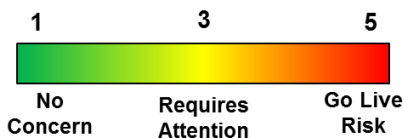
- July 2017
  - User Acceptance Testing (UAT) performed between July 5-14 allowed pilot county staff the opportunity to validate that the version of NC FAST that went into production at the end of the month effectively supports child welfare operations in the counties. During UAT, pilot county participants used converted data to complete a series of realistic business scenarios in the system. The project team included time in the UAT schedule to address any defects identified by the UAT participants prior to pilot go-live. Pilot county UAT participants signed off on UAT results after each phase of UAT testing.
  - Remaining training materials were made available to pilot county staff in mid-July (see training note in June 2017 section below).
  - A final Readiness Assessment was performed in each of the five pilot counties. Note: Three rounds of Readiness Assessments were performed in each county at approximately 30, 60, and 90 days prior to go-live. Results of the Readiness Assessment reviews are shared with pilot and NC FAST project leadership. The Readiness Assessment process reviews the entire breadth of county preparation activities (e.g., hardware/network, training, data conversion prep, communication, security, local business processes) and helps to identify specific areas of risk. This process will continue for each county as it gets closer to its own go-live date.
  - The County Readiness team worked with DHHS and pilot county DSS leadership to confirm NC FAST users. Each user was provided with a security role configured in the system prior to go-live. For a list of county roles that interact with the project, refer to Appendix F.
  - Non-pilot counties have identified 2-5 staff who will perform searches for victims, perpetrators, and responsible individuals in NC FAST. Each of these county staff completed a short (<15 minute) eLearning course on performing searches in NC FAST. Each county staff performing these searches also have security access established in NC FAST to allow them to perform these searches now that the pilot counties are live.
  - NC FAST project team members gather baseline metrics on pilot county performance that are used to assess their performance once they go live. Variance from baseline transaction volumes after pilot go-live is proactively identified and investigated to determine the root cause of the variance (e.g., normal business cycle variation, adverse system performance impact). This approach is based on lessons learned gained from previous NC FAST implementations. Metrics will eventually be gathered from all 100 counties, and similar monitoring will be performed throughout the statewide deployment to confirm that the system is not having an adverse impact on ongoing county child welfare operations.
- June 2017
  - Initial NC FAST Project 4 training content was made available to pilot counties in mid-June. Additional content was made available on a weekly basis through mid-July. This allowed all affected pilot county staff to complete required NC FAST

training prior to the August 7 go-live. NC FAST training has been supplemented by a hands-on training environment that allows county staff to explore the new system using a pre-production test environment. Training content will be enhanced based on pilot county feedback and will be kept in sync with changes made to the production system over time. Additional training content will be made available to the counties in late fall 2017 to support implementation of Release 2 system functionality.

- A “Sandbox” training environment was made available to pilot counties in late June. This non-production system environment allowed pilot county users to practice the concepts learned in formal training in a non-production training environment. Sample training scenarios were provided to pilot counties that helped to direct their use of this environment. Additionally, this environment allowed pilot counties to practice new system work processes (e.g., seeking supervisor approval to screen in new abuse and neglect referrals) prior to their go-live date.
- Conducted a survey of pilot county leaders to confirm that the initial set of P4 user security roles would not present any operational challenges for the five counties at go-live.
- NC FAST County Readiness Liaisons completed a 60-day review during June. This was the second of three reviews performed with each county. The table below displays the actual summary results of the 60-day Readiness Assessment in each pilot county. The Readiness Assessment instrument itself is composed of approximately 70 questions across a variety of topic areas. Responses to each question are captured by the NC FAST Readiness Liaison on the assessment form. Each question is scored “No Concern”, “Requires Attention”, or “Go Live Risk” on a 1-3-5-point scale. For the table below, responses to individual questions in each category were averaged to provide a summary readiness score for each topic area. Color shading is added to provide easier comprehension of the overall results.

As can be seen from the summary results in the table below, the pilot counties were generally in great shape in their readiness for the NC FAST child welfare go-live. Areas requiring attention were documented and were then addressed by each county.

Status as of	County	Deployment Phase	Staffing	Security	Training	Communication and Change Management	Conversion	Technical	Post-Launch Support	Forms, Reports, Tracking	Mobile	Other Topics
T-30	FRANKLIN	Pilot	1.29	1.86	2.00	1.40	1.40	1.00	1.00	1.67	1.00	1.00
T-30	GUILFORD	Pilot	1.86	1.29	2.50	1.80	1.00	1.00	1.00	2.33	1.00	1.00
T-30	RICHMOND	Pilot	1.57	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
T-30	ROCKINGHAM	Pilot	1.29	1.00	1.50	1.00	1.00	1.00	1.00	1.67	1.00	1.00
T-30	SAMPSON	Pilot	1.00	1.86	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00



- May 2017
  - The second of three planned User Checkpoint reviews involved approximately 100 participants from 12 counties plus the state office. Three three-day sessions were held May 2-4, May 9-11, and May 16-18. Survey results from the second User Checkpoint participants indicated that over 90% of participants would recommend the session to their peers. Almost 80% of participants were either “Satisfied” or “Very Satisfied” with the checkpoint.

During the checkpoints, Pilot Counties, JAD Counties, and State Office staff were provided with hands-on access to Project 4 functionality in guided training, walkthroughs, and self-paced exploration of the software, using realistic case data. Checkpoints have helped county and state office staff establish or clarify expectations for how the system will function. The sessions also provided participants with access to sample training materials.

Because of the checkpoints, stakeholders were given an opportunity to provide feedback on system features and functions, training materials, and key operational impacts early in the project development period. Participant requests for enhancements and suggestions for new functionality were collected and prioritized in debriefing sessions and entered into the software development backlog. NC FAST project leadership is working with the project software development team and IBM, the Cúram packaged software vendor, to develop a strategy to address specific enhancement ideas.

Training materials were updated to incorporate feedback from participant questions and observations.

An initial 90-day Readiness Assessment was performed with each pilot county in May. This initial review provided each county with approximately three months of time to address specific areas of concern prior to go-live.

- March - April 2017:

- In late March and early April, leadership teams from Pilot and Group 1 counties participated in a 3-day Leadership Workshop where detailed information was shared about the system and go-live considerations. Each county developed its own county-specific action plan during the workshop. Counties participating in each session could share thoughts and perspectives on their specific action plans with the other counties in the workshop. This provided an excellent opportunity for cross-county information sharing and collaboration. Ninety-Eight percent of the workshop participants would recommend the session to a peer. Participant satisfaction survey scores from the two Leadership Workshops are found below:

Response	Session 1 (25 responses)	Session 2 (31 responses)
Not Satisfied	0%	0%
Somewhat Satisfied	4%	3%
Satisfied	52%	55%
Very Satisfied	44%	42%

- Town Hall Meetings: After the leadership workshop concluded, County Readiness team members made themselves available to travel to the pilot counties to conduct system demonstrations and information sharing sessions with front line child welfare staff.
- February-March 2017
  - During February and March, pilot counties participated in ongoing design activities and received NC FAST project updates via email messages and briefings at various statewide and regional meetings.
- January 2017
  - The first User Checkpoint involved over 50 participants from 12 counties (including the five pilot counties) plus the state office. Two four-day sessions were held: January 17-20 and January 23-26.
- 2016
  - Visits were made to 14 counties including all five pilot counties to study as-is business processes and practices; a total of 544 business processes have been documented based on these visits. These counties were chosen because of their size (a range of small, medium, and large counties), location (counties in the eastern, western, and central parts of the state), and level of automation (a range of counties from those with no automation, to those with document management

only, to those with a county case management system together with a document management system).

- Introductory Meetings: Between September and November 2016, introductory meetings were held with leaders in each of the five pilot counties to discuss general county readiness activities, roles, and timelines.
- 2015
  - Preliminary week-long visits were made to four counties to gather initial information about the Child Services program. These four counties formed a representative sample of DSS agencies across the state regarding size, current use of automation or paper based processes, existence of a local case management system, and use of the Signs of Safety practice model.

## APPENDIX C

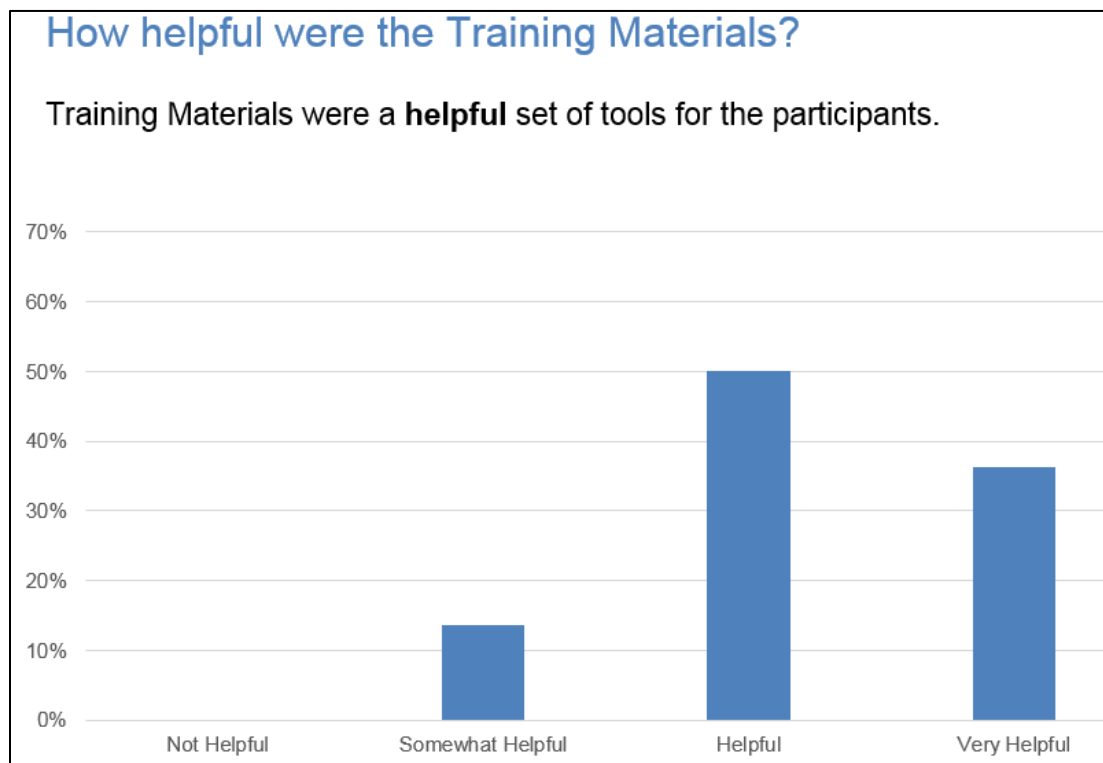
### User Checkpoint 3 Summary (Release 2)

A total of 26 enhancements were identified during User Checkpoint 3. Participants voted on their highest priority enhancement ideas. All enhancements have been provided to the NC FAST Team as part of the backlog of functionality.

A total of 15 defects were identified during User Checkpoint 3. These defects have been documented, including the case information and the detailed steps required to recreate each item. This information has been made available to the NC FAST Team.

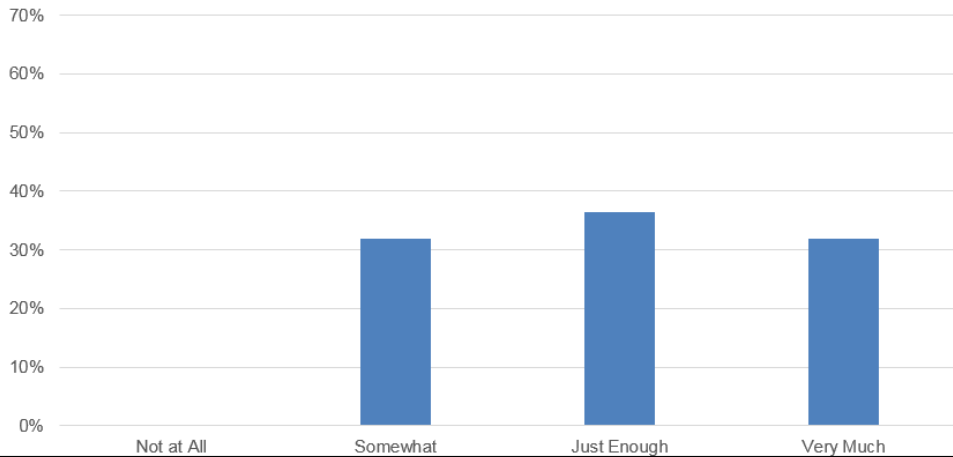
A total of 27 questions were asked by participants during User Checkpoint 3 concerning the use of the NC FAST application. Many of the questions were answered during the session by support staff in the room. Written responses are being developed for all questions and will be posted in the Learning Gateway.

The following graphics show the questions that users were asked and their responses:



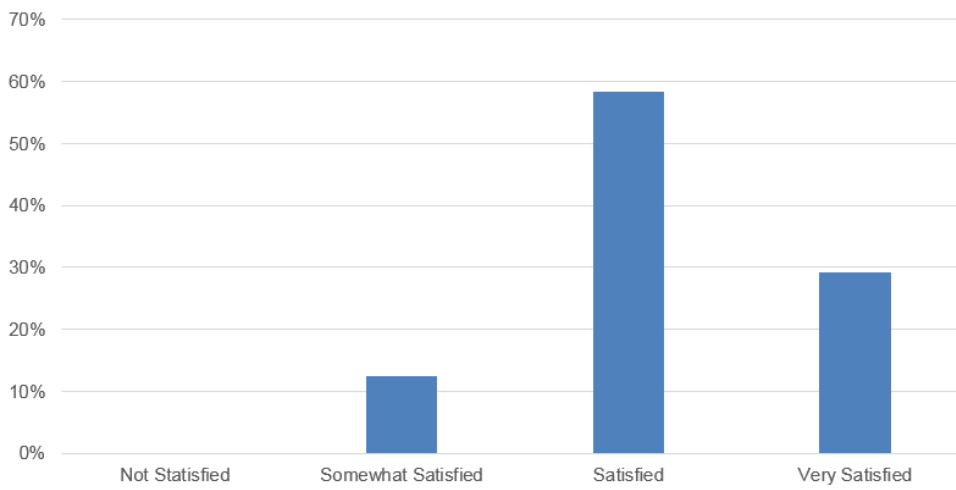
### Did the training materials help you increase your understanding of the system?

Based on the feedback on the Training Materials and the participants' responses, the Checkpoint benefited from draft Training Materials.



### How satisfied were you with the User Checkpoint?

Overall, the respondents seem to be **satisfied** with the third User Checkpoint.



## APPENDIX D

### Implementation Group 1 Training Completion Status Summary

The following tables show the training completion metrics for the ten Group 1 counties as of December 7 2017.

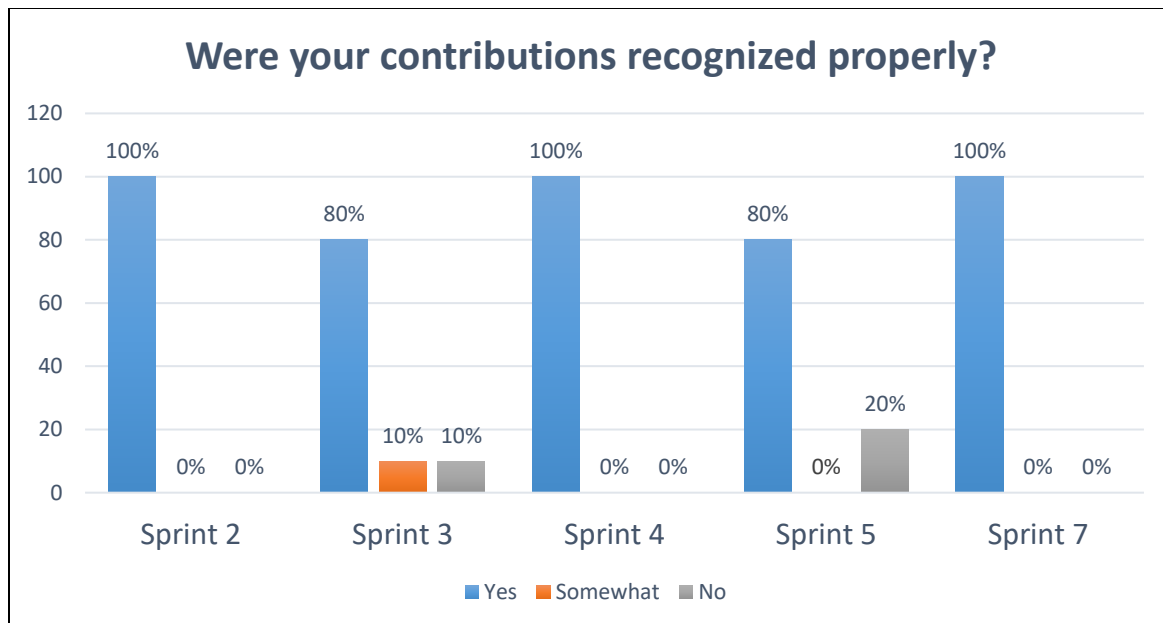
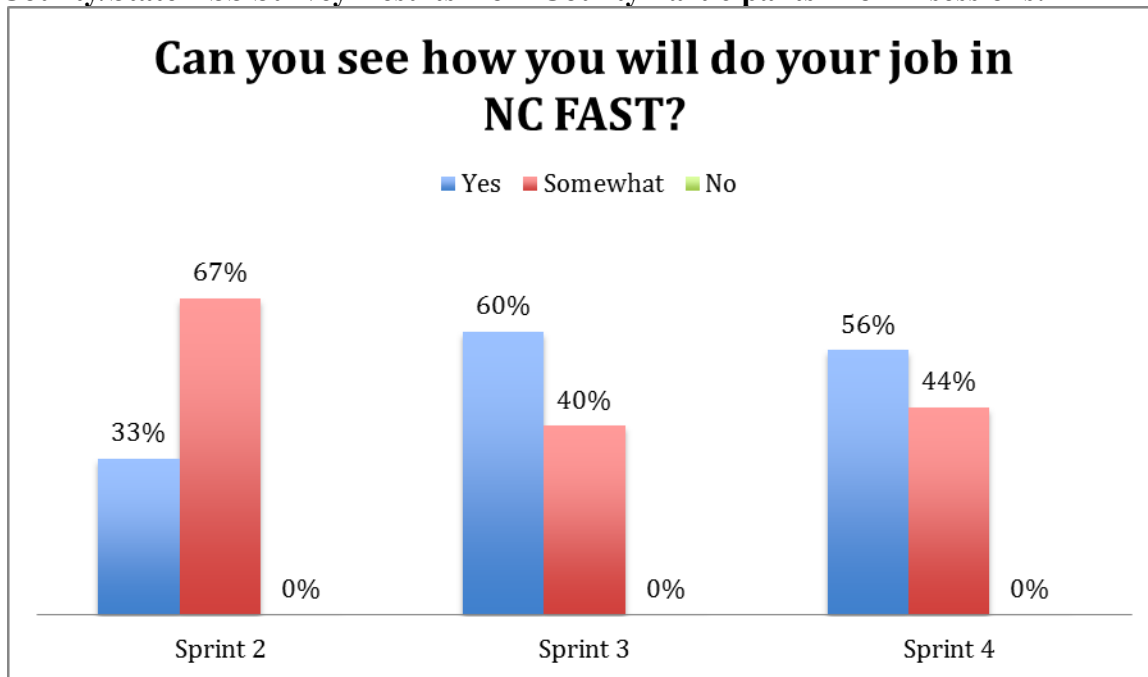
	Buncombe		Carteret		Catawba		Chatham	
Total Registered Users	191		33		103		29	
	Registered Users	User Completion %	Registered Users	User Completion %	Registered Users	User Completion %	Registered Users	User Completion %
Completion Summary	191	77%	33	84%	91	71%	29	63%
Basic Navigation	180	91%	32	96%	82	70%	29	93%
CPS History	176	98%	32	96%	82	81%	28	87%
Intake	119	95%	15	83%	14	86%	22	90%
Intake Supervisor	42	96%	3	100%	12	75%	5	46%
Assessments	60	82%	11	87%	29	90%	22	78%
Assessment Supervisor	25	86%	3	100%	12	76%	4	50%
In Home Case Management	27	83%	4	75%	1	100%	10	50%
In Home C.M. Supervisor	14	93%	1	10%	3	66%	3	42%
Out of Home Case Management	39	90%	9	72%	38	57%	10	42%
Out of Home C.M. Supervisor	27	56%	2	81%	14	52%	4	20%
Legal	2	100%	0	0%	0	0%	1	100%

	Cleveland		Orange		Rowan	
Total Registered Users	65		51		60	
	Registered Users	User Completion %	Registered Users	User Completion %	Registered Users	User Completion %
Completion Summary	63	75%	51	87%	60	87%
Basic Navigation	62	90%	50	100%	58	100%
CPS History	21	83%	50	100%	57	95%
Intake	52	90%	36	97%	23	95%
Intake Supervisor	14	91%	8	87%	5	80%
Assessments	56	80%	34	85%	19	84%
Assessment Supervisor	18	60%	8	87%	4	83%
In Home Case Management	46	86%	22	90%	5	90%
In Home C.M. Supervisor	12	85%	6	83%	3	42%
Out of Home Case Management	42	76%	24	72%	15	73%
Out of Home C.M. Supervisor	11	45%	10	49%	5	7%
Legal	0	0%	0	0%	0	0%

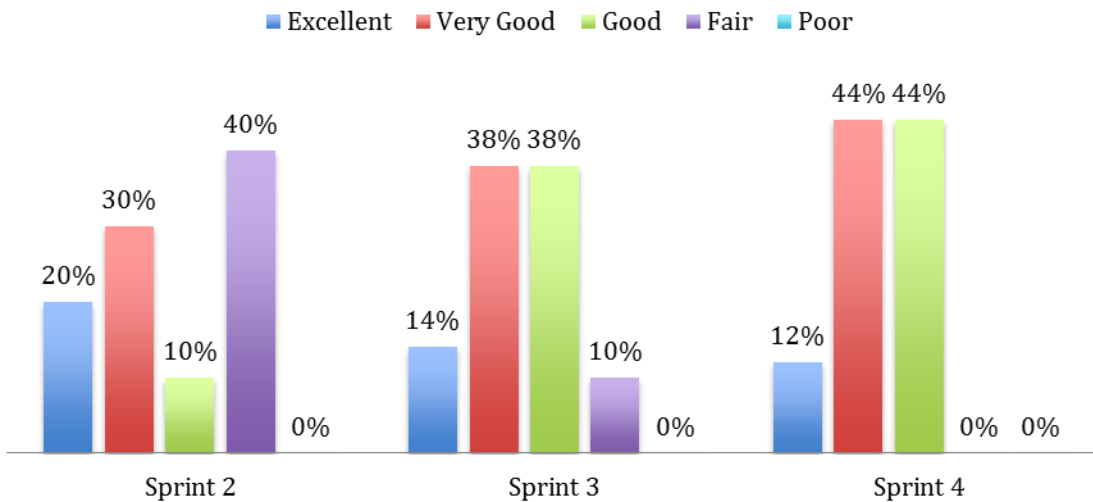
Total Registered Users	Dare		Macon		Pitt	
	16		16		53	
Completion Summary	Registered Users	User Completion %	Registered Users	User Completion %	Registered Users	User Completion %
Basic Navigation	16	79%	16	86%	52	74%
CPS History	14	92%	16	93%	47	96%
Intake	15	96%	3	100%	51	100%
Intake Supervisor	11	100%	14	94%	21	86%
Assessments	2	50%	2	100%	4	100%
Assessment Supervisor	7	58%	2	100%	23	70%
In Home Case Management	2	50%	1	7%	6	61%
In Home C.M. Supervisor	3	36%	1	10%	10	70%
Out of Home Case Management	1	0%	0	0%	4	75%
Out of Home C.M. Supervisor	1	0%	2	63%	16	59%
Legal	1	0%	0	0%	4	64%

## APPENDIX E

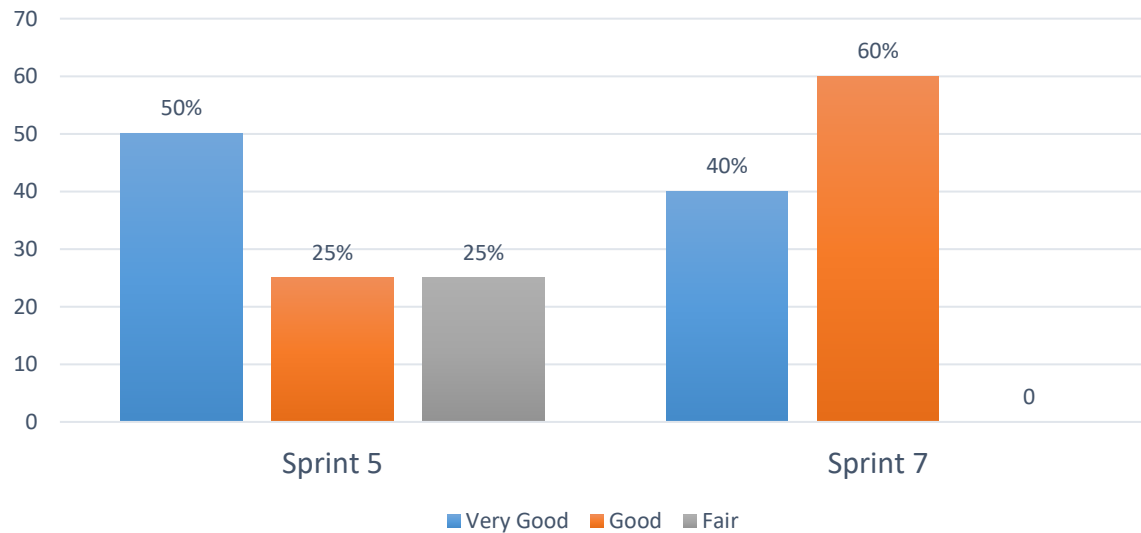
County/State DSS Survey Results from County Participants in JAD sessions:

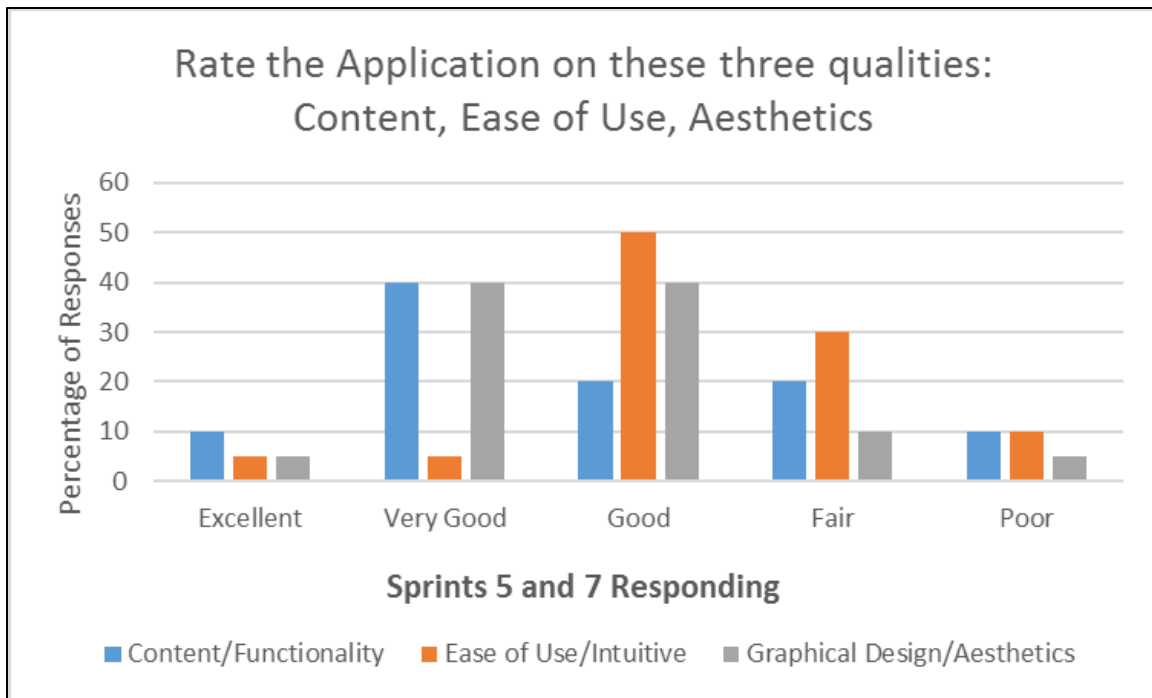


## How would you rate your overall satisfaction?



## Overall, how would you rate the Sprint?





## APPENDIX F

### NC FAST Implementation Roles and Responsibilities

Role	Team	Description	Responsibilities
Project Leadership	DHHS, IBM, Accenture, County Directors	<ul style="list-style-type: none"> <li>These team members include: Members of the Executive Advisory Committee (EAC) Members of the Executive Advisory Subcommittee (EAS) NC FAST Project Management Office (PMO)</li> </ul>	<ul style="list-style-type: none"> <li>Responsible for managing required aspects of the Implementation</li> <li>Continually gather status and monitor progress related to Implementation activities</li> <li>Manage issue resolution</li> </ul>
Implementation Team Leadership	DHHS, Accenture	<ul style="list-style-type: none"> <li>Monitor and coordinate overall implementation readiness activities within each county across all system releases</li> <li>Provide assistance in completing readiness assessments and county go-live procedures</li> <li>Provide leadership and assistance to the County Champions and County Readiness Liaisons as necessary</li> </ul>	<ul style="list-style-type: none"> <li>Plan and guide the overall Project 4 implementation in each county</li> <li>Develop and maintain the implementation strategy and associated work products (i.e., County Readiness Presentations, County Readiness Assessment Checklist and Tracking Log)</li> <li>Manage the implementation activities across Architecture &amp; Infrastructure, Application Development, Training, Business, and Conversion teams</li> <li>Confirm integration and synchronization across the project teams</li> <li>Coordinate the resources supporting the deployment of NC FAST at each county DSS office</li> <li>Monitor the completion of activities across the counties Track issues and resolutions</li> </ul>
County Readiness Liaisons	DHHS, Accenture	<ul style="list-style-type: none"> <li>NC FAST County Readiness team members will be assigned one or more counties from each of the implementation phases</li> <li>They will guide these counties through the readiness process and promote a successful NC FAST implementation in each of their assigned counties</li> </ul>	<ul style="list-style-type: none"> <li>Serve as primary point of contact for County Champions in each county during deployment and funnel status, questions, and issues to the project team</li> <li>Review NC FAST deployment communications and be familiar with deployment schedules</li> <li>Deliver presentations and system demonstrations to county staff</li> <li>Encourage participation in NC FAST activities by all levels of county staff and leadership</li> <li>Work cooperatively with the NC FAST Conversion team to resolve issues as they arise</li> <li>Assume responsibility for an overall successful activation/installation of NC FAST for assigned counties</li> </ul>

Role	Team	Description	Responsibilities
County Champions	County DSS Office	<ul style="list-style-type: none"> <li>A County Champion will be identified from each county by the County Director, as a key point of contact with the NC FAST team</li> <li>County Champions are a critical component to the success of NC FAST; the County Readiness team will work with each County Director to confirm County Champions identified have the necessary skills to fulfill the role</li> </ul>	<ul style="list-style-type: none"> <li>Serve as a primary point of contact with NC FAST project team; performs oversight of county specific installation and implementation readiness tasks, participants in issue resolution and coordinates with other appropriate county resources to complete tasks</li> <li>Deliver Implementation communications to the appropriate county staff (prior to, during, and after go-live)</li> <li>Escalate appropriate Implementation risks/issues to County Readiness Liaisons and/or Project County Readiness team</li> <li>Participate in creating and monitoring assigned county's Implementation Readiness Checklist</li> <li>Identify and address gaps resulting from the Implementation Readiness Checklist</li> <li>Participate and complete NC FAST training</li> <li>Assist in identifying training facilities and validating the availability of facilities and equipment</li> <li>Support, monitor, manage, and enforce the NC FAST training requirements in the county</li> <li>Help coordinate and provide on-site support for end users during NC FAST deployment</li> <li>Coordinate county activities identified as a result of Readiness Workshops</li> <li>Be a champion of the NC FAST project and support change within the county</li> </ul>
County Technical Champion	County Government	<ul style="list-style-type: none"> <li>Coordinates with County Champion and County Director to confirm that county DSS hardware, network, and software are ready for NC FAST deployment to the county</li> </ul>	<ul style="list-style-type: none"> <li>Serve as technical point of contact to the NC FAST Implementation team; performs oversight of county technical readiness tasks, participates in issue resolution and coordinates with other appropriate county resources to complete tasks</li> <li>Escalate appropriate technical readiness risks/issues to County Champion and County Readiness Liaison</li> <li>Identify and address gaps resulting from the Implementation Readiness Checklist review meetings</li> <li>Be a champion of the NC FAST project and support change within the county</li> </ul>
NC FAST Help Desk	O&M - Help Desk	<ul style="list-style-type: none"> <li>Primary Help Desk to support pilot and phased roll-outs of NC FAST</li> <li>Will have a dedicated team of NC FAST Help Desk agents for Project 4</li> </ul>	<ul style="list-style-type: none"> <li>Provide ongoing technical support, troubleshooting steps, fixes, and enhancements as needed for the county users</li> <li>Participate in NC FAST testing activities, as appropriate Investigate and resolve issues within the NC FAST application as they are identified</li> <li>Escalate issues as needed to Level 3 Help Desk for support and resolution</li> <li>Escalate appropriate issues to Project Management</li> </ul>

Role	Team	Description	Responsibilities
Pilot User Group	N/A	<ul style="list-style-type: none"> <li>A group of five counties who provide input to the NC FAST project team on a variety of items based on their experience with the new system</li> </ul>	<ul style="list-style-type: none"> <li>Prioritize defects and system enhancements</li> <li>Review and comment on project approaches</li> <li>Serve as a communication conduit to the counties (both disseminating information and soliciting input from non-pilot counties) where appropriate</li> </ul>