

**Department of Alcohol and Drug Programs (ADP)**

# **CalOMS**

## **Treatment Implementation Guide**

**Including:**

**Sample Implementation Plan  
And  
Monthly Report**

**California Outcome Measurement System (CalOMS)**

*May, 2005*

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## **1.0 Implementation Guide**

The Implementation Guide was developed to assist the county and direct provider (C/DP) staff who have the responsibility of implementing the California Outcomes Measurement System (CalOMS) treatment data collection and reporting requirements.

Each C/DP will determine their own implementation approach and strategy however; this Guide gives you suggestions for designing your CalOMS implementation project. ADP recognizes that there are many valid ways to implement CalOMS and many ways to organize your project in order to be successful. This Guide provides tools to help structure the project to meet the specific needs, timeframes, and constraints of your organization – you select the ones that work for you.

In implementing CalOMS many tasks can be viewed as belonging to either program staff, or technical staff. Both groups of tasks, as well as those tasks that cross-over are addressed.

In late 2003, in response to an ADP survey, 65% of responding counties requested a sample implementation plan for CalOMS. A sample implementation plan is included in Appendix A.

A second request from the survey was for improved communication with ADP. To establish a method for on-going communication, this Guide includes a monthly reporting form in Appendix B. ADP is asking C/DP to complete this checklist of project tasks each month and email it to ADP. It will provide a high-level project status as well as a format for you to request assistance and highlight challenges. Including both the counties and the direct providers, about 90 entities will be implementing CalOMS. The monthly report will be an important information gathering tool for ADP in understanding the trends and issues affecting C/DP.

### **1.2 ADP Support**

ADP recognizes that there are many constraints to C/DP in implementing the CalOMS requirements. In some cases the issues faced are much larger than the CalOMS project and include C/DP needs to implement other, bigger systems, to make significant changes to how they collect data, or to overcome a lack of resources. ADP will support counties and direct providers in successfully implementing CalOMS through the following:

#### **Communications**

- Keep the ADP CalOMS website updated with pertinent information for implementation

- Maintain and monitor a CalOMS Help email address for questions – CalOMSHelp@adp.state.ca.us
- Use Bulletins, email, conference calls and letters to keep the C/DP informed about the project.
- Provide templates for communication tools.
- Facilitate sharing of lessons learned and best practices among C/DP.
- Use CADPAAC and Regional Meetings to provide updates and presentations

#### Training/Technical Assistance

- Provide technical assistance such as information on CalOMS expectations, data elements, reporting requirements, file formats and validation requirements.
- Work with C/DPs on system and interface testing between C/DP system and ADP's CalOMS database. Once testing is successful, your system will be certified.
- Train representatives from the C/DP on how to upload files to the CalOMS ADP database and how to handle errors.
- Train representatives from the C/DP on how to access outcome reports and to download their own admission/discharge records.
- Demonstrate reporting tools and how to use outcomes data.
- Provide a User Manual for data elements with detail on the CalOMS questions and codes as well as discussion on data collection.

As tools and documents become available, they will be posted on the CalOMS project website: <http://www.adp.ca.gov/caloms/calomsmain.shtml>

The website currently provides a number of articles with both technical and program information. Of particular interest are:

- CalOMS Treatment Questions (Data Matrix with MTOQs) – A matrix of the 84 data elements to be collected through CalOMS.
- IT System Requirements – The CalOMS Requirements Specifications that define the Functional, Data, Inputs and Outputs, Technical, HIPAA, Privacy, Security, and other key requirements and standards that must be incorporated into CalOMS.
- Regional Meetings Questions and Answers – These questions were collected from participants during the CalOMS Regional Informational Meetings in late 2004. The questions were wide-ranging and are answered in detail.
- CalOMS Calendar – As key dates are set for the project, they will be captured on the calendar.

- What's New – Recent changes to the project or additions to the website (such as a new version of the IT System Requirements, or User Manual) will be highlighted here. The most recent version of the CalOMS project newsletter is also displayed.

For information about specific project areas, contact the following CalOMS team members:

<b>Name</b>	<b>Title</b>	<b>Email</b>
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### **1.3 The Guide, Sample Plan and Monthly Report**

This Guide contains the following documents:

1. The **Implementation Guide** is designed to assist you in identifying and understanding tasks, activities, and decisions that must be made as part of the implementation. The tasks and decisions described may be ones you choose to include in your implementation, you may modify them, or you may ignore them. They are simply intended to stimulate your thinking about the project.
2. The **Sample Implementation Plan** (Appendix A) - Provides a list of implementation tasks for both technical and program staff. This document is also provided as a separate Excel file which can be modified to create your own implementation plan. Again, pick, choose and modify the tasks to make them appropriate to your organization's CalOMS implementation plan.
3. The **Monthly Report** (Appendix B) – These milestone tasks are a subset of tasks in the Sample Implementation Plan. Update and return it on a monthly basis to ADP. The checklist will assist ADP in tracking any trends, issues, or stumbling blocks that occur. A separate Excel file of this checklist is provided.
4. The **CalOMS Critical Dates Sheet** (Appendix C) – This reference sheet lists the critical CalOMS dates, gives the project website address and project email.

In summary, the Implementation Guide describes tasks and decisions that you may make as part of the implementation. The Sample Implementation Plan lists the tasks to complete. The Monthly Report captures monthly status.

All three documents are divided into the same sections. The sections are:

1. Project Readiness
2. System Design and Development
3. Communication
4. Business Process/Jobs
5. Training
6. Implementation
7. Maintenance and Operations

### **1.4 Using the Documents**

A suggested method for using these three documents:

1. Review ADP's Project Dates (Section 1.5).
2. Complete the table in the Estimate Dates for the Project Implementation Plan (Section 1.6).
3. Modify the Excel **Sample Implementation Plan** (Appendix A) to capture tasks you must perform, and the finish dates that will allow you to begin collecting data no later than January 1, 2006.
4. Refer to the appropriate sections in this **Implementation Guide** to assist with the details of your implementation plan. Use the sections as you need them – perhaps going through all sections once to get an idea of the tasks, and in order to set dates for your plan. Then return to those sections when you are actually working on them.
5. Complete your organization's customized implementation plan. Include only those tasks that are appropriate for you.
6. Update your plan on a regular basis.
7. At the start of each month, beginning on June 5, 2005, update the Monthly Report (Appendix B) and send it to the CalOMS Project team, via email: [CalOMSHelp@adp.state.ca.us](mailto:CalOMSHelp@adp.state.ca.us)

## 1.5 Project Dates

Critical project dates are listed below. You should confirm them by checking the CalOMS Calendar on the CalOMS website.

- Late October, 2005: First date to begin IT systems testing with ADP to verify that your CalOMS system and the ADP CalOMS database communicate without errors.
- January 1, 2006: Last date to begin data collection for CalOMS Treatment data. To meet this date, testing and certification must be complete by December 31, 2005.
- March 15, 2006: Date the January 2006 monthly CalOMS batch file is due to be submitted to ADP. Electronic CalOMS treatment data is due 45 days after the end of the last day of the report month.
- July 10, 2006: Last date to submit to ADP all CalOMS treatment data, collected January 1, 2006 through May 31, 2006.
- Continue monthly submissions of CalOMS data.

## 1.6 Estimate Dates for Your Project Implementation Plan

One way to begin your implementation plan is to review the tasks in the Sample Implementation Plan provided. Modify, add and delete tasks as appropriate. Revisit the plan a second time, adjust dates and take into consideration events or constraints that are unique to your organization.

Before you start, estimate dates for the following milestone tasks:

Start Date	Finish Date	Task
		Sign Contract or agreement with IT Vendor (if appropriate) or other IT staff services
		Complete Final Implementation Plan
		Conduct initial informational meetings with staff and county providers
		Complete training of staff and county providers
		ADP validates joint system testing
		Software ready for installation and ready for live data collection
		Initiate collection of CalOMS Data
		Submit first electronic file to ADP

Note that these tasks provide a bird's eye view of the project. They are also in the Sample Implementation Plan and in the Monthly Report.

## **2.0 Implementation Tasks**

The Implementation Tasks are organized into sections and each section has the same numbering in both the Sample Implementation Plan and in the Monthly Report. The sections are:

1. Project Readiness
2. System Design and Development
3. Communication
4. Business Process/Jobs
5. Training
6. Implementation
7. Maintenance and Operations

The activities and decisions discussed provide a generic vision of a CalOMS implementation. In reality the purpose and scope of projects will vary widely from county to county and provider to provider. For more detailed information about projects and project management see the Health and Human Services Agency Data Center (HHSDC) Best Practices web site:

<http://www.bestpractices.cahwnet.gov/>

As you design your project, keep in mind the necessity of outreach and inclusion. County contract providers, counselors, case managers and IT staff will be more supportive of the project if they feel included during the project implementation. The University of California (UCLA) Integrated Substance Abuse Programs' (ISAP) study of the California Treatment Outcome Project (CalTOP), conducted in thirteen counties between October of 2000 and March of 2001, had this to say in Chapter V, Focus Groups, about staff involvement:

*Staff buy-in was critical to the successful implementation of CalTOP, including the recruitment of clients into the follow-up study. The degree to which staff bought in appears tied to whether or not they received information in advance about the changes necessary for implementation, the value and benefits of CalTOP, especially for clients, and exactly how the confidentiality of clients would be safeguarded. In addition, staff appeared to buy in more readily when they were directly involved in the implementation process at their site.*

### **1. Project Readiness**

These planning tasks include establishing project scope, and an approach to procurement, development and implementation.

For some counties project scope focuses on collecting CalOMS data and submitting it electronically to ADP. For others, meeting CalOMS requirements is part of a larger project to add or replace another system or to meet new billing requirements.

Whether you will be implementing a very focused system, or an integrated one, your first tasks are the same.

### **Define Scope**

- Reach broad agreement on what the organization wants the end result to be. Both technology and the program staff should be part of this discussion.
- Document requirements.
- Document project scope so you know exactly what you are trying to accomplish, why and what the end result will look like.
- Determine the appropriate IT strategy. Decide whether you will use a vendor or internal staff. If using a vendor, will it be your current vendor or will you assess other vendors and go through a procurement process?

### **Identify Impacts and Constraints**

- Identify how the project will be funded.
- Assess any new functionality that will be added and how it will affect staff, business processes and whether you will need additional equipment.
- Identify risks and constraints (e.g. simultaneously implementing another IT project that will create competition for technical staff, lack of funding, relocating offices etc).
- Identify methods to mitigate risks and constraints.

### **Identify Project Resources and Structure**

- Once the project scope is clear and the IT strategy has been selected, hold a meeting that includes technical, program and provider staff to be sure that all understand the project.
- Identify resources for the project, from all areas that will be impacted, IT, programs, etc.
- Assign a CalOMS project manager.
- Establish an implementation workgroup that includes representatives from all impacted groups, including county providers.
- Establish the decision-making and sign-off process for project deliverables.
- Document your decisions for managing the project.
- Secure approval from the Board of Supervisors or Executive Committee for your plan, funding and resources, if appropriate

## **Plan Project Reporting**

- Decide who will be responsible for updating your Implementation Plan and reporting on progress.
- Plan to track and update the schedule and Implementation Plan at least every two weeks, and more often if necessary.
- Plan how to share project updates with staff and providers as well as who will be responsible for them.
- Plan to report monthly to ADP using the Monthly Report.

## **Document Implementation Plan**

- Once you have agreed on project scope and IT strategy, begin to work out how timing and resources will fit together.
- Draft your implementation plan. Identify tasks, their resources, and timing.
- Share your implementation plan with your resources so that they know what to expect and when.
- If your system vendor or IT staff provide a technical workplan, integrate it with your implementation plan.

## **2. System Design and Development**

Most aspects of your system design and development will be driven by your CalOMS IT strategy. The details will depend on whether you are modifying an existing system or implementing a new system, and whether or not it touches other parts of your organization such as Mental Health. The tasks in the Sample Implementation Tool are checkpoints which are common to most system development efforts. Add and modify tasks as appropriate for your implementation.

Information in this section is provided at a high level, because CalOMS implementation projects will vary from county to county and among direct providers. Your vendor or IT staff will need to provide a detailed workplan.

As you design and develop your system, keep in mind that ADP will require joint system and interface testing in order to assure that your data is correctly captured in the ADP CalOMS database. Documents which will be helpful to you are available on the CalOMS website at:

<http://www.adp.ca.gov/caloms/calomsmain.shtml>

Including:

- CalOMS Treatment Questions (data matrix)
- IT System Requirements
- Information on file formats (availability will be announced)
- Information on acceptance testing with ADP with a test plan, data requirements and a timeline (availability will be announced)

As part of the test plan, ADP will request the following information:

- What are your quality control plans and procedures?
- What notices and sanctions will be applied to noncompliant providers? (e.g., notification to provider if data is \_\_\_\_ days late; public funds will be withheld.)
- How will data entry, processing, and submission be administered?
- Who is assigned as the CalOMS Information Management Coordinator? This individual will be responsible for the development, implementation, and ongoing operation of the county's CalOMS automated data submissions.
- How will the data be submitted? ADP assumes most county-contracted providers will submit their data to their counties and the counties will submit it to ADP and that most direct providers will submit data directly to ADP.

### **3. Communication**

Whether you are a county or a direct provider, many of your communication issues are similar. Acceptance of change can be dramatically improved through good communication with all stakeholders. This is particularly true when the people affected are allowed to participate in planning for the change and when they understand:

- What is happening
- Why it is happening
- How it impacts them, and
- What the benefits are, to them, their organization and their clients.

#### **Internal Communication**

As your first step, document those members of your organization who will in some way be impacted by the project; these are your stakeholders. Next decide the information they need, when they need to know it and the best method for providing that information. One way to do this is through a communication plan which will assist you in providing the right information to the right people at the right time.

The following describes one approach to providing information in increments:

- Education – Information about CalOMS, its importance and its benefits
- Impact – How will CalOMS affect individual stakeholders, their jobs, their organization and their clients
- Training – Prepare stakeholders for new tasks and responsibilities
- Outcomes – After implementation, demonstrate the usefulness of the CalOMS effort by sharing reports, implications for treatment and actual impacts

- Lessons Learned – After implementation gather feedback from county contracted providers, counselors and other stakeholders. Make adjustments to procedures as necessary.

### **Educate Stakeholders**

Start with an educational meeting held early in the project so that staff know about the project. Depending on the size of your organization, you may need to hold this meeting more than once to accommodate smaller groups. Topics to cover include:

- Why the project is important, and why it is occurring.
- What the benefits are to your organization, staff and clients.
- What the project is – an overview of CalOMS plus the system you will implement.
- Discuss how CalOMS builds on CalTOP and CADDs.
- When milestone tasks will occur, such as: the dates you plan to begin data collection and the time period during which staff will be trained.
- How staff/stakeholders will be kept informed of project progress.
- Provide the CalOMS website address.
- Allow time for stakeholders to provide feedback and express their concerns.

Follow up meetings can be part of regular, scheduled meetings or they may be focused on a topic specific to CalOMS. Use them to provide project updates and to provide information on specific topics. Some suggested topics:

- Review the data matrix, referencing the User Manual provided by ADP, for data elements
- Share reports that will come with the new ADP CalOMS database and how you plan to use the data.
- Provide an overview of system changes or demonstrate your new system.

With all meetings, acknowledge the difficulties inherent in change, but stress the benefits of the project and steps to take in order to be successful.

### **Describe Impact**

This meeting gives staff more specifics about CalOMS and how it will affect them. You should have completed many of the Business Process/Jobs tasks described in Section 4, prior to this meeting.

If staff will be asked to use a new questionnaire or if data collection will be automated for the first time, discuss that type of change at this meeting. Also describe how staff will be trained or prepared to take on changes or new responsibilities. Be sure to include the following points:

- Project progress.

- Benefits of CalOMS.
- How will it affect individuals, their jobs, etc.
- Changes in doing business, particularly confidentiality issues.
- How individuals will be prepared for new tasks & responsibilities.
- As possible, demonstrate the usefulness of the CalOMS effort by sharing reports, printed data and discussing possible implications for treatment.
- Provide dates for training and rollout of new procedures.

Schedule a session to look closely at the CalOMS data elements. Topics include:

- New discharge codes
- Unique Client Identifier (UCI)
- Client Location
- Items for admission and for discharge

### **Provide Training**

See Section 5, Training.

### **Share Outcomes Data**

After implementation, provide information to staff about outcomes data and how it is being used. Actively look for ways to share the data with them. Possibilities include:

- Reports
- Programming or treatment changes
- Grants received
- Access to electronic data or printed data to include in client files

### **Lessons Learned**

A few months after implementation hold sessions to gather lessons learned information. Take the time to find out and capture what went right and what could have been done better. Also provide opportunity to discuss changes that need to be made to improve client service and outcomes. Gather information from your providers and internal staff. Share it with ADP.

### **Communication with County Providers**

The same incremental approach to sharing information with county contracted providers as described above. You may wish to do some or all of the following:

- Hold an educational meeting and discuss the same topics described above in the section for internal communication.
- Provide updates on CalOMS at your regularly scheduled meetings with providers.

- Form a CalOMS implementation workgroup that includes providers – it should include both program and IT staff. They should understand the requirements, system design, and implementation plan early in the project and have opportunities to provide feedback on them.
- Decide whether CalOMS will be implemented for all providers at once, or whether you will bring them up in groups. If you will bring them on to the new system in groups, decide how to organize the groups, by location, size, type, etc.
- Draft a letter for providers that clearly explains their responsibilities, project timing, and your expectations, as well as identifies their contact person in your organization.
- Hold a meeting with county providers that discusses the impacts that implementing CalOMS will have on them. Hold this meeting after you have performed most of the tasks described in Section 4, Business Process/Jobs.
- Hold training – both on the new system and to teach new business processes. Discuss confidentiality issues and other emerging issues.
- Hold Go-Live meetings shortly before providers implement their new system. The meeting should discuss dates and major changes to procedures as well as where to get help.
- Visit providers when they first bring the new system up. Assign staff to work with providers, particularly in the early stages of implementation.
- Capture lessons learned which can be shared with other providers.
- Plan how to share data with your providers as soon as you can. Providing access to outcomes data demonstrates its value. If counselors collect data on paper, explore the options for providing them with a printed version.
- Plan how to review the data quickly to ensure reliability and corrections early on.

#### **4. *Business Process/Jobs***

The kernel of the CalOMS project is collecting data at admission and at discharge, then comparing the two, based on the Unique Client Identifier. The usefulness of the data will be dependent on its consistency. Before implementing CalOMS you need to understand how CalOMS affects your current processes for these activities and how they will change.

Part of your review is to identify materials, equipment, staff, and training that may be needed. If you are going from a paper-based system of data collection to an automatic one, be sure to adequately assess your equipment needs including space for a computer, monitor, dial-up modem connection and printer, space for the counselor and client or space for data entry and counselor/staff technology capabilities.

Some counties and providers, particularly those that collect data on paper, may see little change in procedures. Others, which have a system that can be modified to collect the CalOMS information also may see little change. However, for some counties and providers, implementing CalOMS will require considerable change to current business processes and job responsibilities. As part of your implementation, analyze how you and your county providers currently do business and how that will change. The final result should be a document that describes the new procedures. This document will be very useful during training and for new hires.

### **Document current processes**

Review current business processes for counselors, case managers and clerical staff that are likely to be affected. Document them, even if only at a high level. Involve staff who currently perform these activities. Processes likely to be affected include:

1. Orientation
2. Admission/Intake
3. Discharge
4. Data Entry
5. Data Submission

Include the following information:

- Description of the process
- Break the description into discrete activities
- For each activity describe who does it, the location, tools and equipment used, and timing

### **Develop the new processes**

Include the staff that will be affected by the new processes in developing them. This increases their support for the changes and these staff can be trainers/resources on procedures for other staff. The following questions will assist you in developing the new processes.

Review your documentation of the current business processes and decide:

- Who will collect the CalOMS treatment data?
- If it is collected on paper, who will do the data entry?
- When will CalOMS data be collected, during intake, screening or admission?

- Whether data capture will be on paper or on a computer:
  - If data capture will be on paper:
    - Is a new questionnaire needed?
    - Do the CalOMS questions need to be merged with other questions?
    - Who enters data in the system?
    - When and where will it be entered?
  - If data capture will be on a computer:
    - Will the client be able to see the computer screen?
    - Will current locations be adequate?
    - Is a computer available?
    - Is new furniture needed or new furniture arrangements?
    - Will interviews be longer or shorter?
    - Are new tools or equipment needed?
    - Who needs to be able to access this data?
    - Who will provide technology help?
    - Do staff have adequate computer skills to interview and enter data simultaneously?
    - How will changes impact clients?
    - How can efficiency be improved?
- Who will submit the data?
  - Is there a computer that meets technical requirements?
  - When will the data be submitted?
  - Who will handle rejects or other problems?
  - Who is responsible for quality control?
- Designate super-users - county and/or provider staff who will provide in-house support to their organization. Arrange extra opportunities for hands-on practice for them, such as including super-users in data entry for testing.

### **Communicate the new processes**

Document your new processes and update them as they evolve. Written procedures can be part of your training materials for staff and for new hires. If the new system requires security profiles, written procedures can assist you in establishing them.

Share the new procedures with staff through a formal training process or have supervisors explain the changes.

## **5. Training**

Consistency of data collection is critical to CalOMS. All staff need a common understanding of the CalOMS questions, your new system, and procedures. Adequate training to assure standardized data collection should be part of implementation and included in follow-up or refresher training for staff. Your resource will be the User Manual for data elements. It will be posted on the CalOMS web site.

You will need to provide several types of training to staff and providers.

Identify staff to be trained in the following areas:

- New system – the system or system changes you implement
- Data collection - completing the CalOMS questions and new codes
- Data collection from county providers – work with them to assure accurate data is submitted on time
- Data submission – sending the file to ADP, handling errors, making corrections and resubmitting
- New procedures for business processes
- Introductory computer skills – using a mouse, open and save files etc
- Implementation or roll-out activities
- System support and help desk
- Super-users
- System administrators

As you prepare for training, consider the following issues:

- When is ADP training available on submitting files to ADP's CalOMS database?
- What training does your system vendor provide?
- How will you train:
  - Program staff
  - Providers
  - Technical staff
- How will you deliver training on new business processes or other changes to jobs? If staff participated in CalTOP or have used the ASI previously, this may not be a big change for them. If they have not, anticipate a learning curve as they adjust to using the questions.
- Do you need to assess staff computer skills to see if they need additional training?
- What Go-Live training will you provide?
- Assess whether it is necessary to separate business training from system training.
- Arrange date, location, equipment (will you need computers?) and training materials needed.

In all training classes include some “big picture” information on CalOMS by reviewing reasons for the data collection, benefits to clients, staff, and treatment service providers; as well as who will do what, when, critical dates, applicable rules, etc.

Assess the training materials that exist such as materials provided by your vendor and the ADP supplied User Manual for the data elements. Identify gaps and create needed training materials.

Plan to provide refresher training to staff and to providers three to six months after implementation. This will assist any new hires, plus reinforce standardized procedures.

## **6. *Implementation***

At this point, you are ready to start collecting CalOMS data and initiate any other changes that are part of your project. Maintenance and Operations activities begin at the same time. Implementation could occur over a period of time if county providers will begin submitting their data on a staggered schedule. Maximize the learning from your first implementation by documenting successes and suggestions and sharing them with other providers.

To prepare internal and provider staff, hold a Go-Live meeting. All staff who will be involved need to know what is expected of them and should have an opportunity to ask questions. They should know what their timeframes are, who will be on site to offer support, or where to call for help. This is also a good opportunity to review training, Go-Live timing, tools or business processes.

If your implementation is complex, hold daily debriefing meetings during the go-live period to identify problems and resolve them quickly. And please make sure to stay in touch with the ADP CalOMS Project Team during this period!

## **7. *Maintenance and Operations***

Maintenance and Operations tasks are necessary to operate and maintain the system, including help desk services, problem fixes, change/enhancement implementation, backups and disaster recovery. They begin at the time of implementation.

If you have been using a vendor or consultant you need to plan the transition to a post-implementation level of support. Establish roles to prepare you for ownership and operation of the system, including participating in knowledge transfer.

Technical staff will verify system performance and service level expectations and requirements with the vendor. Program staff will set up methods for regularly sharing data with staff and providers.

Activities will include:

- Continued support of the system to be replaced, if systems run in parallel.
- Submission of data to ADP monthly, the counties and direct providers will submit data to ADP and county providers will submit data to counties.
- Monitor data for timeliness and quality.
- Handling any records that have been returned by ADP with errors that need correction and resubmission. (ADP will provide training)
- Understand details of maintenance and support to be supplied by vendor.
- Establish procedure for training new hires/new users on system.
- Lessons Learned – gather feedback within your organization and from your providers
- Provide feed back to ADP on the project, what worked and what could be improved.
- If, at some time in the future, you modify your system or change vendors, you will need to re-certify and re-test your system with ADP.
- Retirement of CADDIS

## **3.0 Appendices**

### **Appendix A**

Sample Implementation Tool

### **Appendix B**

Monthly Report

### **Appendix C**

CalOMS Critical Dates

## Appendix A – Sample Implementation Plan

Use the Sample Implementation Plan as the starting point for creating your own implementation plan. This list of tasks is only a starting point; to create a successful plan for your organization, you will need to add, modify, and delete tasks so that the plan fits your situation.

Use the separate file *CalOMS Sample Implementation Plan.xls*, which has been created in Excel. It is available on the CalOMS website, and should have been provided to you with this document.

As you look at the spreadsheet you will notice that it has numbered blue headers, red tasks, black tasks and columns.

- Blue Headers - break the tasks into sections. These sections are numbered and are used in the Implementation Guide and the Monthly Report as well.
- Red Tasks – these tasks are also in the Monthly Report.
- Black Tasks – these tasks can be modified, more can be added, or they can be deleted.

There are eight columns:

**Task #** – Create a numbering scheme to fit your needs.

**Percent Complete** – Use this as an indicator for your progress on the task. Percent complete can be quite valuable for status information, which a start and finish date alone cannot provide. A precise percentage is not important; just give a sense of where you are. 0,25,50,75 and 100% complete are typically sufficient detail.

**Start Date** – When work on the task is scheduled to begin.

**Finish Date** – When work on the task is scheduled to end. Should a start or finish date move forward or back, other tasks may need to be adjusted.

**Task/Activity** – Describe what is to be done. The description should focus on the result of the finished task.

**Resource** – State the name of the person who will perform the Task or Activity. Sometimes one person is responsible for the task, but someone else actually does it. You may wish to list both names.

**Linked Tasks** – List the task number or name the tasks that are dependent on this task. That way, if there is slippage, you know which other tasks are affected. Tasks with many links may be more critical than others with few or no links.

**Details/Comments** – Add notes that will help you or others to understand the task or its status. You may wish to add a note about the impact of a task being delayed or another task that it is dependent on.

Plan your project with room for surprises; leave yourself adequate time to find out information that you don't already know and plan for the unexpected.

***Once you have customized the tasks, you have created your Implementation Plan.***

## Sample Implementation Plan

**NOTE:** To create your plan use the Excel file *CalOMS Sample Implementation Plan.xls*

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
1				<b>Project Readiness</b>			
				Define Project Scope			
				Identify IT resources			
				Identify program resources			
				Identify project management resources - assign a CalOMS project manager			
				Establish Implementation Workgroup(s)			
				Define responsibility for approvals			
				Define and document roles, responsibilities and tasks for resources			
				Document decisions for managing project			
				Estimate costs			
				Identify funding sources			
				Request funding			
				Secure commitment from Executive Committee or Board for CalOMS plan and funding (if appropriate)			
				County authorization received for CalOMS project			
				Draft Implementation Plan			
				Complete Initial Implementation Plan			
				Establish internal update and reporting procedures			

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
				Establish procedures for monthly status reporting to ADP			Submit Monthly Status Checklist on the fifth day of each month
2				<b>System Design and Development</b>			This section assumes that you will use an IT vendor to develop and implement automated CalOMS data collection. Some steps may be conducted by your IT staff instead of a vendor - modify tasks as appropriate.
				<b>Procurement</b>			
				Define IT strategy for CalOMS			
				Determine requirements for new software			
				Request proposals or cost estimates from IT vendors			
				Evaluate proposals/estimates and select system vendor			
				Allocate funding for vendor contract			
				Sign contract with IT vendor or other IT staff services as appropriate			
				<b>Development</b>			
				Review and confirm requirements with vendor team			
				Vendor develops workplan			
				Review and accept vendor workplan			
				Modify Implementation Plan if needed			
				Complete final implementation plan and share with staff as appropriate			

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
				Vendor prepares software design to satisfy county/direct provider and CalOMS requirements			
				County/Provider and its stakeholders review the vendor's proposed software design			
				Accept/sign off on software design			
				Vendor develops and tests required software, e.g., modify existing software			
				Vendor develops system documentation and training materials for county/provider			
				If needed, county/provider acquires hardware and prepares hardware environment to support the vendor's software or identifies a software hosting service			
				Vendor delivers software and documentation			
				<b>Acceptance Testing</b>			
				Identify internal testing team			ADP will provide you with their testing requirements and establish testing schedule. Check the CalOMS website for the latest information.
				Testing team prepares for system testing, e.g. prepares test plan and test scripts			
				Vendor installs software for acceptance testing and trains testing team			

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
				Complete system test of new or modified software to ensure it meets the requirements of the county/provider and ADP. Work with vendor to make corrections to software based on testing results.			
				Verify that system documentation and training materials provided by vendor are complete.			
				<b>Test and accept software product</b>			
				Check the CalOMS website for the latest data and dates on testing			
				<b>Inform ADP that you are ready for certification and testing process</b>			
				Conduct system and interface testing with ADP. Work with vendor to make corrections to software based on testing results			
				ADP validates system and interface testing results and certifies software to be ready for production			
				<b>Software ready for installation and live data collection</b>			
				<b>Installation</b>			
				Vendor installs modified software in production environment			
				Vendor and county/provider verify that the system is working properly			
<b>3</b>				<b>Communication</b>			
				Identify internal and external stakeholders			
				<b>Draft Communication Plan</b>			

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
				Conduct initial educational meeting with IT and support staff			
				Conduct initial educational meeting with providers and counselors			
				Establish method for updating providers			
				Establish method for updating internal staff			
				Meet with providers to discuss CalOMS requirements			
				Meet with providers to discuss CalOMS solution or demonstrate new system			
				Draft document for providers to explain roles, responsibilities and expectations			
				Meet with providers to explain the impact of the new system on business processes/jobs.			
<b>4</b>				<b>Business Process/ Jobs</b>			
				Establish business process review committee			
				Document current business processes that will be impacted by CalOMS			
				Analyze impact of changes to current processes			
				Identify changes to facilities, location, furniture, computers			
				Identify needed equipment, forms and tools			
				Identify changes to jobs			
				Document new intake, screening or admissions procedures			
				Document new data capture procedures			

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
				Document new procedures with county providers for submission of their data to the county on a periodic basis			
				Document new data submission procedures for periodic reporting to ADP			
				Document new discharge procedures			
				Document new follow up procedures			
				Document how data and outcomes will be shared with internal staff and county providers.			
				Complete documentation of new business processes			
				Make appropriate job duty changes			
				Define security profiles needed in new system			
				Identify super-users			
				Identify system administrators			
				Complete walk throughs or training on new procedures with staff and providers			
5				<b>Training</b>			
				<b>Plan Training</b>			
				Identify staff training needs			
				Identify classes needed			
				Prepare training plan			
				Locate and reserve training facilities			
				Identify training team, e.g. county/provider staff or vendor staff			
				Prepare training schedule			
				Invite staff to appropriate training			

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
				Identify existing training materials			
				Download most recent copy of User Manual from CalOMS website			
				Create needed training materials			
				Establish procedures for on-going training (new hires)			
				<b>Deliver Training</b>			
				Initiate training of providers on system, i.e. training is delivered for the first provider			
				Training team conducts training of providers on system			
				Complete training of providers on system			
				Complete training of county users on system			
				Complete training on business processes with providers and staff			
<b>6</b>				<b>Implementation</b>			
				Plan Go-Live support			
				Hold Go-Live expectations meeting for staff			
				Hold Go-Live expectations meeting for providers			
				Establish help desk			
				Initiate new procedures			
				<b>Begin CalOMS Data Collection</b>			Begin by 1/1/06 or earlier
				Initiate collection of CalOMS treatment data by providers, i.e. the first provider begins live data collection and submission			
				Initiate internal data collection (counties and direct providers)			

Task #	Percent Complete	Start Date	Finish Date	Task/Activity to be performed by county or direct provider unless specified	Resource	Linked Tasks	Details/Comments
				County works with additional providers to initiate CalOMS data collection in their facilities			
				Monitor data collection and reporting by providers, e.g. check data quality, accuracy and completeness			
				County-contracted providers are collecting and submitting CalOMS data to county			
				Submit first electronic data file to ADP			
				Correct errors and problems with first data file submission to ADP			
				Successfully submit first CalOMS data file to ADP			
				Celebrate successful implementation!			
				Verify receipt of reports from ADP for treatment data			
				Share lessons learned with county providers			
				Make adjustments to procedures to improve client service and data capture			
7				<b>Maintenance and Operations</b>			
				Initiate process of sharing CalOMS data with internal staff and county providers			
				Compare data submitted with ADP supplied data verification results for three cycles (months)			
				Establish contingency plan for new system			
				Establish levels of support with internal staff			
				Establish plan to transition system support from vendor to staff			

<b>Task #</b>	<b>Percent Complete</b>	<b>Start Date</b>	<b>Finish Date</b>	<b>Task/Activity</b> to be performed by county or direct provider unless specified	<b>Resource</b>	<b>Linked Tasks</b>	<b>Details/Comments</b>
				Monitor Help desk			
				Resolve rejects or other data quality problems			
				Manage requests for system changes			
				Monitor systems during parallel operations			
				Close down replaced system			

## Appendix B – Monthly Report

The Monthly Report lists critical tasks, or milestones. They are a subset of the tasks from the Sample Implementation Plan (the Red Tasks). These tasks should be part of your implementation plan, regardless of whether you created it using the Sample Plan in this Guide, or some other plan.

All counties and direct providers are asked to complete this checklist on the fifth day of each month, starting June 5, 2005 and email it to the CalOMS Project team: CalOMSHelp@adp.state.ca.us

Use the separate file CalOMS Monthly Report.xls, which has been created in Excel. It is available on the CalOMS website, and should have been provided to you with this document. **Please do not modify the tasks.** If they do not apply, simply mark them N/A.

This information comes directly from your implementation plan. It provides ADP's CalOMS team with high level information on how your implementation is progressing and will also allow us to look at issues across the State, or that are common to a vendor.

At the top of the checklist, please enter:

- Your **County** or **Direct Provider Name**
- The **Report Date** – the date you are completing the report
- The **Planned Date for 1<sup>st</sup> Data Submission** - the date that you anticipate submitting your first data file to ADP
- The name of the **System** and the name of the **vendor** that you plan to use for your CalOMS implementation.

**Status** (Mandatory) – A drop down box provides you with five options. Choose:

- 1 Not Yet Started
- 2 Started
- 3 Good Progress
- 4 Complete
- N/A if this task does not apply to your implementation

**Start Date and Finish Date** (Mandatory) – Enter the dates that are in your Implementation Plan. Only the Finish Date is Mandatory.

**Details/Comments** – Use this text field to capture any additional information.

**Risks and Issues, Requests for Assistance**– There are two places for you to enter information. Under **Category** is a drop-down box which allows you to

categorize your entry. The **Description** box is a text box, into which you can enter any amount of text.

**Major Project Changes** – Use this text box to record any major changes of staff, system, vendor or any other event which may have an impact on the project.

**Submitted by:** Please provide your name, email and phone so that we can contact you, if necessary.

Email the Report to ADP on the fifth day of each month, starting June 5, 2005:  
CalOMSHelp@adp.state.ca.us

## Monthly Report

**NOTE:** To create your report use the Excel file *CalOMS Monthly Report.xls*

<b>County/Provider:</b>	
<b>Report Date:</b>	
<b>Plan Date for 1st Data Submission:</b>	
<b>System (vendor name):</b>	

Use the pulldown list in the "Status" column below to indicate progress for each task. Provide a planned "Finish Date" for each task.

Task #	Status (Mandatory)	Start Date (Optional)	Planned Finish Date (Mandatory)	Task	Details/Comments (Optional)
1				<b>Project Readiness</b>	
				County authorization received for CalOMS project	
2				<b>System Design and Development</b>	
				Sign contract or agreement with IT vendor or other IT staff services as appropriate	
				Vendor delivers software and documentation	
				Test and Accept software product	
				Inform ADP that you are ready for certification and testing process	Indicate estimated start date:
				Software ready for installation and ready for live data collection	

Task #	Status (Mandatory)	Start Date (Optional)	Planned Finish Date (Mandatory)	Task	Details/Comments (Optional)
3				<b>Communication - Internal</b>	
				Prepare Communication Plan	
				Conduct initial educational meeting with IT and support staff	
				Conduct initial educational meeting with providers and counselors	
4				<b>Business Process/Jobs</b>	
				Complete walk-throughs or training on new procedures with staff and providers	
5				<b>Training</b>	
				Prepare training plan	
				Complete training of providers on system	
				Complete training of county users on system	
6				<b>Implementation</b>	
				Initiate internal data collection (counties and direct providers)	
				County contracted providers are collecting and submitting CalOMS data to county	Indicate number of providers submitting data:
				Successfully submit first CalOMS data file to ADP	Indicate estimated start date:
				Verify receipt of reports from ADP for treatment data	
7				<b>Maintenance and Operations</b>	
				Compare data submitted with ADP supplied data verification results for three cycles (months)	

Use the pulldown lists below to categorize the risks, issues, and major project changes that may impact your implementation date. Specify any requests for assistance. Provide details in the Description column.

<b>Risks and Issues</b>	<b>Category</b>		<b>Description</b>	

<b>Requests for Assistance</b>	<b>Category</b>		<b>Description</b>	

<b>Major Project Changes</b>	<b>Category</b>		<b>Description</b>	

<b>Submitted by:</b>		
<b>Name:</b>		
<b>Email:</b>		
<b>Phone:</b>		

Email this check list to [CalOMSHelp@adp.state.ca.us](mailto:CalOMSHelp@adp.state.ca.us) on the fifth day of each month.

## Appendix C – CalOMS Critical Dates

### CalOMS Project Website:

As tools and documents become available, they will be posted on the CalOMS project website

<http://www.adp.ca.gov/caloms/calomsmain.shtml>

### Critical Dates

In mid May 2005, the project has the following timelines. You can confirm them by checking the CalOMS Calendar on the CalOMS website.

- Late October, 2005: First date to begin IT systems testing and receive ADP certification of your system.
- January 1, 2006: Last date to begin data collection for CalOMS Treatment data. To meet this date, testing and certification must be complete by December 31, 2005.
- March 15, 2006: Date the January 2006 monthly CalOMS batch file is due to be submitted to ADP. Electronic CalOMS treatment data is due 45 days after the end of the last day of the report month.
- July 10, 2006: Last date to submit to ADP all CalOMS treatment data, collected January 1, 2006 through May 31, 2006.

If you will be unable to meet these deadlines, please contact the CalOMS project team via email: [CalOMSHelp@adp.state.ca.us](mailto:CalOMSHelp@adp.state.ca.us)

- If you are unable to test your system by December 31, 2005, you must provide evidence that services are contracted with a vendor, using a system tested and certified by ADP.
- Counties and direct providers must begin collecting CalOMS data in January of 2006. There are no extensions for collecting data.
- If you cannot begin submitting data electronically by March 15, 2006, you must submit a request for an extension. The maximum extension that may be granted for data submission is July 10, 2006.

### Contact:

This email is checked daily. Questions and requests are routed to the appropriate member of the CalOMS team.

[CalOMSHelp@adp.state.ca.us](mailto:CalOMSHelp@adp.state.ca.us)