

AGREEMENT FOR SERVICES OF INDEPENDENT CONTRACTOR

THIS AGREEMENT (hereafter Agreement) is made by and between the County of Santa Barbara, a political subdivision of the State of California (hereafter COUNTY) and **Treinen Associates** having its principal place of business at **10541 Mullen RD SE, Olympia Washington 98513** (hereafter CONTRACTOR) wherein CONTRACTOR agrees to provide and COUNTY agrees to accept the services specified herein.

NOW, THEREFORE, in consideration of the mutual covenants and conditions contained herein, the parties agree as follows:

1. **DESIGNATED REPRESENTATIVE.** **Melissa Hoesterey, CWS Operation Division Chief** at phone number **(805) 346-7248** is the representative of COUNTY and will administer this Agreement for and on behalf of COUNTY. **Will Treinen, President** at phone number **(360) 455-5168** is the authorized representative for CONTRACTOR. Changes in designated representatives shall be made only after advance written notice to the other party.

2. **NOTICES.** Any notice or consent required or permitted to be given under this Agreement shall be given to the respective parties in writing, by first class mail, postage prepaid, or otherwise delivered as follows:

To COUNTY: **Melissa Hoesterey, Department of Social Services, 2125 S Centerpointe Parkway, Santa Maria, CA 93455**

To CONTRACTOR: **Will Treinen, Treinen Associates, 10541 Mullen RD SE, Olympia Washington 98513**

or at such other address or to such other person that the parties may from time to time designate. Notices and consents under this section, which are sent by mail, shall be deemed to be received five (5) days following their deposit in the U.S. mail.

3. **SCOPE OF SERVICES.** CONTRACTOR agrees to provide services to COUNTY in accordance with EXHIBIT A attached hereto and incorporated herein by reference.

4. **TERM.** CONTRACTOR shall commence performance on **January 5, 2010** and end performance upon completion, but no later than **February 28, 2011** unless otherwise directed by COUNTY or unless earlier terminated. **The County reserves the right to extend this Contract for a total contract term of no more than three (3) years. Renewal determinations shall be contingent on CONTRACTOR satisfactory achievement of agreed upon performance measures.**

5. **COMPENSATION OF CONTRACTOR.** CONTRACTOR shall be paid for performance under this Agreement in accordance with the terms of EXHIBIT B attached hereto and incorporated herein by reference. Billing shall be made by invoice, which shall include the contract number assigned by COUNTY and which is delivered to the address given in Section 2 **NOTICES.** above following completion of the increments identified on EXHIBIT B. Unless otherwise specified on EXHIBIT B, payment shall be net thirty (30) days from presentation of invoice.

6. **INDEPENDENT CONTRACTOR.** CONTRACTOR shall perform all of its services under this Agreement as an independent contractor and not as an employee of COUNTY. CONTRACTOR understands and acknowledges that it shall not be entitled to any of the benefits of a COUNTY employee, including but not limited to vacation, sick leave, administrative leave, health insurance, disability insurance, retirement, unemployment insurance, workers' compensation and protection of tenure.

7. **STANDARD OF PERFORMANCE.** CONTRACTOR represents that it has the skills, expertise, and licenses/permits necessary to perform the services required under this Agreement. Accordingly, CONTRACTOR shall perform all such services in the manner and according to the standards

observed by a competent practitioner of the same profession in which CONTRACTOR is engaged. All products of whatsoever nature, which CONTRACTOR delivers to COUNTY pursuant to this Agreement, shall be prepared in a first class and workmanlike manner and shall conform to the standards of quality normally observed by a person practicing in CONTRACTOR's profession. CONTRACTOR shall correct or revise any errors or omissions, at COUNTY'S request without additional compensation. Permits and/or licenses shall be obtained and maintained by CONTRACTOR without additional compensation.

8. **TAXES.** COUNTY shall not be responsible for paying any taxes on CONTRACTOR's behalf, and should COUNTY be required to do so by state, federal, or local taxing agencies, CONTRACTOR agrees to promptly reimburse COUNTY for the full value of such paid taxes plus interest and penalty, if any. These taxes shall include, but not be limited to, the following: FICA (Social Security), unemployment insurance contributions, income tax, disability insurance, and workers' compensation insurance.

9. **CONFLICT OF INTEREST.** CONTRACTOR covenants that CONTRACTOR presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. CONTRACTOR further covenants that in the performance of this Agreement, no person having any such interest shall be employed by CONTRACTOR.

10. **RESPONSIBILITIES OF COUNTY.** COUNTY shall provide all information reasonably necessary by CONTRACTOR in performing the services provided herein.

11. **OWNERSHIP OF DOCUMENTS.** COUNTY shall be the owner of the following items incidental to this Agreement upon production, whether or not completed: all data collected, all documents of any type whatsoever, and any material necessary for the practical use of the data and/or documents from the time of collection and/or production whether or not performance under this Agreement is completed or terminated prior to completion. CONTRACTOR shall not release any materials under this section except after prior written approval of COUNTY.

No materials produced in whole or in part under this Agreement shall be subject to copyright in the United States or in any other country except as determined at the sole discretion of COUNTY. COUNTY shall have the unrestricted authority to publish, disclose, distribute, and otherwise use in whole or in part, any reports, data, documents or other materials prepared under this Agreement.

12. **RECORDS, AUDIT, AND REVIEW.** CONTRACTOR shall keep such business records pursuant to this Agreement as would be kept by a reasonably prudent practitioner of CONTRACTOR's profession and shall maintain such records for at least four (4) years following the termination of this Agreement. All accounting records shall be kept in accordance with generally accepted accounting practices. COUNTY shall have the right to audit and review all such documents and records at any time during CONTRACTOR's regular business hours or upon reasonable notice.

13. **INDEMNIFICATION AND INSURANCE.** CONTRACTOR shall agree to defend, indemnify and save harmless the COUNTY and to procure and maintain insurance in accordance with the provisions of EXHIBIT C attached hereto and incorporated herein by reference.

14. **NONDISCRIMINATION.** COUNTY hereby notifies CONTRACTOR that COUNTY's Unlawful Discrimination Ordinance (Article XIII of Chapter 2 of the Santa Barbara County Code) applies to this Agreement and is incorporated herein by this reference with the same force and effect as if the ordinance were specifically set out herein and CONTRACTOR agrees to comply with said ordinance.

15. **NONEXCLUSIVE AGREEMENT.** CONTRACTOR understands that this is not an exclusive Agreement and that COUNTY shall have the right to negotiate with and enter into contracts with

others providing the same or similar services as those provided by CONTRACTOR as the COUNTY desires.

16. **ASSIGNMENT.** CONTRACTOR shall not assign any of its rights nor transfer any of its obligations under this Agreement without the prior written consent of COUNTY and any attempt to so assign or so transfer without such consent shall be void and without legal effect and shall constitute grounds for termination.

17. **TERMINATION.**

A. **By COUNTY.** COUNTY may, by written notice to CONTRACTOR, terminate this Agreement in whole or in part at any time, whether for COUNTY's convenience or because of the failure of CONTRACTOR to fulfill the obligations herein. Upon receipt of notice, CONTRACTOR shall immediately discontinue all services effected (unless the notice directs otherwise), and deliver to COUNTY all data, estimates, graphs, summaries, reports, and all other records, documents or papers as may have been accumulated or produced by CONTRACTOR in performing this Agreement, whether completed or in process.

1. For Convenience. COUNTY may terminate this Agreement upon thirty (30) days written notice. Following notice of such termination, CONTRACTOR shall promptly cease work and notify COUNTY as to the status of its performance.

Notwithstanding any other payment provision of this Agreement, COUNTY shall pay CONTRACTOR for service performed to the date of termination to include a prorated amount of compensation due hereunder less payments, if any, previously made. In no event shall CONTRACTOR be paid an amount in excess of the full price under this Agreement nor for profit on unperformed portions of service. CONTRACTOR shall furnish to COUNTY such financial information as in the judgment of COUNTY is necessary to determine the reasonable value of the services rendered by CONTRACTOR. In the event of a dispute as to the reasonable value of the services rendered by CONTRACTOR, the decision of COUNTY shall be final. The foregoing is cumulative and shall not effect any right or remedy which COUNTY may have in law or equity.

2. For Cause. Should CONTRACTOR default in the performance of this Agreement or materially breach any of its provisions, COUNTY may, at COUNTY's sole option, terminate this Agreement by written notice, which shall be effective upon receipt by CONTRACTOR.

B. **By CONTRACTOR.** Should COUNTY fail to pay CONTRACTOR all or any part of the payment set forth in EXHIBIT B, CONTRACTOR may, at CONTRACTOR's option terminate this agreement if such failure is not remedied by COUNTY within thirty (30) days of written notice to COUNTY of such late payment.

18. **SECTION HEADINGS.** The headings of the several sections, and any Table of Contents appended hereto, shall be solely for convenience of reference and shall not affect the meaning, construction or effect hereof.

19. **SEVERABILITY.** If any one or more of the provisions contained herein shall for any reason be held to be invalid, illegal or unenforceable in any respect, then such provision or provisions shall be deemed severable from the remaining provisions hereof, and such invalidity, illegality or unenforceability shall not affect any other provision hereof, and this Agreement shall be construed as if such invalid, illegal or unenforceable provision had never been contained herein.

20. **REMEDIES NOT EXCLUSIVE.** No remedy herein conferred upon or reserved to COUNTY is intended to be exclusive of any other remedy or remedies, and each and every such remedy,

to the extent permitted by law, shall be cumulative and in addition to any other remedy given hereunder or now or hereafter existing at law or in equity or otherwise.

21. **TIME IS OF THE ESSENCE.** Time is of the essence in this Agreement and each covenant and term is a condition herein.

22. **NO WAIVER OF DEFAULT.** No delay or omission of COUNTY to exercise any right or power arising upon the occurrence of any event of default shall impair any such right or power or shall be construed to be a waiver of any such default or an acquiescence therein; and every power and remedy given by this Agreement to COUNTY shall be exercised from time to time and as often as may be deemed expedient in the sole discretion of COUNTY.

23. **ENTIRE AGREEMENT AND AMENDMENT.** In conjunction with the matters considered herein, this Agreement contains the entire understanding and agreement of the parties and there have been no promises, representations, agreements, warranties or undertakings by any of the parties, either oral or written, of any character or nature hereafter binding except as set forth herein. This Agreement may be altered, amended or modified only by an instrument in writing, executed by the parties to this Agreement and by no other means. Each party waives their future right to claim, contest or assert that this Agreement was modified, canceled, superseded, or changed by any oral agreements, course of conduct, waiver or estoppel.

24. **SUCCESSORS AND ASSIGNS.** All representations, covenants and warranties set forth in this Agreement, by or on behalf of, or for the benefit of any or all of the parties hereto, shall be binding upon and inure to the benefit of such party, its successors and assigns.

25. **COMPLIANCE WITH LAW.** CONTRACTOR shall, at his sole cost and expense, comply with all County, State and Federal ordinances and statutes now in force or which may hereafter be in force with regard to this Agreement. The judgment of any court of competent jurisdiction, or the admission of CONTRACTOR in any action or proceeding against CONTRACTOR, whether COUNTY be a party thereto or not, that CONTRACTOR has violated any such ordinance or statute, shall be conclusive of that fact as between CONTRACTOR and COUNTY.

26. **CALIFORNIA LAW.** This Agreement shall be governed by the laws of the State of California. Any litigation regarding this Agreement or its contents shall be filed in the County of Santa Barbara, if in state court, or in the federal district court nearest to Santa Barbara County, if in federal court.

27. **EXECUTION OF COUNTERPARTS.** This Agreement may be executed in any number of counterparts and each of such counterparts shall for all purposes be deemed to be an original; and all such counterparts, or as many of them as the parties shall preserve undestroyed, shall together constitute one and the same instrument.

28. **AUTHORITY.** All parties to this Agreement warrant and represent that they have the power and authority to enter into this Agreement in the names, titles and capacities herein stated and on behalf of any entities, persons, or firms represented or purported to be represented by such entity(ies), person(s), or firm(s) and that all formal requirements necessary or required by any state and/or federal law in order to enter into this Agreement have been fully complied with. Furthermore, by entering into this Agreement, CONTRACTOR hereby warrants that it shall not have breached the terms or conditions of any other contract or agreement to which CONTRACTOR is obligated, which breach would have a material effect hereon.

29. **PRECEDENCE.** In the event of conflict between the provisions contained in the numbered sections of this Agreement and the provisions contained in the Exhibits, the provisions of the Exhibits shall prevail over those in the numbered sections.

30. **NONAPPROPRIATION CLAUSE.** Notwithstanding any other provision of this Agreement, in the event that no funds or insufficient funds are appropriated or budgeted by federal, state, or County governments, or funds are not otherwise available for payments in fiscal year(s) covered by the term of this Agreement, then COUNTY will notify CONTRACTOR of such occurrence and COUNTY may terminate or suspend this Agreement in whole or in part, with or without a prior notice period. Subsequent to termination of this Agreement under this provision, COUNTY shall have no obligation to make payments with regard to the remainder of the term.

In the event that funds have been appropriated or budgeted, CONTRACTOR understands that monies paid to CONTRACTOR by COUNTY are derived from federal, state or local sources, including local taxes, and are subject to curtailment, reduction, or cancellation by government agencies or sources beyond the control of COUNTY. COUNTY shall have the right to terminate this Agreement in the event that such curtailment, reduction, or cancellation occurs.

31. **BUSINESS ASSOCIATE.** The County is considered to be a "Hybrid Entity" under the Health Insurance Portability and Accountability Act (HIPAA), 42 U.S.C. 1320d et seq. and its implementing regulations including but not limited to 45 Code of Federal Regulations parts 142, 160, 162, and 164, ("Privacy Rule and Security Rule"). The Contractor is considered to be a "Business Associate" under the Privacy Rule. Contractor must also comply with the Security Rule as a Business Associate, if under this Agreement, it receives, maintains or transmits any health information in electronic form in connection with a transaction covered by part 162 of title 45 of the Code of Federal Regulations.

The County and Contractor acknowledge that HIPAA mandates them to enter into a business associate agreement in order to safeguard protected health information that may be accessed during the performance of this Agreement. The parties agree to the terms and conditions set forth in Exhibit E - HIPAA Business Associate Agreement.

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Agreement for Services of Independent Contractor between the **County of Santa Barbara** and **Treinen Associates.**

IN WITNESS WHEREOF, the parties have executed this Agreement to be effective on the date executed by COUNTY.

COUNTY OF SANTA BARBARA

By: _____
Chair, Board of Supervisors

Date: _____

ATTEST:
MICHAEL F. BROWN
CLERK OF THE BOARD

CONTRACTOR

By: _____
Deputy

By: _____
SocSec or TaxID Number: _____

APPROVED AS TO FORM:
DENNIS MARSHALL
COUNTY COUNSEL

APPROVED AS TO ACCOUNTING FORM:
ROBERT W GEIS, CPA
AUDITOR-CONTROLLER

By: _____
Deputy County Counsel

By: _____
Deputy

APPROVED AS TO FORM:
RAY AROMATORIO
RISK MANAGEMENT

By: _____
Risk Management

EXHIBIT A

STATEMENT OF WORK

PURPOSE:

The purpose of this contract is to secure a Project Manager (Contractor). The current Legacy Case Management, Information and Payrolling System (CMIPS) has processed IHSS program payments for over 25 years. In order to comply fully with federal, state, and business requirements for payroll and tax services, while accommodating the increasing caseload, the State is requiring all counties to transition to CMIPS II. Santa Barbara County is part of Group 2 for statewide implementation and is set to go live on November 1, 2010. The Department of Social Services (DSS) released a Request for Proposal on October 15, 2009 to secure a contract for a Project Manager who could oversee, coordinate, and provide leadership for all of Santa Barbara County work plan activities associated with the Case Management Information and Payrolling System (CMIPS) II implementation from Pre-Engagement through Post-Implementation. As a result of the competitive bidding process, Treinen Associates Inc a management consulting firm that helps companies plan, manage and implement business change has been selected to be the Contractor. Their firm brings relevant experience and specific knowledge in the areas related to payroll and case management systems within social service environments.

Under the direction of the Social Services Operations Division Chief, Treinen Associates, Inc. will coordinate, and provide leadership for all of Santa Barbara County work plan activities associated with the Case Management Information and Payrolling System (CMIPS) II implementation from Pre-Engagement through Post-Implementation (after the County's "Go-Live" date). The majority of the project activities set-forth in the Scope of Services will be conducted on-site during regular business hours.

The new CMIPS II application will improve technology for tracking case management activities and payroll processing will improve administrative information, and will alleviate the current laborious, paper processes involved in creating and maintaining Recipient and Provider information, as well as improve the timeliness and efficiency of the payroll process.

Santa Barbara County is in Group 2 of the statewide roll-out of CMIPS II and is scheduled to go live November 1, 2010. However, this is subject to delay by CDSS who has oversight of the CMIPS II Project. Each county has a detailed work plan and timeframes with approximately 26 months of implementation activities that have been broken down into four stages:

- Initiation
- Pre-Engagement (January 2009-April 2010)
- Engagement and Implementation (May 2010-November 2010)
- Post-Implementation (December 2010-February 2011)

Treinen and Associates hereinafter referred to as Contractor will be held to perform as stated in the response to DSS' CMIPS II Project Manager Request for Proposal. Accordingly, the response is incorporated into this Agreement as Attachment I.

SCOPE OF SERVICES:

Contractor shall be expected to work collaboratively with DSS staff, in particular management. Contractor shall develop a detailed work plan to assist DSS in successfully implementing CMIPS II throughout the three remaining stages of the Project as indicated in Attachment I, Sections I & II.

Additionally, Contractor shall be expected to perform tasks throughout all of the planned implementation stages of the CMIPS II project on-site during regular business hours. These tasks include, but are not limited to:

- A. Project Management Activities
- B. Business Process Re-engineering Activities
- C. Communications and Public Outreach Activities
- D. Data Readiness Activities
- E. Site Preparation Activities
- F. Training Activities
- G. Post Implementation Activities

DUTIES AND RESPONSIBILITIES OF CONTRACTOR:

Contractor's tasks and responsibilities will ensure compliance with the State-approved work plan, activities, and timeframes, as determined by the State Office of Systems Integration (OSI); and ensure a successful CMIPS II implementation in Santa Barbara County.

1.1. Work Activities (As indicated in Attachment I, Section IV)

A. Project Management Activities

Contractor shall review & thoroughly familiarize themselves with the Pre-Engagement Guide as described in the County Welfare Director's Packet and tailor work plan to ensure that all project management activities are understood and executed in accordance with State guidelines. Additionally, Contractor shall develop in-depth knowledge of County workgroup task requirements in order to support successful implementation of CMIPS II.

Some implementation strategies may be directly coordinated with the neighboring counties of Ventura and San Luis Obispo should this prove advantageous to Santa Barbara County's project.

Contractor shall establish, lead, and/or participate in:

- Functional area workgroups
- Pre-Engagement workgroups
- Executive Briefings
- CMIPS II State meetings to keep abreast of project
- Monthly Pre-Engagement and Engagement status meetings
- Periodic surveys and assessments

Contractor shall identify:

- The need for CMIPS II equipment & collaborate with IT to ensure it is available prior to implementation
- County initiatives and efforts that impact County CMIPS II implementation.

- State Implementation Staff workspace for Engagement and Implementation
- Risk and issue identification

Contractor shall compile:

- A list of potential CMIPS II users and locations
- Pre-Engagement progress reports & report progress to County and State

B. Business Process Re-engineering Activities

This involves identifying and executing changes to business processes and office operations. It also involves the need to coordinate and provide oversight of Business Process Re-Engineering efforts, which entails learning and communicating about County functional work activities that will be required for County implementation and engaging staff participation.

1. Compile current County IHSS organization chart, policies, and procedures considering the enhanced capabilities of CMIPS II.
2. Coordinate & participate in County personalization of Statewide templates and implementation documents for County specific processes and procedures.
3. Review Statewide Gap Analysis Overview and Instruction.
4. Conduct preliminary business change assessment.
5. Identify initial business changes.
6. Work with County management to brief labor organizations on potential changes to identified classifications.
7. Finalize establishment of Business Process Re-engineering workgroup members.

C. Communications and Public Outreach Activities

This involves identifying and executing communication strategies with County stakeholders, such as IHSS staff, Public Authority, recipients, providers, advocacy groups and others; to provide timely, factual and appropriate information about CMIPS II system implementation process utilizing various media types.

1. Assess communication needs for each stakeholder group and timing.
2. Conduct Pre-Engagement CMIPS II overview for staff.
3. Establish communication methods (e.g. web conferences, shared folders, etc.)
4. Develop and execute Pre-Engagement Communication Plan.

D. Data Readiness Activities

This involves planning for data conversion, including assessing the quality, accuracy and completeness of the County's data within legacy CMIPS that will be migrated to CMIPS II; developing County procedures to support data conversion; ensuring that all equipment is ordered and installed during the Engagement and Implementation phase; and identifying external tools to legacy CMIPS that are used for the In-home Supportive Services (IHSS) program; and necessary changes to the County's external tools.

1. Identify database files/elements in legacy CMIPS used for county-specific functions.
2. Analyze ancillary system data and plan for extraction.
3. Receive and work data readiness reports. Track & report progress of data readiness cleanup activities.
4. Data to be fully prepared for Go-Live Conversion scheduled for 10/2010

E. Site Preparation Activities

This involves activities associated with planning and installing the technical infrastructure (hardware, software, network/connectivity equipment, and printers) in the county needed to support CMIPS II. (Project Manager is expected to ensure equipment is available when needed, to support the County's CMIPS II implementation. Project Manager will not be responsible for paying for the County's CMIPS II equipment. The Project Manager will work closely with the DSS' IT Manager to identify what equipment will be needed; the cost of the equipment; and ensure that the equipment is timely procured through the County's procurement process.)

1. Work with Information Technology as necessary to coordinate this portion of the contract.
2. Assess workstation Hardware/Software needs (workstations, additional printers, etc.)
3. Participate in connectivity needs assessment.
4. Order/Procure required equipment.
5. Identify CMIPS-related ancillary systems.
6. Assess impact to CMIPS-related ancillary systems.

F. Training Activities

This involves working independently and collaboratively with Staff Development to develop, plan for, and participate in training on CMIPS II including development of county-specific policies and procedures. Activities may include, but are not limited to:

1. Adapting vendor training curriculum and methodologies for training of County staff.
2. Developing written policies and procedures identified in the GAP Analysis to ensure staff have necessary instructions to implement.
3. Working with Staff Development to implement training of new policies and procedures.
4. Conducting personal computer (PC) skills needs assessment.
5. Reviewing CMIPS II system training facility specifications.
6. Identifying and reserve facilities for CMIPS II system training.
7. Collecting information and responding to surveys that will be developed and analyzed by the State.
8. Using the progress reporting tools and training tools provided by the State.

G. Post Implementation Activities

This involves activities that will occur for at least three (3) months after the County's "Go-Live" implementation date.

1. Perform monthly system performance reviews;
2. Perform activities to include change configuration management;
3. Oversee 'lessons learned' efforts to improve implementation efforts in the future.

1.2. Reporting Requirements (As indicated in Attachment I, Section V) Contractor shall:

- By the 5th day of each month, submit an accurate and timely status report of the County's progress toward the completion of the tasks on the State-approved work plan, including timelines, deadlines that were met/not met, and steps taken to ensure that barriers to completion are resolved.

- Submit a quarterly progress report of all activities associated with CMIPS II project management activities; business process re-engineering; communication and outreach; data readiness; site preparation; and training.
- Maintain and submit, upon request, all agendas and minutes from the CMIPS II workgroups, meetings with the State, stakeholders, and Implementation Team, etc.

1.3. Performance Measures (As indicated in Attachment I, Section VI)

Contractor shall:

- Participate in one or more site preparation surveys throughout the 14-month Pre-Engagement Stage.
- Use the State's PowerPoint Personal Computer (PC) certification to develop and deliver a training curriculum that is geared toward preparing end-users (current and potential) to use the new CMIPS II system, during the Engagement and Implementation Stage.
- Compile a list of potential CMIPS II users and locations, within the Pre-Engagement Stage.
- Facilitate at least two (2) CMIPS II workgroups per month.
- Identify and order all necessary equipment, during the Engagement and Implementation Stage, to ensure that it is on-site, prior to its scheduled installation date.
- In coordination with County program staff, develop training, policy and procedures as identified in the GAP Analysis for successful implementation of CMIPS II.
- Prepare a comprehensive list of 'talking points' that identify the potential changes caused by CMIPS II that could impact job classifications and result in the need for labor negotiations.
- Use the communication plan template provided by the State Implementation Coordinator (IC) to develop and execute a Santa Barbara County communication plan that provides a framework for project information exchange within and outside the CMIPS II project.

All deliverables shall be developed in conjunction with County staff, and Contractor shall provide for County review of draft deliverables and incorporation of comments five days prior to the final submission of each deliverable. Deliverables shall be submitted in both paper (1 original copy) and electronic formats. Electronic versions of deliverables may not be provided in a format that is not readily accessible with County standard software or which cannot be later updated by County staff if necessary (e.g. PDF files shall not be acceptable). Organizational Recommendations and Implementation Plan deliverables will be created with an appropriate level of detail, for each deliverable, and will be mutually agreed upon between the County and Contractor.

DUTIES AND RESPONSIBILITIES OF COUNTY:

County shall collaborate with Contractor to provide information and or resources as indicated in Attachment 1, Section III, which includes access to:

- County personnel who are serving as Project Manager & Executive Sponsor
- Existing or prior information related to the CMIPS II Project
- Representatives from various stakeholder groups
- Communication plan template provided by the State Implementation Coordinator
- County personnel who are knowledgeable about the current processes, current databases and systems that support and provide case management and payroll activities, and the training curriculum
- Existing documentation related to business processes & training
- County staff computer systems that will be used for the CMIPS II application
- State's PowerPoint Personal Computer certification

GENERAL CONTRACT PROVISIONS:

- A. Modification of Services – CONTRACTOR shall obtain the expressed written consent from the COUNTY for any variation in the provision of services described in this Agreement. Approval for such modification of services will not require further Board of Supervisors approval if it is to provide CMIPS II Project Management services and within the approved budget.
- B. Contractor will obtain prior written approval from County, prior to purchasing any furniture, equipment, EDP hardware or software funded through this agreement. Contractor will return to County upon expiration or termination of this agreement all furniture, equipment, EDP hardware or software purchased or provided to Contractor under this agreement.

EXHIBIT B

PAYMENT ARRANGEMENTS

Periodic Compensation (with attached Schedule of Fees)

- A. For CONTRACTOR services to be rendered under this contract, CONTRACTOR shall be paid a total contract amount, including cost reimbursements, not to exceed **\$ 161,094**
- B. Payment for services and /or reimbursement of costs shall be made upon CONTRACTOR's satisfactory performance, based upon the scope and methodology contained in **EXHIBIT A & ATTACHMENT I** as determined by COUNTY. Payment for services and/or reimbursement of costs shall be based upon **Attachment B1** (Schedule of Fees). Invoices submitted for payment that are based upon **Attachment B1** must contain sufficient detail to enable an audit of the charges and provide supporting documentation if so specified in **EXHIBIT A**.
- C. Monthly, CONTRACTOR shall submit to the COUNTY DESIGNATED REPRESENTATIVE by the 15th of the month an invoice or certified claim on the County Treasury for the service performed over the period specified. These invoices or certified claims must cite at minimum:
- Board Contract Number
 - Billable hours for Project Manager, Business Lead, and CMIPS II Program Advisor
 - Total Amount for services rendered
- COUNTY REPRESENTATIVE shall evaluate the quality of the service performed and if found to be satisfactory and within the cost basis of **Attachment B1** shall initiate payment processing. COUNTY shall pay invoices or claims for satisfactory work within 30 days of presentation.
- D. COUNTY's failure to discover or object to any unsatisfactory work or billings prior to payment will not constitute a waiver of COUNTY's right to require CONTRACTOR to correct such work or billings or seek any other legal remedy.
- E. Tracking of Expenses: Contractor shall inform County when seventy-five percent (75%) of the Maximum Contract Amount has been incurred based upon Contractor's own billing records. Contractor shall send such notice to those persons and addresses which are set forth in the Agreement, Section 2 (NOTICES).
- F. Six-Month Billing Limit: Unless otherwise determined by state or federal regulations all original invoices under this agreement must be received by County within six (6) months from the date of service to avoid possible payment reduction or denial for late billing.

**EXHIBIT B1
SCHEDULE OF FEES**

FEE FOR SERVICE BUDGET

PHASE OF CMIPSI PROJECT	DESCRIPTION OF ROLE	RATE PER HOUR OF SERVICE	PROJECTED NUMBER OF HOURS OF SERVICE	TOTAL PROJECTED AMOUNT
Pre-Engagement (January 2010- April 2010)	Project Manager	\$90	229.6	\$20,664
	Business Lead	\$95	262.4	\$24,928
	Program Advisor	\$100	13.1	\$1310
Subtotal			505.1	\$46,904
Engagement (May 2010-November 2010)	Project Manager	\$90	411.6	\$37,044
	Business Lead	\$95	470.4	\$44,688
	Program Advisor	\$100	11.8	\$1180
Subtotal			893.8	\$82,912
Post-Engagement (December 2010- February 2011)	Project Manager	\$90	153.2	\$13,788
	Business Lead	\$95	177.6	\$16,872
	Program Advisor	\$100	6.2	\$620
Subtotal			337	\$31,280
Total			1735.9	\$161,094

EXHIBIT C

STANDARD INDEMNIFICATION AND INSURANCE PROVISIONS for contracts REQUIRING professional liability insurance

Article I. INDEMNIFICATION

Indemnification pertaining to other than Professional Services:

CONTRACTOR shall defend, indemnify and save harmless the COUNTY, its officers, agents and employees from any and all claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities arising out of this Agreement or occasioned by the performance or attempted performance of the provisions hereof; including, but not limited to, any act or omission to act on the part of the CONTRACTOR or his agents or employees or other independent contractors directly responsible to him; except those claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities resulting from the sole negligence or willful misconduct of the COUNTY.

CONTRACTOR shall notify the COUNTY immediately in the event of any accident or injury arising out of or in connection with this Agreement.

Indemnification pertaining to Professional Services:

CONTRACTOR shall indemnify and save harmless the COUNTY, its officers, agents and employees from any and all claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities arising out of the negligent performance or attempted performance of the provisions hereof; including any willful or negligent act or omission to act on the part of the CONTRACTOR or his agents or employees or other independent contractors directly responsible to him to the fullest extent allowable by law.

CONTRACTOR shall notify the COUNTY immediately in the event of any accident or injury arising out of or in connection with this Agreement.

Without limiting the CONTRACTOR's indemnification of the COUNTY, CONTRACTOR shall procure the following required insurance coverages at its sole cost and expense. All insurance coverage is to be placed with insurers which (1) have a Best's rating of no less than A: VII, and (2) are admitted insurance companies in the State of California. All other insurers require the prior approval of the COUNTY. Such insurance coverage shall be maintained during the term of this Agreement. Failure to comply with the insurance requirements shall place CONTRACTOR in default. Upon request by the COUNTY, CONTRACTOR shall provide a certified copy of any insurance policy to the COUNTY within ten (10) working days.

1. Workers' Compensation Insurance: Statutory Workers' Compensation and Employers Liability Insurance shall cover all CONTRACTOR's staff while performing any work incidental to the performance of this Agreement. The policy shall provide that no cancellation, or expiration or reduction of coverage shall be effective or occur until at least thirty (30) days after receipt of such notice by the COUNTY. In the event CONTRACTOR is self-insured, it shall furnish a copy of Certificate of Consent to Self-Insure issued by the Department of Industrial Relations for the State of California. This provision does not apply if CONTRACTOR has no employees as defined in

Labor Code Section 3350 et seq. during the entire period of this Agreement and CONTRACTOR submits a written statement to the COUNTY stating that fact.

2. General and Automobile Liability Insurance: The general liability insurance shall include bodily injury, property damage and personal injury liability coverage, shall afford coverage for all premises, operations, products and completed operations of CONTRACTOR and shall include contractual liability coverage sufficiently broad so as to include the insurable liability assumed by the CONTRACTOR in the indemnity and hold harmless provisions of the Indemnification Section of this Agreement between COUNTY and CONTRACTOR. The automobile liability insurance shall cover all owned, non-owned and hired motor vehicles that are operated on behalf of CONTRACTOR pursuant to CONTRACTOR's activities hereunder. CONTRACTORS shall require all subcontractors to be included under its policies or furnish separate certificates and endorsements to meet the standards of these provisions by each subcontractor. COUNTY, its officers, agents, and employees shall be Additional Insured status on any policy. A cross liability clause, or equivalent wording, stating that coverage will apply separately to each named or additional insured as if separate policies had been issued to each shall be included in the policies. A copy of the endorsement evidencing that the policy has been changed to reflect the Additional Insured status must be attached to the certificate of insurance. The limit of liability of said policy or policies for general and automobile liability insurance shall not be less than \$1,000,000 per occurrence and \$2,000,000 in the aggregate. Any deductible or Self-Insured Retention {SIR} over \$10,000 requires approval by the COUNTY.

Said policy or policies shall include a severability of interest or cross liability clause or equivalent wording. Said policy or policies shall contain a provision of the following form:

"Such insurance as is afforded by this policy shall be primary and non-contributory to the full limits stated in the declarations, and if the COUNTY has other valid and collectible insurance for a loss covered by this policy, that other insurance shall be excess only."

If the policy providing liability coverage is on a 'claims-made' form, the CONTRACTOR is required to maintain such coverage for a minimum of three years following completion of the performance or attempted performance of the provisions of this agreement. Said policy or policies shall provide that the COUNTY shall be given thirty (30) days written notice prior to cancellation or expiration of the policy or reduction in coverage.

3. Professional Liability Insurance. Professional liability insurance shall include coverage for the activities of CONTRACTOR's professional staff with a combined single limit of not less than \$1,000,000 per occurrence or claim and \$2,000,000 in the aggregate. Said policy or policies shall provide that COUNTY shall be given thirty (30) days written notice prior to cancellation, expiration of the policy, or reduction in coverage. If the policy providing professional liability coverage is a on 'claims-made' form, the CONTRACTOR is required to maintain such coverage for a minimum of three (3) years (ten years [10] for Construction Defect Claims) following completion of the performance or attempted performance of the provisions of this agreement.

CONTRACTOR shall submit to the office of the designated COUNTY representative certificate(s) of insurance documenting the required insurance as specified above prior to this Agreement becoming effective. COUNTY shall maintain current certificate(s) of insurance at all times in the office of the designated County representative as a condition precedent to any payment under this Agreement. Approval of insurance by COUNTY or acceptance of the certificate of insurance by COUNTY shall not relieve or decrease the extent to which the CONTRACTOR may be held responsible for payment of damages resulting from CONTRACTOR'S services of operation pursuant to the contract, nor shall it be deemed a waiver of COUNTY'S rights to insurance coverage hereunder.

In the event the CONTRACTOR is not able to comply with the COUNTY'S insurance requirements, COUNTY may, at their sole discretion and at the CONTRACTOR'S expense, provide compliant coverage.

The above insurance requirements are subject to periodic review by the COUNTY. The COUNTY's Risk Manager is authorized to change the above insurance requirements, with the concurrence of County Counsel, to include additional types of insurance coverage or higher coverage limits, provided that such change is reasonable based on changed risk of loss or in light of past claims against the COUNTY or inflation. This option may be exercised during any amendment of this Agreement that results in an increase in the nature of COUNTY's risk and such change of provisions will be in effect for the term of the amended Agreement. Such change pertaining to types of insurance coverage or higher coverage limits must be made by written amendment to this Agreement. CONTRACTOR agrees to execute any such amendment within thirty (30) days of acceptance of the amendment or modification.

EXHIBIT D

**YEAR 2000 DATE CHANGE COMPLIANCE WARRANTY
FOR GOODS AND SERVICES**

---- INTENTIONALLY OMITTED ----

**Article II. REMOVED
Article III. March 1, 2004**

a) THIS AGREEMENT DOES NOT INCLUDE EXHIBIT D

EXHIBIT E

HIPAA Business Associate Agreement

1. Use and Disclosure of Protected Health Information

Except as otherwise provided in this Exhibit, the Contractor may use or disclose Protected Health Information ("PHI")¹ to perform functions, activities or services for or on behalf of the County, as specified in the underlying agreement, provided that such use or disclosure does not violate the Health Insurance Portability and Accountability Act (HIPAA), the California Confidential Medical Information Act (CMIA), or other state or federal laws. The uses and disclosures of PHI may not exceed the limitations applicable to the County under the regulations except as authorized for management, administrative or legal responsibilities of the Contractor. PHI includes without limitation "Electronic Protected Health Information" ("EPHI")².

2. Business Associates Held to the Same Standards as Covered Entities

The Business Associate/Contractor understands that HIPAA and CMIA hold the Business Associate to the same standards of responsibility and liability for the protection of confidential medical information as those required of the Covered Entity.

3. Applicable Laws

Laws which will apply to the Business Associate, include, but are not limited to: the Health Insurance Portability and Accountability Act (HIPAA), a federal law; the California Confidential Medical Information Act (CMIA), a state law; other federal and state laws pertaining to the protection of patient/client privacy and the security of confidential medical information.

4. Requirement to Train Own Employees and Workforce

The Contractor has a responsibility to provide effective training for all members of its workforce (including its own employees, management, staff, volunteers, independent contractors, and subcontractors) who will or who are likely to have any access to or exposure to PHI or EPHI. Members of the Contractor's workforce, who use, disclose, handle, view, process, distribute, access, audit, create, receive or have any exposure to PHI or EPHI must receive training on both the HIPAA Privacy Rule and the HIPAA Security Rule. Privacy Rule Training shall meet the requirements of 45 Code of Federal Regulations Section 164.530 (b). Security Rule Training shall meet the requirements of 45 Code of Federal Regulations Section 164.308 (a)(5).

5. Further Disclosure of PHI

The Contractor shall not use or further disclose PHI other than as permitted or required by the underlying Agreement, or as required by law.

¹ "Protected Health Information" means individually identifiable health information including, without limitation, all information, data, documentation and materials, including without limitation, demographic, medical and financial information, that relates to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; and that identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual.

² "Electronic Protected Health Information" means Protected Health Information, which is transmitted by Electronic Media (as defined in the HIPAA Security and Privacy Rule) or maintained in Electronic Media.

6. Safeguarding PHI

The Contractor shall use appropriate safeguards to prevent use or disclosure of PHI other than as provided for by the underlying Agreement. Contractor shall implement administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity and availability of EPHI that Contractor creates, receives, maintains or transmits on behalf of County. The actions taken by the Contractor to safeguard EPHI shall include, but may not be limited to:

- a. Encrypting EPHI that it stores and transmits;

- b. Implementing strong access controls, including physical locks, firewalls, and strong passwords;
- c. Using antivirus/antispyware software that is upgraded regularly;
- d. Adopting contingency planning policies and procedures, including data backup and disaster recovery plans; and
- e. Conducting periodic privacy and security training.

7. Unauthorized Use or Disclosure of PHI

The Contractor shall report to the County any use or disclosure of the PHI not provided for by the underlying Agreement or otherwise in violation of the HIPAA Privacy Rule, the HIPAA Security Rule, or CMIA. Contractor shall report to County any privacy or security incidents within 2 days of becoming aware of such incidents. For purposes of this paragraph, "security incident" shall mean the attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with systems operations in an information system. The Business Associate shall also be compliant with all HIPAA and CMIA reporting requirements (to federal or state authorities) pertaining to any privacy or security breaches of confidential medical information.

8. Agents and Subcontractors of the Business Associate

The Contractor shall ensure that any agent, including a subcontractor, to which the Contractor provides PHI received from, or created or received by the Contractor on behalf of the County, shall comply with the same restrictions and conditions that apply through the underlying Agreement to the Contractor with respect to such information. The Contractor shall ensure that any agent to whom it provides PHI, including a subcontractor, agrees to implement reasonable and appropriate safeguards to protect such PHI. Contractor shall not use subcontractors or agents, unless it receives prior written consent from County.

9. Access to PHI

At the request of the County, and in the time and manner designated by the County, the Contractor shall provide access to PHI in a Designated Record Set to an Individual or the County to meet the requirements of 45 Code of Federal Regulations Section 164.524.

10. Amendments to Designated Record Sets

The Contractor shall make any amendment(s) to PHI in a Designated Record Set that the County directs or at the request of the Individual, and in the time and manner designated by the County in accordance with 45 Code of Federal Regulations Section 164.526.

11. Documentation of Uses and Disclosures

The Contractor shall document such disclosures of PHI and information related to such disclosures as would be required for the County to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 Code of Federal Regulations Section 164.528. Contractor agrees to implement a process that allows for an accounting to be collected and maintained by Contractor and its agents or subcontractors for at least six years prior to the request, but not before the compliance date of the Privacy Rule.

12. Accounting of Disclosures

The Contractor shall provide to the County or an Individual, in the time and manner designated by the County, information collected in accordance with 45 Code of Federal Regulations Section 164.528, to permit the County to respond to a request by the Individual for an accounting of disclosures of PHI in accordance with 45 Code of Federal Regulations Section 164.528.

13. Records Available to Covered Entity and Secretary

The Contractor shall make available records related to the use, disclosure, security and privacy protection of PHI received from the County, or created or received by the Contractor on behalf of the County, to the County or to the Secretary of the United State Department of Health and Human Services

for purposes of investigating or auditing the County's compliance with the HIPAA privacy and security regulations, in the time and manner designated by the County or the Secretary.

14. Destruction of PHI

a. Upon termination of the underlying Agreement for any reason, the Contractor shall:

- (1) Return all PHI received from the County, or created or received by the Contractor on behalf of the County required to be retained by the Privacy Rule; or
- (2) Return or destroy all other PHI received from the County, or created or received by the Contractor on behalf of the County.

This provision also shall apply to PHI in possession of subcontractors or agents of the Contractor. The Contractor, its agents or subcontractors shall retain no copies of the PHI. However, Contractor, its agents or subcontractors shall retain all protected information throughout the term of the underlying Agreement and shall continue to maintain the information required under Section 11 of this Exhibit for a period of six years after termination of the underlying Agreement.

b. In the event the Contractor determines that returning or destroying the PHI is not feasible, the Contractor shall provide the County notification of the conditions that make return or destruction not feasible. If the County agrees that the return of the PHI is not feasible, the Contractor shall extend the protections of this Exhibit to such PHI and limit further use and disclosures of such PHI for so long as the Contractor, or any of its agents or subcontractors, maintains such PHI.

15. Amendments

The Parties agree to take such action as is necessary to amend the underlying Agreement as necessary for the County to comply with the requirements of the Privacy Rule and its implementing regulations.

16. Mitigation of Disallowed Uses and Disclosures

The Contractor shall mitigate, to the extent practical, any harmful effect that is known to the Contractor of a use, disclosure or exposure of PHI by the Contractor in violation of the requirements of the underlying Agreement or of the HIPAA Privacy and Security Rules or CMIA.

17. Termination of Agreement

The County shall terminate the underlying Agreement upon knowledge of a material breach by the Contractor of which the Contractor fails to cure.

18. Definitions

Terms used, but not otherwise defined, in this Exhibit shall have the same meaning as those in the HIPAA Privacy Rule, the HIPAA Security Rule and CMIA.

19. Interpretation

Any ambiguity in this Exhibit shall be resolved to permit County to comply with the HIPAA Privacy Rule, the HIPAA Security Rule and CMIA.

ATTACHMENT I

CONTRACTOR RESPONSE TO RFP

Work Activities

Contractor shall be expected to work collaboratively with DSS staff, in particular management. Additionally, Contractor shall be expected to perform tasks throughout all of the planned implementation stages of the CMIPS II project on-site during regular business hours. These tasks include, but are not limited to:

- A. *Project Management Activities*
- B. *Business Process Re-engineering Activities*
- C. *Communications and Public Outreach Activities*
- D. *Data Readiness Activities*
- E. *Site Preparation Activities*
- F. *Training Activities*
- G. *Post Implementation Activities*

I. SUMMARY OF WORK PLAN TO ADDRESS SCOPE OF SERVICE

Treinen Associates is proposing a work plan based on an approach that we have used in prior engagements and is based on the following experience and qualifications:

- On our most recent engagement we are helping an agency implement a new multi-million dollar Home Care Provider Payroll System to replace an aging legacy application in concert with interfacing with the state's Medicaid Management Information System (MMIS).
- On our solid and extremely relevant background in all the services to be supplied in the scope of work in CMIPS II Project Manager RFP, and our competence working with public agencies and counties involved in social services and information technology.
- On our specific CMIPS II knowledge, understanding, and experience that is being brought to the County of Santa Barbara CMIPS II effort.

To highlight some key elements of our work plan:

- A. Supporting the Department of Social Services in constructing and managing the CMIPS II project using a proven project management approach. The framework for our approach leverages the Project Management Institutes' (PMI) Project Management Book of Knowledge (PMBOK®) principles. We have enhanced the PMBOK framework to encompass unique project and environmental attributes for each engagement. For example, there may be specific agency or state procurement guidelines that need to be taken into consideration. Thus, we believe that the blend of the PMI approach and our own experience-based methodology provides the means to address diverse client needs and the ability to remain highly flexible to meet the specific objectives of a project.
- B. Utilizing an Existing Project Management Plan to maintain alignment and focus of project staff, executive sponsors, State OSI staff, and key stakeholders. Our project management plan is a self-contained document that fully encapsulates all critical aspects to successfully manage a project of this size and scale. It is our practice to use this project management plan for each engagement we undertake to ensure that the client and Treinen are operating in concert and from the same set of guidelines and expectations. By using this effective planning document, we can ensure that the Department of Social Services and Treinen will have an agreed upon and documented project plan completed within the first 30 days of the project start date.

The project plan we propose should contain the following chapters, though some of these will be created later within the project schedule:

- | | |
|--|--|
| 1. <i>Project Summary and Scope</i> | 11. <i>Roles and Responsibilities</i> |
| 2. <i>Project Management Approach</i> | 12. <i>Project Reporting</i> |
| 3. <i>Assumptions</i> | 13. <i>Project Governance</i> |
| 4. <i>Constraints/Critical Success Factors</i> | 14. <i>Approval Authorities</i> |
| 5. <i>Major Stakeholders and Buy-In Tactics</i> | 15. <i>Reporting and Communication Management Plan</i> |
| 6. <i>Outside Dependencies to Project</i> | 16. <i>Change Control Management Plan</i> |
| 7. <i>High-Level Project Schedule (Initial)</i> | 17. <i>Risk and Issue Management Plan</i> |
| 8. <i>Deliverables & Acceptance Criteria</i> | 18. <i>Meeting Management Plan</i> |
| 9. <i>Project Team/Personnel</i> | 19. <i>Budget Management Plan</i> |
| 10. <i>Project Team Organization Chart</i> | 20. <i>Closure Management Plan</i> |

- C. Communicating an Easy to Understand High Level Work Plan Schedule. The first area that we believe is critical is outlining or creating an Initial Work Plan Schedule (this is actually part of our Project Management Plan, Item #7). This is just one of several means to provide an account of the main activities/tasks, timelines, and key deliverables/milestones across each project phase.

This “project snapshot” provides a composite of key project activities that span the project timeline. Additionally, it reveals the work effort chronologically that will take place. We have found that this is an easier to digest view of the project that helps management and external stakeholders understand the project at a glance.

This high level synopsis complements the more rigorously laid out work break down structure (WBS) and Gantt chart, which captures the detailed tasks, resources, dependencies, milestones, and dates that we can support or create during the first few weeks of the project initiation step. We rely on Microsoft Project as our tool for creating, managing and reporting from the WBS.

The WBS will be used to manage day-to-day task/resource monitoring, support project reporting activities, identify potential risks to the schedule, and determine the CMIPS II critical path. Additionally, this project schedule will allow the County of Santa Barbara team to collaborate with the State Office of Systems Integration CMIPS II team on specific tasks, due dates and resource needs, which we view as vital to ensuring system and process changes occur in concert.

- D. Engaging with Stakeholders in an all-inclusive and transparent manner. From our experience, ensuring proper, accurate, and timely payments to home care providers are important and visible issues. There may be unions, recipient advocates, and State or Federal agency representatives involved. Thus we believe that there will be a substantial amount of internal and external stakeholder identification and coordination required.

Our approach includes developing a strong Communications Plan (part of the Project Management Plan, item #15), holding routine outreach meetings with key stakeholders, and establishing standard communication pieces in appropriate media (e.g. agency website, constituent advocacy groups, unions, etc.) from the start of the project. We believe that establishing a resource in Sacramento to assist our Project Manager in working with the State also will support the project’s relationship between County and State.

- E. Leveraging an existing Issue, Action Items, and Risk Management project tool. Treinen Associates has an easy to configure Issue and Risk Management Tool that allows us to enter, track, update, and report out project items extremely effectively. This tool produces

reports into Excel or Word and tracks issues, action items, risks, and project decisions. This tool will take only 30 minutes to configure for the CMIPS II project.

Some clients require more advance collaboration among many project staff and across numerous organizations. For these situations, we also offer a standardized web based tool, Microsoft SharePoint, to more effectively manage these larger and more complex projects that have many staff and external stakeholders.

- F. Relying on and blending the right consulting skills at the proper time ensure successful project completion. The CMIPS II project mirrors prior work we have done for the State of Washington. Because the County is looking for a well established company and one that has proven financial and resource ability, we propose a mix of staff to address the CMIPS II project needs. We have assumed that Treinen staff will be on-site a majority of their budgeted time. There will of course be variances, depending on the activities and needs of the project and County management.

We will integrate with our Sacramento-based technical expert to assist in any meetings or dialogue with OSI and other state agencies and ensure there is an on-site presence available if needed.

The basis for a small team approach allows proposed staff to be used on multiple (concurrent) project activities. This is intentional and as utility players, each consultant can keep an eye out on the overall playing field, keep the project team members not on site fully informed, and participate when needed. There is little contingency on the CMIPS II roll-out for delays encountered from the County, and creating a small but effective team ensures redundancy, continuity, and confidence that the County will meet their goals for the CMIPS II project.

We are proposing to split the scope of work for the County's CMIPS II implementation as follows:

<u>Mr. Barry Peters – Project Manager</u>	<u>Mr. Joel Trachtenberg – Business Lead</u>
Project Management	Business Process Re-engineering
Data Readiness	Public Outreach and Communications
Site Preparation	Training
Post-Implementation	

Confirmation of the County's Needs for the CMIPS II Project Manager

Treinen Associates has a firm understanding of what the CMIPS II project entails. Based on this knowledge and experience, we have laid out our approach using information provided in the RFP. The general layout is chronological, but there are many activities that will overlap because we are proposing different resources to handle specific functions and because the project timeline warrants concurrent work activities.

Throughout the project, the Treinen Project Manager will follow the direction of the Social Services Operations Division Chief. Treinen will facilitate the County's transition from the current Legacy Case Management Information and Payrolling System (CMIPS) application to the new State mandated CMIPS II system. The new CMIPS II system tracks case management and payroll activities for In-Home Supportive Services programs, allowing eligible aged, blind, and disabled persons to remain in their own homes and avoid institutionalization.

Treinen will provide project management, oversee, coordinate, and provide leadership for all the Santa Barbara County work plan activities associated with the CMIPS II

implementation, starting from Pre-Engagement (currently in progress) and continuing through the County's "Go-Live" Date approximately 3 months into Post-Implementation. Six (6) county workgroups will be reporting to the Project Manager (Business Process Re-engineering, Data Readiness, Training, Site Preparation, Communications and Public Outreach).

Treinen will also act as executive liaison to the CMIPS II State agencies. State Implementation Coordinators will interface with the County's Project Manager to identify and address potential problems, resolve problems in a timely manner, mitigate risks, develop responses should risks occur, and ensure that issues are being resolved. As noted above, a local Sacramento knowledgeable CMIPS resource, Mr. Stanger, will be available to extend the County's presence when engaging with OSI and other state agencies as needed or required. We believe staying tightly connected with the State is critical to ensure a smooth development and implementation for the County of Santa Barbara.

Treinen will also be responsible for working closely with the County to ensure that tools provided by the State are utilized during the County's implementation process. Treinen also understands that the State has not provided a particular risk tracking database or risk tool/template.

As indicated earlier in our proposal, we are pleased to propose the use of our own, easy to configure Issue, Action Items, and Risk Management Tool.

Our tasks and responsibilities will be to ensure compliance with the State-approved work plan, activities, and timeframes, as determined by the State Office of Systems Integration (OSI); and ensure a successful CMIPS II implementation in Santa Barbara County.

We will work very collaboratively with DSS management and staff. Treinen understands the need to perform tasks on-site during regular business hours.

Providing a Tailored Approach to Serve the County's CMIPS II effort

The Treinen approach relies on concurrent work activities to ensure the CMIPS II project completes as planned. Noted below are the summary activities that need to take place within each of the three remaining phases. Following this summary is a specific set of activities for each of the functional areas (project management, business process re-engineering, data readiness/site preparation, training, communications and public outreach, and post-engagement support).

II. SUMMARY OF APPROACH BY PHASE

A. Pre-Engagement Phase Activities

- **Initiate CMIPS II Project Effort**

During the first two weeks, we expect to spend time getting acquainted with the specifics of the project as it relates to the County of Santa Barbara, meet and connect with DSS management, staff, project personnel, key stakeholders, and users. During this period, our Project Manager will perform a review of the County Welfare Director's Packet and tailor the County work plan to verify that all project management activities are understood and executed in accordance with State guidelines. During this initial orientation period, the Project Manager will work towards the goal of developing an in-depth knowledge of County workgroup task requirements in order to support successful implementation of CMIPS II.

The Project Manager will work collaboratively with the CMIPS II Project staff, leadership and workgroups to detail the work activities, estimate timelines, delineate work products / deliverables, set up or review the project organization and project

document management site(s), and craft (if needed) a project charter and project management plan.

Continuing through the project, the Treinen Project Manager will attend all CMIPS II meetings and teleconferences with the State. This includes utilizing our Sacramento-based resource to attend meetings on-site should that be required to benefit the County's efforts to support the CMIPS II implementation.

We will reach out to Ventura County and San Luis Obispo County (and possibly other counties who are part of the Group 1 roll-out) to understand their strengths, opportunities, and lessons learned for the CMIPS II project. Strategies or components of strategies of direct value to Santa Barbara County will be identified and presented for review to the County to determine the best course of action regarding coordination with these counties.

Expected outcomes would include finalizing our contract with the Department of Social Services, drafts for the agreed upon project management plan components, a project schedule/work breakdown structure, status reporting formats, frequency and content, an agreement on a staff schedule and specific County site placement for Treinen resources, and a preliminary engagement approach and tactical plan to address each of the project functions: Project Management Activities, Business Process Re-engineering, Communications and Public Outreach Activities, Data Readiness Activities, Site Preparation Activities, Training Activities, and Post Implementation Activities.

- **Finalize Key Project Planning Deliverables**

During the following month, we would aim to have a signed-off set of project deliverables that authorizes the expanded project team (including Treinen resources), identify key users or staff that will be accessed to support project work (e.g. business process re-engineering) and key constituents and stakeholders.

Thus, the project management plan, charter with roles and responsibilities, and first draft of a detailed project schedule should be concluded. Communications and Public Outreach activities with key stakeholders would also commence to gather feedback and assess their needs and expectations.

Attendance at any State level meetings would also occur during this time.

- **Engage in Business Process Re-engineering and Data Readiness Activities**

Once the project formation has been addressed and word has been circulated that the project is moving forward, our team will concurrently address the business process re-engineering, and data conversion planning/data quality analysis tasks.

The Treinen Business Lead for business process re-engineering will work to establish relationships with and develop an approach to engage with the County's knowledge workers to develop the current (or "as-is") work flow models and review of existing documentation (procedure manuals for example) for CMIPS. There will usually be a series of interviews and work sessions we would propose to the County's Management Team. Typically, we would lay out a scripted agenda and via facilitated meeting sessions, gather vital information to allow the Treinen Business Lead to document the business processes models supporting legacy CMIPS. Since County staff involved will continue to have normal job demands yet be asked to meet with us, answer questions, review drafts, and approve or verify that our flows are accurate, we will employ a number of practices to limit the CMIPS II project demands as much as possible.

The Treinen Project Manager will address data conversion and readiness, knowing that the initial challenge may be getting access to key technical information such as a

CMIPS II data dictionary, data base schemas and structures, business rules, validation/edit procedures, conversion reports, and actual data. Activity around this would include time to ensure security and access rights are established, setting up copies of key data stores for our team to do assessments, setting up disk space, access and connectivity to the data, and lastly, carefully allotting time with key Department of Social Services Information Technology staff to educate us, address any questions we may have, and verify our assessments/findings. Additional work may be identified as it relates to performing data cleanup or providing recommendations to the County CMIPS II project manager/OSI if batch or mass-adjustments are needed to support bringing provider, recipient and service category data into alignment with CMIPS II system.

Lastly, there are several areas to other infrastructure assessment and readiness that need to be addressed such as interactions and dependencies of other systems or applications used by the County, security rights and user account setup for County staff in CMIPS II, data archival and storage needs, and other technical considerations that result from CMIPS II implementation.

- **Engage in Site Preparation/Equipment Identification Activities**

The Treinen Project Manager will also participate in one or more site preparation surveys as required, to ensure that a clear understanding of site-readiness is available. As well, the Project Manager will work closely with the DSS IT Manager to identify new equipment which will be necessary for the operation of CMIPS II, the cost of the equipment, so it can be procured in a timely manner through the County's procurement process.

As a result of this specific activity, the Treinen Project Manager will prepare a site readiness report which summarizes the findings, areas that need attention and applicable actions or action plans needed to ensure physical equipment, space and resources will support the CMIPS II implementation.

- **Identify, Track, and Manage any Project Issues or Risks**

We assume there will be a number of project issues and risks related to the CMIPS II project. There appear to be many outside dependencies; budget and time constraints, resources may be hard to obtain during certain times, and the economic realities of today may force different priorities within the Department of Social Services. It is our expectation that there will be a need to remain diligent in the managing of project issues and risks, reporting frequently to owners and project leaders, and developing the appropriate corrective action plans, decision logs, and contingencies as needed – focusing on those more severe risks and issues foremost. Effective risk management will be applied throughout the entire project lifecycle.

- **Provide Project Updates to Stakeholders (Reporting Requirements)**

During all phases of the project, our team will support the stakeholder community's need for information about the CMIPS II Project. This will include developing or contributing to project communications, status reports, debriefings, and holding meetings with the public as needed. This will include the preparation, submission, and maintenance of specific reports and items as noted below:

- An accurate, timely status report submitted by the 5th day of each month, summarizing the County's progress of tasks on the State approved Work Plan. This includes timelines and deadlines that were met/not met, and steps taken to ensure that barriers to completion are resolved.
- A quarterly progress report of all activities associated with CMIPS II project management activities, business process re-engineering; communication and outreach; data readiness; site preparation; and training.

- Upon request, all agendas and minutes from the CMIPS II workgroups, meetings with the state, stakeholders, and Implementation Team, etc.
- **Communications and Public Outreach**
 Communications and Public Outreach shares some similarities with “**Provide Project Updates to Stakeholders**” (above), in that it supports the stakeholder community’s need for information about the CMIPS II Project. Communications and Public Outreach focuses on identifying the numerous project stakeholders (IHSS staff, Public Authority, recipients, providers, advocacy groups and others), creating the appropriate communication strategies to reach all stakeholders, and executing those communication strategies. Stakeholders need to receive accurate, timely information appropriate for their individual needs on an ongoing basis.

The key point of this activity is that it needs to be a proactive process to manage stakeholders, convey relevant and value-added information, and it should support the bi-directional flow of information (meaning that stakeholders need a forum to express their concerns, needs or thoughts to the CMIPS II project staff and leadership).

A Communication Plan will be created to facilitate this process, defining the avenues, intervals, and methods of communication that will be maintained with each stakeholder group. The County CMIPS II Project Manager will use the communication plan template provided by the State Implementation Coordinator (IC) to develop and execute a Santa Barbara County communication plan, providing a framework for project information exchange within and outside the CMIPS II project.

- **Address The Department’s Readiness for the Engagement and Implementation Stage of CMIPS II**
 A key step in planning for the transition to a new or modified system such as CMIPS II is conducting various preparedness activities. There are three perspectives to this view: staff/users, providers/recipients, and the system/vendor. Our approach ensures all three pieces are addressed as part of moving through the Pre-engagement stage and preparing the Department of Social Services for the Engagement and Implementation stage.

B. Engagement and Implementation Phase Activities

- **Maintain Management of the CMIPS II Project**
 After the Project Initiation effort in which the CMIPS II Project Manager has met with management, staff, workgroups, and stakeholders, established a project work plan, timelines, deliverables, and (if needed) a project charter and project management plan, project management efforts will move away from initiation and into the day to day management responsibilities.

The CMIPS II Project Manager responsibilities will include compiling a list of potential CMIPS II users and locations, and facilitating at least two workgroup meetings per month. Responsibilities will also include participating in Functional area workgroups, Pre-Engagement workgroups, Executive Briefings, CMIPS II State meetings, Monthly Pre-Engagement and Engagement status meetings, and Periodic surveys and assessments. Risk and issue management takes on an increasingly larger role, including watching for County initiatives and activities that may impact the County CMIPS II implementation.

The CMIPS II Project Manager will collaborate with Information Technology to identify CMIPS II equipment, procure the equipment, and ensure it is installed and configured prior to implementation. The CMIPS II Project Manager will be active with the Business Process Re-engineering Lead and Training Lead and their respective workgroups to ensure that planned progress is made on both fronts, and that critical

communication is occurring between BPR and Training (hand-offs of written policies, procedures, and processes to Training from BPR) in a timely, ongoing manner that supports ongoing progress.

Communications and Public Outreach activities will shift into high gear, following the approved Communication Plan created during the beginning of the project. As defined in the Communication Plan, stakeholders will have an ongoing forum to express concerns and questions to the CMIPS II project staff and leadership, a process which historically improves stakeholder buy-in and system acceptance.

- **Lay the ground work for the “to-be” state and conduct the gap analysis**
After completing the as-is framework from the business process re-engineering activities, we would examine the future state of the business based on the new CMIPS II system. The first step is to lay out what the future “to-be” flows and processes will be, through diagramming and modeling. Subsequently, our focus would be to identify potential differences between the business processes supporting legacy CMIPS (“as-is”) and those that will support CMIPS II (“to-be”). These gaps will be prioritized and assessed by their impact to the Department of Health and Human Services in a formal Gap Analysis deliverable. Options and alternatives will be identified and presented to CMIPS II project leadership for action and/or decision.
- **Continue to Provide Project Updates to Stakeholders (Reporting Requirements)**
During all phases of the project, our team will support the stakeholder community’s need for information about the CMIPS II Project. This will include developing or contributing to project communications, status reports, debriefings, and holding meetings with the public as needed.
- **Expand Communications and Public Outreach Activities**
As a continuation of the Pre-Engagement phase, the Treinen Business Lead will ensure the project proactively manages stakeholders, conveys relevant and value-added information, and support the bi-directional flow of information exchange (meaning that stakeholders need a forum to express their concerns, needs or thoughts to the CMIPS II project staff and leadership).
- **Prepare for and Engage in Training Activities**
The Treinen Business Lead will begin by meeting with County staff in charge of training to confirm understandings and expectations. This will be followed by two fact-finding activities: Collecting information and responding to surveys that will be developed and analyzed by the State, and conducting a personal computer (PC) skills needs assessment.

While the surveys and assessment are in progress, our Business Process Re-engineering lead will be working with the BPR workgroup to eventually create new written policies and procedures that the Training workgroup can later use for the Training curriculum.

As appropriate, the State’s PowerPoint Personal Computer (PC) certification will be used to develop and deliver a training curriculum that is geared toward preparing end-users (current and potential) to use the new CMIPS II system, during the Engagement and Implementation Stage.
- **Maintain Project Issues or Risks Management Activities**
The Treinen Project Manager will continue to managing the issue and risk processes for the CMIPS II project. During this phase, there may be events or risk “triggers” that occur that require more planning and mitigation development. It may be possible that contingency plans are developed if risks are significant enough to the County.

Reports from the chosen risk management tool will continue to be produced, but the frequency of the reviews with County management most likely will increase during this phase.

- **Complete BPR Activities and Data Assessment/Readiness Activities**

With the Gap Analysis now completed and approved, work can commence on prioritizing, defining, and approving new and updated business processes, procedures, and policies that will be 1) implemented with the new CMIPS II system, and 2) passed directly to Training for incorporation into appropriate training curriculum and training content. Many important factors come into play, but two are noted here:

- The creation of new and updated business processes, procedures, and policies is a fluid process. In some cases, it can be written and locked down; in other cases it is virtually impossible to create a “final version” until the process, procedure, or policy has been implemented and executed in production under various working conditions. The key here is to remain flexible, especially when creating new policies, procedures, and processes. Success is achieved by striving for acceptability, not “perfection” when creating new documents. It is wise to plan on re-visiting new policies, procedures, and processes after implementation, once users have had a chance to embrace them on an overall basis for doing business.
- The Training team requires significant lead time to incorporate new/updated policies, procedures, and processes into their training curriculum and content. From a learning perspective, it is preferable for the Training Team to receive policies, procedures, and processes and be informed which ones are subject to change, than to receive them too late to incorporate into their training content. Here the byword is “refinement” rather than “rework.”

With respect to Data Readiness activities, once the initial Data Assessment activities are completed, a Data Conversion Plan will be created and approved, describing in detail the steps that will be taken to physically prepare the data for migration. The Data Readiness lead will work closely with the data conversion team to examine all of the inputs and outputs to CMIPS data and create the most suitable plan for Santa Barbara County. For example, in most environments, it is advantageous to perform the actual data conversion immediately prior to implementation.

Data cleanup and conversion is an iterative activity that often contains many sequential steps necessary to produce the desired results. The Data Readiness lead will work with the data conversion team to perform manual and automated data correction activities before and after the conversion from CMIPS to CMIPS II. This includes performing manual and automated data cleanup / conversion activities. The Data Readiness lead will create test plans for various activities to ensure that the actual results match the anticipated results. Throughout this process, it is important to work from regular, ongoing data readiness reports.

- **Procure and Install Site Equipment**

The Project Manager will continue to work closely with the DSS IT Manager on the Site Preparation Activities. After site preparation surveys have been completed and workstation Hardware/Software needs have been confirmed, and a Site Preparation connectivity needs assessment has been completed, the results will be compiled and verified. Equipment that has been specified will be reviewed and approved for purchase by the County. The Project Manager will work with the DSS IT Manager to initiate the County procurement process. A potentially wide array of equipment will be required (hardware, software, network/connectivity equipment, printers, etc.). Sufficient lead time is necessary to allow for proper solicitation and vendor selection,

as all mission-critical equipment must be installed and configured before CMIPS II implementation.

- **Create Training Curriculum and Content and Provide Training**

Based on the results of the training surveys that will be developed and analyzed by the State, and a personal computer (PC) skills needs assessment that has been completed, the Training Lead will work with the Training workgroup to begin development of a curriculum and training content that is appropriate for the varied needs of the CMIPS II users.

The Training workgroup will develop new content, based on core system functionality, in addition to incorporating new/updated processes that the BPR workgroup has created.

Depending on the learning needs that have been defined, a combination of training methods may be employed, ranging from classroom training to web-based training. Based on the results of the PC skill needs assessment, PC training may be identified as a pre-requisite for CMIPS II training. For CMIPS training to be a success, sufficient time must be built into the overall training plan for PC training (as required) and CMIPS II training.

Training will be scheduled to occur in a time period as close to implementation as possible, so the learning experience is fresh in every participant's mind.

- **Prepare for and Implement CMIPS II**

The Project Manager will work closely with the State Implementation Coordinator, Santa Barbara County management, Information Technology, and all the established workgroups to ensure that all necessary steps have been taken to enable a smooth implementation. The Project Manager will also work with the County to ensure that tools provided by the State will be utilized during the County's implementation process.

Implementation strategies with the neighboring counties of Ventura and San Luis Obispo will be examined to see if their coordination with Santa Barbara County is advantageous to Santa Barbara County's CMIPS II implementation.

Implementation planning is similar to project planning in many ways, but ultimately, it differs in one important respect: an Implementation Plan is best viewed as a huge checklist of detailed, sequenced steps that must be completed in order and on time for a successful deployment and migration of application, system, personnel and supporting processes.

The Project Manager will ensure compliance with the State-approved work plan, activities, and timeframes, as determined by the State Office of Systems Integration (OSI), and ensure a successful CMIPS II implementation in Santa Barbara County.

C. Post-Engagement Phase Activities

- **Complete Post Implementation Activities**

Treinen will perform monthly system performance reviews, based on sources including system logs, Information Technology input/feedback, Help Desk tickets, etc.

Effective Change Configuration Management has many benefits, ranging from increasing the stability and efficiency of the system, to reducing risks associated with software/hardware maintenance and upgrades. In turn, this lowers system operating costs, eliminates expensive delays, frees up engineering time, and greatly reduces mistakes that occur when performing work on the system. As part of the Post Implementation activities, Treinen will integrate Change Configuration Management to

provide a system that supports standardized and repeatable control over how formal and informal changes to the CMIPS II system are made.

Treinen will act in the role of Change Configuration Manager to ensure that all individuals permitted to make system changes follow pre-defined steps, and that these steps are kept up to date.

As a separate Post-Implementation activity, Treinen will administer a formal “lessons learned” activity to improve implementation efforts in the future. Treinen’s approach is to also contact other Counties for lessons learned, as this can save Santa Barbara County significant time, resources and money.

III. ANTICIPATED PARTICIPATION BY COUNTY PERSONNEL

In order for Treinen Associates to properly support the CMIPS II project, access to certain information and resources will be required. Specifically, we envision the following is needed for each part of the scope of work.

A. Project Management:

- Access to County personnel who are serving as the project manager and executive sponsor. We estimate that on average about 4 to 6 hours per week are needed for the first couple of months; thereafter we would need about 2 hours per week on average.
- Access to existing or prior project information about the project, personnel, systems, issues, risks, reports or studies done related to the CMIPS II project.

B. Communications and Public Outreach:

- Access to representatives from various stakeholder groups (IHSS staff, Public Authority, recipients, providers, advocacy groups and others) that Santa Barbara County needs to maintain Communications and Public Outreach with throughout the project, and who need to be properly represented in the Communication Plan. We estimate that on average about 8 to 10 hours per week are needed for the first 1-2 months; thereafter we would need about 4 hours per week on average.
- Access to the communication plan template provided by the State Implementation Coordinator (IC) to develop and execute a Santa Barbara County communication plan.

C. Business Processing Re-engineering:

- Access to County personnel who are knowledgeable about the current processes. We estimate about 10 hours of combined staff time are needed per process.
- Access to existing documentation: operational guides, procedure manuals, user guides, on-line training system access, reports, training materials, instruction manuals, etc.

D. Data Readiness:

- Access to County personnel who are knowledgeable about the current databases and systems that support the provider case management and payroll activities. We estimate about 30 hours of combined County staff time are needed for data readiness to address questions, consult with on findings and assist with access to data stores.
- Limited access to County staff computer systems that will be used for the CMIPS II application to conduct system assessment activities.
- Access to existing documentation: data dictionaries, data schemas, data structures, etc.
- Copies of key databases that will be targeted for data conversion. There could be some encryption or desensitizing activities we would need County IT personnel to assist with (e.g. removing SSN's).

E. Site Preparation:

- Access to County personnel who are knowledgeable about the current technical infrastructure (hardware, software, network/connectivity equipment, printers, etc.) and systems that support the provider case management and payroll activities. We estimate about 20 hours of combined County staff time are needed for site preparation to coordinate needs assessments, connectivity needs assessments, help identify ancillary systems and their potential impacts, and assist in the County procurement process.
- Limited access to County staff computer systems that will be used for the CMIPS II application to conduct assessment activities.

F. Training:

- Access to County personnel who are knowledgeable about current training curriculum and content. We estimate about 3 hours of combined staff time are needed per process.
- Access to existing documentation: operational guides, procedure manuals, user guides, on-line training system access, reports, training materials, instruction manuals, etc.
- Access to the State's PowerPoint Personal Computer (PC) certification to develop and deliver a training curriculum that is geared toward preparing end-users (current and potential) to use the new CMIPS II system.

IV. SUMMARY OF TREINEN ROLES AND EXPECTATIONS FOR EACH FUNCTIONAL ACTIVITY

A. Project Management Activities

Contractor shall establish, lead, and/or participate in:

- *Functional area workgroups*
- *Pre-Engagement workgroups*
- *Executive Briefings*
- *CMIPS II State meetings to keep abreast of project*
- *Monthly Pre-Engagement and Engagement status meetings*
- *Periodic surveys and assessments*

Treinen Associates, Inc. brings an extremely strong and mature project management approach and set of skilled personnel to execute the project management activities.

For Project Management, Treinen:

- Provides leadership for all levels of project management support services to clients on small, medium and large-scale projects
- Brings full project management plan development, consistent with PMI standards to our engagements
- Utilizes SharePoint and our own custom issue, risk and action item tools in support of project management activities
- Delivers solid risk management skills to ensure complex and multi-year/phase projects are delivered on time
- Develops appropriate project schedules, work-break down structures and supporting reports using MS Project
- Manages multiple vendors and cross-project (portfolio) resources effectively
- Ensures excellent communications among project team, sponsors and stakeholders through formal status reports, executive debriefings, outreach campaigns, or presentations
- Works extensively with public sector clients, where independent oversight services or information services boards/governance agencies are involved

Functional Area Workgroups

Each of the 6 functional area workgroups has been established to fulfill a unique purpose, and collectively fulfill the needs of the project. There will be 6 county workgroups reporting to the Project Manager (Business Process Re-engineering, Data Readiness, Training, Site Preparation, Communications, and Public Outreach). As the Project Manager, Treinen will facilitate at least two CMIPS II workgroups per month, including the maintenance of all agendas and minutes from the CMIPS II workgroups.

Pre-Engagement Workgroups

To facilitate the process of moving the project successfully towards Engagement and Implementation, there may be several workgroups established during Pre-Engagement. The Project Manager will create workgroups as required to fill this need. As required, the Project Manager will lead and/or participate in existing Pre-Engagement workgroups that Santa Barbara County has established before the CMIPS II Project Manager contract.

Executive Briefings

Upper management will receive briefing on a regular basis regarding the status of the project, progress, milestones met, major issues, and risk management being applied to mitigate potential threats to the project's progress.

CMIPS II State meetings to keep abreast of project

The Project Manager will maintain communications between State Agencies and the Santa Barbara CMIPS II project to ensure ongoing understanding, concentrated action, and cooperation. The Project Manager will also meet with State Implementation Coordinators to identify and address potential problems, resolve problems in a timely manner, mitigate risks, develop responses should risks occur, and ensure that issues are being resolved.

Monthly Pre-Engagement and Engagement status meetings

Meetings will be held monthly to provide status updates on Pre-Engagement and Engagement progress, including:

- Items on Schedule
- Items not on schedule
- Delays
- Risk Management

Periodic surveys and assessments

The Project Manager will participate in one or more site preparation surveys throughout the 14-month Pre- Engagement Stage. The Project Manager will also assess communication needs for each stakeholder group and timing.

The Project Manager will oversee:

- Preliminary business change assessment for the Business Process Re-engineering portion of the project
- Planning for data conversion, including assessing the quality, accuracy and completeness of the County's data within legacy CMIPS that will be migrated to CMIPS II
- Assessment of workstation Hardware/Software needs (workstations, additional printers, etc.) and participate in a connectivity needs assessment
- A personal computer (PC) skills needs assessment for Training.
- An Impact Assessment to CMIPS-related ancillary systems, as part of the Site Preparation activities

Contractor shall identify:

- *The need for CMIPS II equipment & collaborate with IT to ensure it is available prior to implementation*
- *County initiatives and efforts that impact County CMIPS II implementation.*
- *State Implementation Staff workspace for Engagement and Implementation*
- *Risk and issue identification*

The need for CMIPS II equipment & collaborate with IT to ensure it is available prior to implementation:

In addition to preparing the business units for the CMIPS II system, an important Engagement activity is properly identifying the necessary hardware and equipment to provide the intended functionality, now, and throughout the upcoming years in the systems lifecycle. As part of the Project Manager role, Treinen will work to ensure that CMIPS II equipment is identified in a timely manner, and will collaborate with designated Information Technology resources to make certain that it is available when it is needed, before implementation. A site readiness report will be produced.

County initiatives and efforts that impact County CMIPS II implementation:

The CMIPS II project is one of many high-profile Santa Barbara County initiatives already in progress, or yet to be scheduled. A successful CMIPS II implementation at Santa Barbara is one that works cooperatively with other initiatives and efforts.

With respect to the CMIPS II project, effective risk management refers not only to reducing current risks to manageable levels, but also to pro-actively addressing new County initiatives in a way that clearly embraces their importance, integrating value they may offer, respecting their unique needs, yet minimizing the addition of unnecessary risk in the process. Scope management is an important part of the Project Manager's responsibilities when properly addressing such initiatives.

State Implementation Staff workspace for Engagement and Implementation

Throughout the project lifecycle, staff requirements fluctuate depending on the specific stage of execution. It is important to be aware of this and plan in advance, so the project schedule and budget is not compromised as a result of inadequate planning for staff workspace during the Engagement and Implementation stage. Staffing requirements are dependent on many variables, including the degree of system customization necessary, whether the system is a custom developed or Commercial Off The Shelf (COTS) package, the degree of testing necessary, overall project timelines (a compressed schedule tends to demand more resources), whether the new system is an upgrade to the old system, or a major overhaul, etc. All factors need to be considered when calculating staff workspace required for Engagement and Implementation stages of the project.

Risk and issue identification

There appear to be many outside dependencies, budget and time constraints, resources may be hard to obtain during certain times, and the economic realities of today may force different priorities within the Department of Social Services. It is our expectation that there will be a need to remain diligent in the managing of the project issues and risks, report frequently to owners and project leaders, and develop the appropriate corrective action plans, decision logs, and contingencies as needed – focusing on those more severe risks and issues foremost. Effective risk management will be applied throughout the entire project lifecycle.

Contractor shall compile:

- *A list of potential CMIPS II users and locations*
- *Pre-Engagement progress reports & report progress to County and State*

A list of potential CMIPS II users and locations

An important part of preparing for the CMIPS II implementation is the creation of a representative list of potential CMIPS II users and their respective physical locations. Obtaining a clearer understanding of the user base, including the number of total users and where they are situated, is important from several perspectives. It is important primarily in terms of proper system sizing, planning training effort, planning support effort, and planning the public outreach and communication effort. It may also be a factor in terms of estimating business process re-engineering effort, estimating site preparation effort, and planning post implementation activities.

Pre-Engagement progress reports & report progress to County and State

During all phases of the project, The Project Manager will report status and progress to the County and the State. This will include the preparation, submission, and maintenance of an accurate, timely status report submitted by the 5th day of each month, summarizing the County's progress of tasks on the State approved Work Plan. This includes timelines and deadlines that were met/not met, and steps taken to ensure that barriers to completion are resolved.

B. Business Process Re-engineering Activities

1. *Compile current County IHSS organization chart, policies, and procedures considering the enhanced capabilities of CMIPS II.*
2. *Coordinate & participate in County personalization of Statewide templates and implementation documents for County specific processes and procedures.*
3. *Review Statewide Gap Analysis Overview and Instruction.*
4. *Conduct preliminary business change assessment.*
5. *Identify initial business changes.*
6. *Work with County management to brief labor organizations on potential changes to identified classifications.*
7. *Finalize establishment of Business Process Re-engineering workgroup members.*

Treinen Associates, Inc. will approach this core function as outlined below.

For Business Process Re-engineering (BPR), Treinen:

- Brings mature and proven methodologies to the development of "as-is" (also known as the current state) and "to-be" (also known as the future state) BPR models
- Identifies potential gaps or conflicts (also known as the Gap Analysis) between "as-is" and "to-be" business processes (e.g. between Legacy CMIPS and CMIPS II), assesses the impacts, costs, and provides recommendations on how to address the gap items
- Works with clients to accurately assess the impacts of BPR efforts, from staff duties/roles and the cost/benefit of changing the systems or the processes to development of step-by-step procedures to support transition, knowledge transfer and training
- Examines processes to determine efficiencies and costs, and identifies areas for improvement based on data, facts, and measures
- Provides strong leadership and confidence when engaging with line staff and subject matter experts that focus on workflow and systems' interactions to overcome issues related to individual staff or department ownership.

Once the project formation has been addressed and word has been circulated that the project is moving forward, our team will address the two scope items: business process re-engineering and data conversion planning/data quality analysis.

Business process re-engineering requires access to knowledge workers to develop the current (or “as-is”) work flow models and compilation and review of documentation such as organization charts, policies and procedures. Thus there will usually be a series of interviews and work sessions we would propose to CMIPS II Project Management. We would lay out a scripted agenda and via facilitated sessions, gather vital information to allow us to document the business processes supporting legacy CMIPS. This can be quite time consuming because it requires staff that have normal job demands to be freed up to meet with interviewers/facilitators, answer questions, review drafts, and approve or verify that our flows and narratives are accurate. As we are very experienced in this, we can employ a number of practices to help reduce demand on staff time.

The BPR effort will include review of Statewide Templates, Gap Analysis and other documents as needed to ensure compliance and capitalize on work already done at the State level. This will also contribute to the effectiveness of the Project Manager’s liaison activities with the State and other Counties.

We propose that specific outcomes of the BPR effort (in coordination with the other requirements, particularly Data Readiness, Communication and Training) will include a Readiness Assessment (“conduct preliminary business change assessment”) and a Transition Plan (“identify initial business changes”), as well as artifacts such as current state diagrams, future business model diagrams, supporting narratives, training recommendations, etc.

In order to achieve high productivity and to leverage learning during BPR, we propose that Training Activities planning be developed in coordination with the BPR effort. This will increase the County’s level of confidence in timely, accurate and complete Training Activities.

C. Communications and Public Outreach Activities

1. *Assess communication needs for each stakeholder group and timing.*
2. *Conduct Pre-Engagement CMIPS II overview for staff.*
3. *Establish communication methods (e.g. web conferences, shared folders, etc.)*
4. *Develop and execute Pre-Engagement Communication Plan.*

Treinen Associates, Inc. will approach this core function as outlined below.

For Communications and Public Outreach, Treinen:

- Recognizes this is one of the vital areas that must be appropriately planned, managed, and executed in order to achieve success in a project
- Brings proven methods to engage numerous stakeholders and ensure mechanisms are established to maximize stakeholder participation
- Assists in documenting the stakeholder community, their needs and expectations to support project effort
- Ensures excellent communications among project team, sponsors and stakeholders through formal status reports, executive debriefings, outreach campaigns, or presentations

- Works extensively with public sector clients, where independent oversight services or information services boards/governance agencies are involved
- Orchestrates strong leadership that allows for bi-directional communications with stakeholders and reveals appropriate levels of “project transparency” to increase confidence and trust within the stakeholder community
- Is highly experienced in making clear, concise and coherent presentations to senior-level executives, managers and their teams, paving the way for appropriate follow-up and actions
- Monitors the effectiveness of communications efforts, including content, format, structure, timing, accuracy as well as compliance with State and/or County communications policy/guidelines
- Conducts on-going maintenance of status reports, project timelines, briefings and other information dissemination, insuring both coherence and consistency of facts, action items, performance measures and assessments for the duration of the project
- Develops and maintains formal (and informal as appropriate) feedback mechanisms that keep project management abreast of important occurrences and shifts or changes in temperament of stakeholders in order to anticipate and pro-actively address ad-hoc communications needs
- Builds vital consensus among constituents/stakeholders through expert presentation, facilitation, and if needed, training and/or coaching
- Identifies communications/public outreach “milestones” that affect buy-in and enthusiastic support of stakeholders, and synchronizes these with project deliverable milestones
- Has broad experience in communicating effectively with union representatives and members and other advocacy groups to ensure a fully informed and actively participating stakeholder community

For each stakeholder group that we identify, we will:

- Assess information dissemination needs, such as main areas of concern, best type of content, best type of media for one-way communication, best type of media for two-way (interactive) communication, level of detail required, frequency of interaction, etc.
- Develop and execute a coordinated Communication/Outreach plan and schedule based on these assessments.
- Structure the Communication plan so it includes routine outreach meetings with key stakeholders and establishment and maintenance of standard communication packages in appropriate media (e.g. newsletters, county website, webinars, shared folders, surveys, helpdesk, etc.)
- Design and deliver Pre-Engagement CMIPS II overview for staff, which may involve multiple media to make sure all staff has been reached. These may include PowerPoint Presentations, Web conferences, and/or notification campaigns.
- Solicit ongoing feedback via clear invitations and statements of how to convey that feedback to appropriate recipients. This is an important aspect of staff overview delivery that will help enhance and sustain trust and enthusiastic participation in the project, as well as provide important insight for continued refinement of the communication plan.

D. Data Readiness Activities

1. Identify database files/elements in legacy CMIPS used for county-specific functions.
2. Analyze ancillary system data and plan for extraction.
3. Receive and work data readiness reports. Track & report progress of data readiness cleanup activities.

4. Data to be fully prepared for Go-Live Conversion scheduled for 10/2010

Treinen Associates, Inc. will approach this core function as outlined below.

For Data Readiness, Treinen:

- Provides leadership for all levels of project management support services to clients on small, medium and large-scale projects
- Brings full project management plan development, consistent with PMI standards to our engagements
- Utilizes SharePoint and our own custom issue, risk and action item tools in support of project management activities
- Delivers solid risk management skills to ensure complex and multi-year/phase projects are delivered on time
- Develops appropriate project schedules, work-break down structures and supporting reports using MS Project
- Manages multiple vendors and cross-project (portfolio) resources effectively
- Ensures excellent communications among project team, sponsors and stakeholders through formal status reports, executive debriefings, outreach campaigns, or presentations
- Works extensively with public sector clients, where independent oversight services or information services boards/governance agencies are involved
- As required, coordinates with the data conversion team to address manual and automated data correction activities pre- and post-conversion.
- As required, provides staff to perform manual and automated data cleanup / conversion activities.

Treinen will leverage its CMIPS subject matter knowledge and data readiness expertise to work with designated CMIPS project staff to efficiently identify the files, tables, fields, and metadata necessary for functions executed by Santa Barbara County. For data conversion, the challenge is getting access to key information such as data dictionaries, data base schemas and structures, supplementary/ancillary data, business rules, conversion reports, and actual data.

Associated activities may include the necessary time to ensure security and access rights are established, setting up copies of key data stores for our team to do assessments, setting up space, access and connectivity to the data, and lastly, finding time with key Department of Social Services technical staff to educate us, address any questions we may have, and verify our assessment/findings.

A few of the factors we consider at this point in the data readiness planning include:

- The need for a well-defined target data structure model.
- An in-depth understanding of the functionality of the source data structure.
- Realizing that constant changes on the target model design have a corresponding negative effect on conversion process design.
- Source data quality, if poor, needs to be cleansed in order to be successfully migrated.
- The degree of complexity of the target model must be considered in relation to the source data model.

Once data access and orientation has been completed, data extraction planning can begin with the degree of confidence necessary to complete successful data readiness activities. Additional work may be identified as it relates to performing data cleanup or providing recommendations to the CMIPS II project manager if batch or mass-adjustments are needed to support bringing provider, client and service category data into alignment with CMIPS II requirements.

Sufficient time must be built into the data readiness plan to schedule appropriate iterative data cleanup processes. These processes are typically a combination of manual or automated activities, depending on their complexity and the most efficient means to provide the necessary results. During this time, it is crucial to receive and work from regular, ongoing data readiness reports. Treinen is proficient at tracking and reporting the progress of data readiness activities. From our experience, Treinen recommends that data readiness activities start as soon as they can be practically scheduled, to ensure that mission-critical data is fully prepared for the October, 2010 Go-Live Conversion.

E. Site Preparation Activities

1. Work with Information Technology as necessary to coordinate this portion of the contract.
2. Assess workstation Hardware/Software needs (workstations, additional printers, etc.)
3. Participate in connectivity needs assessment.
4. Order/Procure required equipment.
5. Identify CMIPS-related ancillary systems.
6. Assess impact to CMIPS-related ancillary systems.

Treinen Associates, Inc. will approach this core function as outlined below.

For Site Preparation, Treinen:

- Provides thorough assessment planning for each aspect of transition: data, user, and customer, for information technology projects where system change-over is involved
- Brings solid technical knowledge in health care, finance, and payroll data to assist the client in identifying the data issues early on in the project, crafts suggested solutions to address data-related and conversion issues, and quantifies the impacts of data issues to help prioritize work efforts or outline solution paths
- Prepares clients for infusion of new or different technology by accurately assessing current systems and workstations (hardware, software, operating system, security, configuration, connectivity, data interfaces/exchange, etc.)
- Applies pro-active risk management skills to ensure necessary hardware and software is properly defined and delivered on time
- Leverages our procurement experience to ensure that the appropriate equipment is obtained cost effectively
- Manages multiple vendors and cross-project (portfolio) resources effectively
- Brings full project management plan development, consistent with PMI standards to our engagements
- Utilizes SharePoint and our own custom issue, risk and action item tools in support of project management activities
- Develops appropriate project schedules, work-break down structures and supporting reports using MS Project
- Ensures excellent communications among project team, sponsors and stakeholders through formal status reports, executive debriefings, outreach campaigns, or presentations
- Works extensively with public sector clients, where independent oversight services or information services boards/governance agencies are involved

Computer software and hardware must be suited for the needs of the system throughout its lifecycle. This determination is based on a combination of business needs, which must then be met by a technical specification that is suitable within the current and near-

future technical infrastructure that it will live in. Treinen will work closely with the Information Technology group to successfully coordinate the Site Preparation activities in this contract. This will involve conducting a Connectivity Needs Assessment to confirm all incoming requirements. A formal Site Preparation Needs Assessment will be produced as a result of these efforts.

Once Information Technology and Treinen are satisfied with the usability of these results, Treinen will collaboratively draft a plan for purchase of hardware/software that meets the project requirements. As mentioned previously, the plan and all of its items must work within the existing technical infrastructure, so CMIPS-related ancillary systems must first be identified and assessed to determine what the impact to them will be as a result of the changes that will be implemented. Information Technology is a crucial partner in the successful planning of the subsequent County procurement process. Treinen will work closely with the business units and Information Technology to ensure that CMIPS II Site Preparation is a success.

F. Training Activities

1. *Adapting vendor training curriculum and methodologies for training of County staff.*
2. *Developing written policies and procedures identified in the GAP Analysis to ensure staff have necessary instructions to implement.*
3. *Working with Staff Development to implement training of new policies and procedures.*
4. *Conducting personal computer (PC) skills needs assessment.*
5. *Reviewing CMIPS II system training facility specifications.*
6. *Identifying and reserve facilities for CMIPS II system training.*
7. *Collecting information and responding to surveys that will be developed and analyzed by the State.*
8. *Using the progress reporting tools and training tools provided by the State.*

Treinen Associates, Inc. will approach this core function as outlined below.

For Training, Treinen:

- Creates robust training materials that include user guides, application manuals, detailed training materials, user exercises and surveys
- Interacts with users to assess their level of training need, and identifies areas of concern or additional training required to support transition to new systems or applications
- Provides actual training or supports trainers to ensure that information is understood and easily accessible, and conducts follow-up activities to ensure staff /users are able to do their job
- Conducts various staff readiness activities that, in conjunction with the communication planning efforts, sets the stage early on for measuring the organization's readiness for change/implementation
- Prepares for hands-on support for clients to augment any client or vendor training provided and supports "after the fact" training evaluations and check-ins to ensure that any challenges or issues are documented and action plans developed
- Employs a highly successful, rigorous yet flexible adult education approach that ensures that training needs are fully met. Training development and delivery is guided by a Needs Assessment that includes resolution of the following requirements:
 - i. Who is being trained – what are their roles, responsibilities, skills sets, etc?
 - ii. Why are they being trained – what individual, workgroup and organizational needs will be met by this training?

- iii. When are they being trained – not only times/dates, but also location in the overall CMIPS II program schedule as well as the lifecycles of impacted County processes? The timing of a given training is not a trivial factor.
 - iv. Where is the training – what is the nature of the training environment – what concerns of trainers/participants needs to be considered in planning?
 - v. What is the training for – what are the expected achievement-based outcomes and objectives of the training? How will this show up in practice?
 - vi. How will these outcomes be achieved – what is the action program comprised of – what is the sequence of learning tasks?
- Coordinates Training Activities with Business Process Re-engineering, Communications and Site Preparation Activities as needed to ensure coherent and consistent training outcomes.

Without effective training, the implementation of a new system stands little chance of full success. In order to ensure that users of the new system have the competencies necessary to fulfill their tasks with CMIPS II, Treinen will engage in a number of activities. We will make sure that our training curriculum and methodology take into account the County's policies, standards and practices so that Training Activities are integrated as seamlessly as possible into the overall CMIPS II Project and are welcomed by staff as an opportunity for continued learning and professional development.

By conducting a thorough review of Business Process Re-Engineering outcomes as well as results of the GAP Analysis and any other pertinent sources of information, we will be able to develop a curriculum that implements new policies and procedures as required. This may include skills inventories (including but not limited to personal computer skills), knowledge transfer activities, role/responsibility protocols and workflow/coordination standards and practices. We will utilize State-developed training tools to support this effort.

Successful Training Activities also rely upon the proper physical environment. Upon review of the CMIPS II training facility, we may make requests or recommendations to ensure that trainees are in an optimal environment for learning. This includes sufficient physical space for presentation and training activities, as well as proper furniture, fixtures, equipment and materials. Treinen will also make sure that training facilities are reserved and prepared in a timely manner and in accordance with CMIPS II project schedules.

As an integral part of the Training Curriculum, Treinen will monitor the success of Training Activities in three ways: first, in terms of objective demonstrable competencies acquired by trainees; second, in terms of observed aspects of training design and delivery that can be improved; and third, in the form of surveys which will be used to determine success of Training Activities as evaluated by staff and their managers. Treinen will utilize State-developed surveys and progress reporting tools to support the monitoring/reporting function.

Training Activities will be closely coordinated with BPR, Communications and Site Preparation Activities to ensure coherent and consistent CMIPS II Project deliverables and outcomes.

G. Post Implementation Activities

1. *Perform monthly system performance reviews;*
2. *Perform activities to include change configuration management;*
3. *Oversee 'lessons learned' efforts to improve implementation efforts in the future.*

Treinen Associates, Inc. will approach this core function as outlined below.

For Post Implementation, Treinen:

- Provides leadership for all levels of project management support services to clients on small, medium and large-scale projects
- Manages multiple vendors and cross-project (portfolio) resources effectively
- Applies pro-active risk management skills to ensure necessary hardware and software is properly defined and delivered on time
- Brings full project management plan development, consistent with PMI standards to our engagements
- Leverages our procurement experience to ensure that the appropriate equipment is obtained cost effectively
- Utilizes SharePoint and our own custom issue, risk and action item tools in support of project management activities
- Develops appropriate project schedules, work-break down structures and supporting reports using MS Project
- Ensures excellent communications among project team, sponsors and stakeholders through formal status reports, executive debriefings, outreach campaigns, or presentations
- Works extensively with public sector clients, where independent oversight services or information services boards/governance agencies are involved

It is very important to monitor the production performance of the system on a regular basis once “Go-Live” has occurred. Extensive planning and thorough testing can avoid or reduce most post-implementation problems, but it is never the same as actually having the system live, in production, under real operating conditions. Well-defined systems will provide a certain amount of success metrics or normal operating condition metrics (such as response times, transactions per second, data volumes, data transfer rates, etc.)

Treinen will perform monthly system performance reviews, based on sources including system logs, Information Technology input/feedback, Help Desk tickets, etc. to report performance. Where possible, Treinen will report results according to design metrics. The goal will be to ensure that the entire CMIPS II system is operating as efficiently as possible.

As part of the Post Implementation activities, Treinen will integrate effective Change Configuration Management to provide a system that supports standardized and repeatable control over how formal and informal changes to the CMIPS II system are made. This has many benefits, ranging from increasing the stability and efficiency of the system, to reducing risks associated with software/hardware maintenance and upgrades. In turn, this lowers system operating costs, eliminates expensive delays, frees up engineering time, and greatly reduces mistakes that occur when performing routine or emergency work on system components.

There is an initial learning curve associated with individuals who will learn the Configuration Management methodology and the associated Change processes, and Treinen will build training into the process. As well, Treinen will act in the role of Change Configuration Manager to ensure that all users are following the pre-defined steps, and that these steps are refined as required.

As a separate Post-Implementation activity, Treinen will administer a formal 'lessons learned' activity to improve implementation efforts in the future. This process will determine what implementation processes worked, and what processes need more attention in future implementations. Treinen also recommends contacting other Counties for lessons learned, as this can save Santa Barbara County significant time, resources and money.

Treinen's commitment to Santa Barbara County is to eliminate unnecessary lessons learned wherever possible, through the use of careful planning, strong leadership, and pro-active risk management.

V. REPORTING REQUIREMENTS

Contractor shall:

- *By the 5th day of each month, submit an accurate and timely status report of the County's progress toward the completion of the tasks on the State-approved work plan, including timelines, deadlines that were met/not met, and steps taken to ensure that barriers to completion are resolved.*

Timely, accurate status reporting is crucial on any project, especially a project such as CMIPS II, which has detailed success criteria which includes: functional components that need to work together, interaction between Santa Barbara County and State, a large user base, etc. Status reports are an important mechanism to inform all interested sources exactly how the project is doing on a month-to-month basis.

- *Submit a quarterly progress report of all activities associated with CMIPS II project management activities; business process re-engineering; communication and outreach; data readiness; site preparation; and training.*

On a quarterly basis, a succinct, comprehensive report is needed to summarize progress and note significant changes or events by the many workgroups and project management. This information is needed in a user friendly format to meet the many diverse needs of the Santa Barbara CMIPS II project stakeholders. The quarterly progress report will show the big picture, focusing on how careful planning and collaborative work has moved each piece of the project along in unison, closer to the goal. This report will also indicate how high-level risk management efforts have paid off in terms of addressing larger risks that encompass many or all functional areas. Quarterly reports will be written consistently so they can be compared to previous quarterly reports, providing a clear indicator of overall progress from quarter to quarter throughout the project.

- *Maintain and submit, upon request, all agendas and minutes from the CMIPS II workgroups, meetings with the State, stakeholders, and Implementation Team, etc.*

As part of the project planning activities that begin when Treinen starts working on-site, plans will be put in place to capture all ongoing agenda/meeting information that occurs. This is a regular activity that Treinen schedules for the benefit of everyone involved in the project. Significant time and effort is saved throughout the project lifecycle by having a well-defined, well-managed source of project information that is readily available to appropriate project staff and personnel.

VI. PERFORMANCE MEASURES

Contractor shall:

- *Participate in one or more site preparation surveys throughout the 14-month Pre-Engagement Stage.*

Plans will be put in place immediately to begin creation of a site preparation survey that will be sent to appropriate sources for feedback during the Pre-Engagement stage. The Site Preparation Survey will focus on business and technical aspects of the upcoming CMIPS II implementation. Business aspects will include: anticipated growth/change in business transaction counts over the next 3-5 years¹, response time requirements, and how many years of historical data is required, etc. Technical aspects will include: data volumes that correspond to anticipated transactions and years of historical data storage, and response time, in addition to all of the considerations necessary for CMIPS II to work properly within the current and near-future Information Technology infrastructure.

- *Use the State's PowerPoint Personal Computer (PC) certification to develop and deliver a training curriculum that is geared toward preparing end-users (current and potential) to use the new CMIPS II system, during the Engagement and Implementation Stage.*

Treinen offers superior training services and will use the State's certification offering in conjunction with its experience and a formal training needs requirement process to offer the very best curriculum possible for current and potential CMIPS II users. Training will be provided during the Engagement and Implementation Stage.

- *Compile a list of potential CMIPS II users and locations, within the Pre-Engagement Stage.*

An important part of preparing for the CMIPS II implementation is the creation of a representative list of potential CMIPS II users and their respective physical locations. Obtaining a clearer understanding of the user base, including the number of total users and where they are situated, is important from several perspectives. It is important primarily in terms of proper system sizing, planning training effort, planning support effort, and planning the public outreach and communication effort. It may also be a factor in terms of estimating business process re-engineering effort, estimating site preparation effort, and planning post implementation activities.

- *Facilitate at least two (2) CMIPS II workgroups per month.*

As the Project Manager, Treinen will facilitate at least two CMIPS II workgroups per month, including the maintenance of agendas and minutes. The selected workgroups will probably vary from meeting to meeting, to provide the Project Manager an opportunity to work equally with all the functional workgroups and their members. The workgroups will benefit equally from receiving the same hands-on facilitation from the Project manager, and the Project Manager will maintain a more accurate pulse on each workgroup. This will become increasingly important as the project progresses and each workgroup's milestones come into play.

- *Identify and order all necessary equipment, during the Engagement and Implementation Stage, to ensure that it is on-site, prior to its scheduled installation date.*

In addition to preparing the business units for the CMIPS II system, an important Engagement activity is properly identifying the necessary hardware and equipment to provide the intended functionality, now, and throughout the upcoming years in the systems lifecycle. As part of the

¹ 3-5 years is used strictly as an example. CMIPS lifecycle years will be used in actual calculations when available.

Project Manager role, Treinen will work to ensure that CMIPS II equipment is identified in a timely manner, and will collaborate with designated Information Technology resources to make certain that it is available when it is needed, before implementation.

The Site Preparation Surveys are an important part of the equipment procurement process. The Site Preparation Survey will focus on business and technical aspects of the upcoming CMIPS II implementation, to ensure that the system components are sized to work properly throughout the CMIPS II lifecycle.

- *In coordination with County program staff, develop training, policy and procedures as identified in the GAP Analysis for successful implementation of CMIPS II.*

The Project Manager will oversee the Business Process Re-engineering activities responsible for the creation of appropriate training, policy, and procedures as identified during Gap Analysis. The Project Manager will ensure that County program staff is aware of the time commitments and responsibilities needed for them to help create the necessary deliverables.

- *Prepare a comprehensive list of 'talking points' that identify the potential changes caused by CMIPS II that could impact job classifications and result in the need for labor negotiations.*

With any new system comes change in a variety of forms. Treinen has recent related experience with work that affects job classifications, and experience with many aspects of system design that directly affect labor negotiations. We would be pleased to assist in identifying potential changes caused by CMIPS II that could impact job classifications. We can help in this regard by preparing a meaningful list of talking points or by facilitating workgroup meetings with affected stakeholders.

- *Use the communication plan template provided by the State Implementation Coordinator (IC) to develop and execute a Santa Barbara County communication plan, that provides a framework for project information exchange within and outside the CMIPS II project.*

A well-written Communication Plan helps to ensure that clear, ongoing communication takes place. It defines the channels, frequency, and types of communication that have been selected for various project stakeholders. The Communication Plan is a living document i.e. it may change throughout the life of the document as required. Treinen will be pleased to develop and execute a Santa Barbara County Communication Plan. Work will begin during the project's first month.

Contract Summary Form: _____ Contract Number: _____

D1. Fiscal Year : FY09/10, FY 10/11
D2. Budget Unit Number (*plus -Ship/-Bill codes in paren's*) : 044
D3. Requisition Number : N/A
D4. Department Name : Social Services
D5. Contact Person : Judy Doughty
D6. Phone : 346-7302

K1. Contract Type (*check one*): ☒ Personal Service ☐ Capital Project/Construction
K2. Brief Summary of Contract Description/Purpose : CMIPSI Project Management
K3. Original Contract Amount : \$161,094
K4. Contract Begin Date : 1/5/10
K5. Original Contract End Date : 2/28/11
K6. Amendment History (*leave blank if no prior amendments*):

<u>Seq#</u>	<u>EffectiveDate</u>	<u>ThisAmndtAmt</u>	<u>CumAmndtToDate</u>	<u>NewTotalAmt</u>	<u>NewEndDate</u>	<u>Purpose</u>
<u>(2-4 words)</u>						
	\$	\$	\$			

K7. Department Project Number : N/A

B1. Is this a Board Contract? (*Yes/No*) : Yes

B2. Number of Workers Displaced (*if any*) : N/A

B3. Number of Competitive Bids (*if any*) : 3

B4. Lowest Bid Amount (*if bid*) : \$

B5. If Board waived bids, show Agenda Date : N/A

B6. ... and Agenda Item Number : #

B7. Boilerplate Contract Text Unaffected? (*Yes / or cite ¶¶*) : Yes

F1. Encumbrance Transaction Code : 1701

F2. Current Year Encumbrance Amount : N/A

F3. Fund Number : 0055

F4. Department Number : 044

F5. Division Number (*if applicable*) : 07

F6. Account Number :

F7. Cost Center number (*if applicable*) : N/A

F8. Payment Terms : Net 30

V1. Vendor Numbers (*A=uditor; P=urchasing*) : A=

V2. Payee/Contractor Name : Treinen Associates

V3. Mailing Address : 10541 Mullen Rd

V4. City State (*two-letter*) Zip (*include +4 if known*) : Olympia, WA 98513

V5. Telephone Number : (360) 455-5168

V6. Contractor's Federal Tax ID Number : 91-2180560

V7. Contact Person : Will Treinen

V8. Workers Comp Insurance Expiration Date : 5/23/10

V9. Liability Insurance Expiration Date[s] (*G=enl; P=rofl*) : 7/19/10

V10. Professional License Number : #

V11. Verified by (*name of County staff*) : Judy Doughty

V12. Company Type (*Check one*): ☐ Individual ☐ Sole Proprietorship ☐ Partnership ☒ Corporation ☐ Private for Profit

I certify: information complete and accurate; designated funds available; required concurrences evidenced on signature page.

Date :

Authorized Signature :