



Client Level Information Systems

Findings and Recommendations from the Client Level Information Planning Project

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FIRST 5 SAN JOAQUIN

Client Level Information Systems

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EXECUTIVE SUMMARY

Project Overview

Agencies funded by First 5 San Joaquin that provide case management and home visitation services have faced considerable challenges with collecting and analyzing data about their services, and generally do not have sufficient information tools to meet their program management and grant reporting needs. To address this situation, First 5 San Joaquin launched the Client Level Information Planning Project (CLIPP). The objective of CLIPP is to assist these agencies to identify, acquire and implement information technology that meets their requirements for client level information management related to their case management and home visitation programs and, secondarily, other human service programs operated by the agencies.

Social Entrepreneurs, Inc. (SEI) was selected in November 2006 to provide consulting support for all aspects of this project. CLIPP was launched in January 2007. The project was conducted in four phases:

1. **Situation Analysis.** Site visits to twelve agencies, a public forum open to all contractors, and an online survey of contractors were conducted to obtain a thorough understanding of First 5 San Joaquin and its contractors regarding current data collection and reporting methods, staff and technical capacity, and needs/wants that can be addressed with a new client level information system.
2. **Requirements Definition.** A comprehensive set of system requirements was developed that describe the data that must be captured by the client level information system and the general, functional and technological features that the system must have in order for it to meet the needs of the contractors and First 5 San Joaquin. The requirements were developed with active participation by a stakeholder team of representatives from ten agencies, and prioritized by the agency representatives.
3. **Assessment of Established Systems.** An initial list of nineteen commercially-available information systems designed for case management and other client level data tracking was developed. Based on information obtained from the vendors, the list was narrowed to thirteen different systems that were evaluated in depth in order to assess how well each system meets the agencies' requirements as defined in Phase 2. The evaluation process included obtaining and reviewing product information from the vendors,

conducting phone interviews and online product demonstrations, obtaining vendor responses to a detailed questionnaire about product capabilities and other important information (technologies used, training and technical support services, company size and stability, and more), and obtaining preliminary cost proposals. The information obtained from this evaluation process was presented to the stakeholder team in two stages, and used by the team to narrow the list of systems from thirteen down to three finalists. The three finalist vendors conducted an additional product demonstration for the stakeholder team representatives, who rated each system after the demonstration. SEI also contacted current clients of each vendor to conduct reference checks.

Information Systems Evaluated During CLIPP
Automated Case Management Systems – <i>Casewatch Millenium</i>
Bowman Systems – <i>Service Point</i>
Cityspan – <i>Cityspan Provider</i>
DataKeeper Technologies – <i>Visit Planner</i>
Data Systems International – <i>ClientTrack</i>
Griot Evaluation Systems – <i>GriotStar</i>
KidSmart Software – <i>CaseManager ESP</i>
MetSYS – <i>MetEnterprise / MetLITE</i>
Persimmony – <i>Children and Families System</i>
San Joaquin County Office of Education – <i>CELMS, SEIS, MEMS, Head Start Assessment System</i>
Social Solutions – <i>Efforts to Outcomes</i>
Synergy Software – <i>SAMS / Omnia</i>
Vision Link – <i>Tapestry</i>

4. **Final Report and Recommendations.** The insights about the available systems and vendors obtained throughout Phase 3, together with the ratings from the agency representatives participating in the product demonstrations, were used to formulate the findings and recommendations presented in this report.

The methods used to define the agencies’ information requirements, evaluate commercially-available systems and develop recommendations are presented in more detail later in section two of the report. The appendices contain complete information about the system requirements, product comparisons and final agency rankings produced during the project.

Summary of Findings and Recommendations

The key findings and recommendations are best understood by organizing them according to four fundamental questions that CLIPP was designed to answer. These recommendations are explained more thoroughly at the end of section two of the report.

1. **Should First 5 San Joaquin invest in information systems for its contractors?** Based on this study, the answer is a strong “yes.” First 5 contractors expressed solid support throughout the project for acquiring better information systems, as the current information tools being used by most agencies – mainly home-grown Microsoft Excel spreadsheets and Access databases – are clearly inadequate to meet the service delivery and program management needs of the agencies. Better information systems can produce a positive return on investment by improving the quality of children and family services, providing better data to use in securing grants and other resources, and saving staff time. First 5 itself can benefit by being able to analyze client needs, service and referral patterns, and key trends across multiple agencies that are using the same system.

2. **Is it better to acquire an existing system or have a new system developed?** Since commercially-available systems were found that meet the requirements of the agencies participating in CLIPP, it is highly recommended that an already-developed system from a commercial vendor be acquired rather than investing in the development of a new system. The advantages of acquiring an existing system instead of building a new system include lower upfront costs in both time and money, faster implementation timeframes (no need to wait for a new system to be built), ability to take advantage of ongoing investments made by the vendor to enhance their system with product development costs spread across a large client base, ability to use a system that is already tested and proven in the field by many other agencies across the country, and ability for the agencies in San Joaquin County to learn from agencies in other communities around the country that are using the same system.
3. **What is the best system for the agencies?** The three “finalists” selected by the stakeholder team were Bowman Systems – Service Point, Data Systems International – ClientTrack and MetSYS – MetEnterprise. After completing the entire evaluation process, it is the unanimous recommendation of the agency representatives that participated in the final system demonstrations and the SEI consulting team that the ClientTrack system from Data Systems International be acquired for use by First 5-funded agencies in San Joaquin County. ClientTrack has many compelling advantages. It meets or exceeds virtually all requirements established by the agencies, it is extremely flexible and can be tailored to the unique needs and preferences of each agency, it has the most intuitive and easy to use design of all of the systems evaluated, it has excellent reporting features to produce useful information from the data entered in the system, it utilizes the latest technology for web-based applications and has the capacity to handle usage levels and data volumes for San Joaquin County agencies both now and in the future if more agencies adopt the system, and there is a national client base of over 200 agencies using ClientTrack. No other system that was evaluated could match this combination of advantages.

The second choice of the agencies that participated in the final demonstrations was Service Point from Bowman Systems, selected by 75% of the agency representatives. However, Service Point is not recommended for acquisition because of two major shortcomings: it is missing some important features that would require additional enhancements and custom programming by the vendor, and it does not have sufficient reporting features to meet the information needs of the agencies.

4. **What factors will help maximize the success of a client level information system?** Based on insights gained throughout the project and past experience with information system implementations in other counties, there are several recommendations to aid the successful acquisition, implementation and ongoing use of the client level information system.
 - Assign a project manager for the contracting and implementation process that can facilitate the resolution of issues between First 5 San Joaquin and the participating agencies, manage communications with the vendor, and coordinate activities between the vendor and the agencies. Examples of issues that a project manager can help address include obtaining firm commitments from agencies to implement the new system, determining what system functions the agencies want to implement, defining

data elements that will be standardized across all agencies, resolving data security protocols and data sharing agreements among the agencies, determining if vendor assistance is needed to build additional reports in the system, coordinating the migration of existing data captured by the agencies into the new system and coordinating the logistics for training of system administrators and end users.

- Negotiate key protections into the vendor contract such as the cost of adding more agencies or users in the future, protocols for enabling agencies to continue to use the system (and the costs for doing so) if an agency is no longer being funded by First 5, and ability of First 5 San Joaquin representatives to gain access to all data, software, schematics and documentation if the vendor is no longer able to provide adequate support for the system.
- Develop a contract or memorandum of understanding between First 5 San Joaquin and the agencies adopting the system that clearly spells out the respective roles and responsibilities of each agency, including any agreements about sharing the costs for the initial acquisition and/or annual maintenance and support of the system.
- Arrange to have personnel located in or near San Joaquin County that can provide local technical support on an ongoing basis to help agencies with system issues that are beyond the technical skills available in the agencies, such as help with reconfiguring system settings, building new data entry screens in the system and building new reports to meet emerging information needs. Such personnel will be invaluable in ensuring that the system not only meets the agencies' needs when it is first implemented, it will continue to meet their needs for many years to come.
- Through the existing contract that First 5 San Joaquin has with the Center for Health Training and other local resources, ensure that participating agencies have access to technical assistance on general computing issues such as training non-technical staff on general computer use and the basics of commonly-used software like Microsoft Excel. This type of technical assistance is not available, at least cost effectively, from a specialty vendor like Data Systems International.
- Ensure that a plan exists to provide on-going training to agency personnel on use of the client level information system so that new staff members or people who need refresher courses have timely access to quality training.
- Set up and maintain a local users group that involves all of the agencies that adopt the new system, much like what the San Joaquin County Office of Education has done with the Centralized Eligibility List Management System (CELMS), to provide a forum for local system users to share experiences, learn from each other and provide peer support.

The following table contains a summary three-year financial projection of the costs to implement and use the recommended system, ClientTrack. The projections also include the costs of implementing the above recommendations, such as estimated costs for an initial project manager and ongoing local technical support.

	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Total</u>
One-time setup fees	\$7,800	\$0	\$0	\$7,800
Required vendor implementation services	\$10,100	\$0	\$0	\$10,100
Optional vendor implementation services (e.g. report building and data migration)	\$27,000	\$0	\$0	\$25,000
Monthly service and usage fees	\$30,000	\$31,500	\$33,075	\$94,575
Local staff support and expenses	<u>\$40,000</u>	<u>\$22,000</u>	<u>\$23,050</u>	<u>\$85,050</u>
TOTAL	\$114,900	\$53,500	\$56,125	\$224,525

The projections assume that Data Systems International, and not the County of San Joaquin or another local agency, will be responsible for hosting the system (providing the computing infrastructure such as application servers, database servers, network maintenance and Internet connections to the system). The vendor does allow agencies to license the software and host it themselves but there are drawbacks to doing so, such as higher upfront costs and greater difficulties in acquiring and installing system upgrades from the vendor, so it is recommended that the vendor provide the hosting services unless First 5 or the County has a strong preference for having a local host for the system.

Acknowledgements

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Charterhouse Center for Families
Mario Supnet

Lodi Unified School District
Dawn Bielefeld and Laura Lucchesi

Community Partnership for Families
David Childs and Kevin Schmidke

San Joaquin County Public Health Department
Ginger Wick

Delta Health Care, BEST Program
Gwen Bounds

Stockton Unified School District
Daniel Bonora and Debra Keller

El Concilio
Linda Mora and Nicole Porter

Sutter Tracy Community Hospital Foundation
Iris Rodriguez

Family Resource and Referral Center
Adrienne Watkin

Tracy Unified School District
Brandi Harrold

Lao Family Community of Stockton
Connie Rill

United Cerebral Palsy
Jane Frederick and Debbie Link

ANALYSIS OF CLIENT LEVEL INFORMATION SYSTEMS

This section provides more in-depth information about the Client Level Information Planning Project (CLIPP), organized into four sub-sections. First, the process for developing system requirements – the features and characteristics sought for a client level information system – is explained. Second, the process used to identify and evaluate commercially-available information systems is described. Third, the results of the evaluation process are presented, including a comparison of all thirteen systems that were assessed during the project. The final sub-section contains the findings and recommendations emerging from the project.

System Requirements of First 5-Funded Agencies

The cornerstone of the entire evaluation process was the development of a complete set of system requirements. For CLIPP, “system requirements” are the features, capabilities and characteristics that a client level information system should have in order for the system to meet the needs of the agencies providing case management and home visitation services as well as First 5 San Joaquin. The requirements served two main purposes. First, they provided a way for the agencies to discuss their needs in a detailed and precise manner, and ultimately reach agreement on their system needs and wants. Second, they became the “shopping list” used to thoroughly assess the extent to which different systems are able to meet the agencies’ needs.

Appendix A contains the final set of system requirements and the priority rating assigned to each requirement. Appendix B has a related set of criteria used to evaluate the different systems, recognizing that items like training, technical support services, cost and other factors are important considerations in selecting a system and vendor.

The steps taken to develop the system requirements and evaluation criteria are outlined below. It is important to keep in mind that the objective of CLIPP was to address the information management needs of a specific group of agencies, namely, those providing home visitation and/or case management services for children and families.

1. **Understand agency needs and preferences.** The first step was to obtain a comprehensive understanding of both First 5 San Joaquin and its contractors with respect to their needs, wants, concerns, technical capacity (equipment and other infrastructure), staff capacity, data collection processes, reporting requirements and existing systems that may be impacted by implementation of a new client level information system across many agencies. This understanding was developed by:
 - Reviewing documents provided by First 5 San Joaquin such as the First 5 strategic plan, sample contracts with performance milestones, data collection forms provided to contractors, and program-specific evaluation plans;
 - Conducting in-depth site visits to twelve agencies (eleven contractor agencies plus First 5 San Joaquin) to meet with key staff, review existing systems and technical

infrastructure, and discuss the data, management and reporting needs of each agency;

- Conducting an open forum to seek input from agencies not reached during the site visits, which was held on 2/5/07 and attended by seven people from four agencies; and
 - Conducting an online survey as another avenue for agencies to provide input on their information management needs. Survey responses were received from six agencies.
2. **Form a stakeholder team for the system evaluation process.** Agencies that were engaged in the site visits, open forum or survey were given an opportunity to participate on a stakeholder team that served as a steering committee for the rest of the project. Twelve agencies initially agreed to participate, although ultimately ten agencies ended up being actively involved in developing the system requirements.
 3. **Develop system requirements and selection criteria.** SEI drafted a complete set of system requirements and selection criteria based on the insights gained from the agencies. The stakeholder team met in person on 3/7/07 to review the draft requirements and identify changes. SEI revised the requirements, which were then adopted by the stakeholder team in a teleconference on 4/2/07.
 4. **Prioritize the requirements.** A worksheet was sent to all stakeholder team members asking them to assign a priority ranking to each requirement showing how important the item is to their agency on a scale of 1 (not needed) to 5 (essential). Responses were received from ten agencies, compiled into aggregate ratings, and discussed with the stakeholder team members in the 4/2/07 teleconference. The results of the priority ranking process are included in Appendix A. This step was taken to separate the truly essential requirements from the “nice to have” but not absolutely necessary items.

Process Utilized for Evaluating System Options

Once the requirements were completed, the next step was to identify already-developed client level information systems that could be evaluated for their fit in San Joaquin County.

Numerous sources were used to identify existing systems, including:

- Systems identified by First 5 San Joaquin and First 5-funded agencies in the first two phases of the project;
- Phone contacts by SEI to other counties in California to identify client level data systems being used specifically for case management and home visitation services;
- Research by SEI to identify information systems developed with public sector support that are being used by case management and/or home visitation programs; and
- Systems identified through a market scan via Internet searches, phone contacts and software guides.

Nineteen systems were identified by this process. Initial contacts were made with each vendor to obtain product information. Based on the product information and follow-up discussions with the vendors where appropriate, six systems were removed from consideration either because it became clear that the system capabilities did not fit the agencies' needs or because the vendor declined to participate further in the evaluation process. Those systems were:

Agency Systems, Inc. – *AgencyWorks Case Records Information System*

CAP Systems - *CAPTAIN*

IBM – *Child Welfare System Case Management System (CWS/CMS)*

Mark Branagh Information Group - *Lodestar*

Mosaic Network, Inc. – *Grant Evaluation Management System (GEMS)*

Symphony Information Services - *Federation*

The remaining thirteen systems that were evaluated in more depth are shown below.

Automated Case Management Systems
Product: Casewatch Millenium
4130 Cahuenga Blvd., Suite 115
North Hollywood, CA 91602
Phone: (818) 505-6911
Website: www.acmsinc.com

Bowman Systems
Product: Service Point
333 Texas Street, Ste. 300
Shreveport, LA 71101
Phone: (888) 580-3831
Website: www.servicept.com

Cityspan
Product: Cityspan Provider
2437 Durant Ave., Suite 206
Berkeley, CA 94704
Phone: (510) 665-1700
Website: www.cityspan.com

DataKeeper Technologies, LLC
Product: Visit Planner
P.O. Box 1847
Lebanon, MO 65536
Phone: (800) 532-7148
Website: www.data-keeper.com

Data Systems International
Product: ClientTrack
545 East 4500 South, Suite E260
Salt Lake City, Utah 84107
Phone: (888) 449-6328
Website: www.clienttrack.net

Griot Evaluation Systems
Product: GriotStar
PO Box 4004
Chico, CA 95927
Phone: (530) 228-1994
Website: www.griot-systems.com

KidSmart Software
Product: CaseManager ESP
23800 West Ten Mile Road, Suite 135
Southfield, MI 48034
Phone: (248) 532-9600
Website: www.kssc.com

MetSYS, Inc.
Products: MetEnterprise and MetLite
3835 North Freeway Blvd. Ste. 250
Sacramento, CA 95834
Phone: (916) 929-8615
Website: www.metsysinc.com

Persimmony
Product: Children and Families System
33 Endless Vista
Aliso Viejo, CA 92656
Phone: (949) 770-5551
Website: www.persimmony.com

San Joaquin County Office of Education
Products: Centralized Eligibility List
Management System (CELMS), EdJoin,
Special Education Information System
(SEIS), Migrant Education Management
system (MEMS), Head Start Assessment
and Planning System
Phone: (209) 468-5926

Social Solutions
Product: Efforts to Outcomes
3500 Boston Street, Suite 70
Baltimore, MD 21224
Phone: (866) 732-3560
Website: www.socialsolutions.com

Synergy Software
Products: SAMS and Omnia
25 New England Drive
Essex Junction, Vermont 05452
Phone: (802) 878-8514
Website: www.synergysw.com

Vision Link
Product: Tapestry
3050 Broadway
Boulder, Colorado 80304
Phone: (877) VSN-LINK
Website: www.visionlink.org

These systems were evaluated using a three stage triage process to obtain progressively more information about systems as they proved to be worthy of further consideration.

Stage 1: Basic Information Review. The first level of evaluation was done by obtaining product information from vendors, conducting Internet searches for information about each

product, reviewing additional information available on vendor websites, and contacting vendors by phone for questions and clarifications. A preliminary assessment of the extent to which each system fit the agencies' requirements was prepared by SEI and presented to the stakeholder team of agency representatives, who met via teleconference to discuss the findings. The stakeholder team agreed at that time to remove five systems from the process (Cityspan - Cityspan Provider, DataKeeper Technologies - Visit Planner, Griot Evaluation Systems - GriotStar, KidSmart Software - CaseManager ESP and Social Solutions - Efforts to Outcomes).

Stage 2: Detailed Consultant Assessment. A much more in-depth assessment of the remaining eight systems was completed by SEI. In this stage of the assessment, SEI:

- Issued a detailed questionnaire to each vendor asking them to describe the extent to which their system meets the various requirements established by the agencies, as well as to provide information about their company, product history, system implementation process, training services, user support services, and technological characteristics of their product such as software development tools and database platforms utilized;
- Reviewed all responses to the questionnaires and contacted vendors with follow-up questions;
- Conducted a two-hour online demonstration of each system to review system features as well as the overall "look and feel" of each system;
- Obtained preliminary cost proposals from each vendor; and
- Conducted a site visit to the San Joaquin County Office of Education to review various web-based systems they have developed and discuss their potential fit for the First 5-funded agencies.

The results of this assessment and consultant recommendations were presented to the stakeholder team in another teleconference, at which time the team selected three systems as the finalists to proceed to the last stage of assessment.

Stage 3: Agency Evaluation and Final Assessment. The three finalist vendors and systems selected by the stakeholder team were Bowman Systems – Service Point, Data Systems International – ClientTrack and MetSYS – MetEnterprise. These vendors were asked to conduct another product demonstration where all of the agency representatives serving on the stakeholder team could review each system first-hand and provide their own rating of each system. In addition, SEI contacted three current clients of each vendor to ask them about their satisfaction with the software, vendor implementation and support services, and other aspects of the system. The results of these client reference checks were documented and provided to the stakeholder team. After the conclusion of the product demonstrations, the stakeholder team members were asked to rank the three systems. Those rankings, together with the cumulative body of knowledge about the systems and agency needs and preferences that was gathered throughout the project, served as the basis for the recommendations presented in this report.

Comparison of System Options

The table below summarizes the key strengths and limitations of the thirteen systems (and vendors) that were evaluated. The systems are presented in three groups: the three finalist systems/vendors, the five systems that were eliminated in the second stage of evaluation, and the five systems that were eliminated in the first level of analysis.

Appendix C contains a detailed comparison of the features and capabilities of the systems that made it to the second stage of the evaluation. Appendix D shows other important information about the vendors that made it to the second stage of the evaluation such as company size, product history, client base, service capabilities, and preliminary cost proposals to support up to 12 agencies and 60 users in San Joaquin County.

Vendor & Product	Key Strengths	Key Limitations
FINALIST SYSTEMS		
Bowman Systems Product: Service Point	<ul style="list-style-type: none"> ▪ Simple, easy to use screen design for entering client level data ▪ Clearly designed from the ground-up as a case management system; especially strong at information & referral and case plans ▪ Good flexibility provided to let agencies configure the system to capture the data they want ▪ Relatively affordable compared to some other options: first-year costs of about \$55,000 plus report development fees, and \$20,100 a year after that for 12 agencies and 60 users ▪ One of the largest companies evaluated, with over 220 clients 	<ul style="list-style-type: none"> ▪ Does not have pre-built reports that would meet the needs in San Joaquin County; vendor would need to develop a library of reports that are tailored to the needs of the agencies ▪ Calendaring and scheduling features to help manage events and appointments are not included in the base system and would require custom development by the vendor at an additional cost ▪ Some limitations exist on ability to configure the system to meet agency needs, e.g. cannot configure the basic structure for client data or fields used to search for existing clients
Data Systems International Product: ClientTrack	<ul style="list-style-type: none"> ▪ Very complete product; virtually all San Joaquin requirements are met by the base system without requiring extra enhancements by the vendor ▪ Intuitive and easy to use design, similar to Microsoft Outlook ▪ Excellent flexibility provided to let agencies configure the system to capture exactly what data they want and to tailor each user's view of system features ▪ Numerous innovative features – case note templates, drag-and-drop data analysis, and much more ▪ Relatively inexpensive - \$45,400 base price quote by the vendor for first year for 12 agencies and 60 users ▪ Newer system developed from inception with latest technology; not a “port” of an old system 	<ul style="list-style-type: none"> ▪ Use of the full-feature ad-hoc/custom reporting tool requires a fairly high level of technical expertise (for situations where the pre-built reports and flexible drag-and-drop data analysis tool are unable to meet an agency's information needs)

Vendor & Product	Key Strengths	Key Limitations
MetSYS Inc. Product: MetEnterprise and MetLITE	<ul style="list-style-type: none"> ▪ The system is quite complete, meeting the bulk of the agencies' needs and offers good flexibility to configure the system to meet unique agency needs ▪ Vendor has excellent experience with multi-agency deployments, up to statewide deployments ▪ Least expensive option of the systems that have the potential to meet San Joaquin County agency needs - under \$40,000 for first year and \$25,000 a year thereafter if hosted by MetSYS ▪ Flexibility of either having a San Joaquin County agency or the vendor "host" the system (i.e. manage the computer servers where all of the data is stored and related network infrastructure) ▪ Company based in Sacramento; may help with training and on-going service 	<ul style="list-style-type: none"> ▪ The look-and-feel of the system is quite confusing, to the point of getting lost in the features at times (but screens can be configured so users only see what they need) ▪ Extensive configuration would be needed to adapt the system for San Joaquin County agency needs; few of the features would be sufficient "out of the box" without adding user-defined screens etc. ▪ Strong technical skills needed to build ad-hoc/custom reports ▪ System currently uses older technology that is at greater risk of becoming obsolete than most other products reviewed; vendor says they are upgrading to newer Microsoft .NET technology but this new version is still in development
SYSTEMS ELIMINATED AFTER SECOND STAGE OF EVALUATION		
Automated Case Management Systems (ACMS) Product: Casewatch Millenium	<ul style="list-style-type: none"> ▪ Lots of features available in the system; it has been evolving for about 20 years now ▪ The features for providing alerts and reminders to staff to follow up on client issues are stronger than most of the other systems reviewed ▪ Has a good Contracts and Grants module to track funding sources and generate milestone-to-actual reports for funders; this type of functionality was not provided in most of the other systems ▪ Vendor has excellent experience with multi-agency deployments; e.g. system is used throughout Los Angeles County in a coordinated manner 	<ul style="list-style-type: none"> ▪ The look-and-feel of the system is somewhat confusing, with many ways to do the same thing, and not visually appealing (but can configure menus so users only see what they need) ▪ Custom programming by the vendor would be needed to meet agency needs, e.g. client assessment tools like ASQ & LSP need to be programmed by the vendor ▪ Not web-based or otherwise based on latest technology; some concern about obsolescence ▪ Training and implementation methods raise some concern. Successful implementations seem to depend on having some local technical experts (i.e. in San Joaquin County) able to do training, system configuration, report development, etc.
Persimmony Product: Children & Families System	<ul style="list-style-type: none"> ▪ Strong understanding of First 5 and First 5-funded agencies ▪ Excellent set of pre-built reports and flexibility in using these pre-built reports to meet many different information needs ▪ ASQ, DRDP and other client assessments already built into the system; good tools provided to let agencies create custom assessment forms ▪ Availability of a Preschool for All module that would meet many needs of agencies operating preschool programs 	<ul style="list-style-type: none"> ▪ Not designed as a case management system; features that would be used by front-line service staff are not as strong as other options (e.g. client goal/progress, referral tracking and information & referral support features are fairly rudimentary) ▪ No ad-hoc report writer for creating custom reports ▪ A set of seemingly disconnected system modules would be needed to meet all of the requirements. ▪ Highest cost option - \$160,000 per year quoted by the vendor

Vendor & Product	Key Strengths	Key Limitations
San Joaquin County Office of Education Products: CELMS, EdJoin, SEIS, MEMS, Head Start Assessment and Planning System	<ul style="list-style-type: none"> ▪ Excellent understanding of First 5, preschools and children's services ▪ Good relationships already in place with San Joaquin County agencies ▪ Use of leading edge technology ▪ Strong local service and support ▪ Self-financing unit of the Office of Education; keeps money in the education system 	<ul style="list-style-type: none"> ▪ No existing system comes close to meet the agencies' requirements; a fairly extensive custom development effort would be needed to take components from various existing system and build many new components in order to produce a viable system for home visitation and case management services
Synergy Software Technologies Product: SAMS and Omnia	<ul style="list-style-type: none"> ▪ Solid well-established company with over 350 clients ▪ Very good configurability of data fields and screen forms for capturing client-level data, including ability to create custom client assessment forms ▪ Nice system design in general. System looks relatively easy to use, with features laid out in a logical and consistent way throughout the system. ▪ Lots of flexibility is provided with the pre-built reports, including but not limited to easily being able to look at just about any subset of data imaginable 	<ul style="list-style-type: none"> ▪ System is predominantly used by senior service agencies; customization of terms, screen forms etc. needed to fit a children/family service agency ▪ Not very good at capturing data about group meetings/events, such as making it easy to track enrollment and participation in parent workshops and other such group events ▪ No calendar/scheduling features ▪ Missing some important pre-built reports; custom development of additional reports would be needed to meet the needs of San Joaquin County agencies
VisionLink Product: Tapestry	<ul style="list-style-type: none"> ▪ Vendor has excellent experience with multi-agency deployments, up to national usage of the system (Shelter Management System used nationally by American Red Cross is built in Tapestry) ▪ Good configurability of data fields and screen forms for capturing client-level data ▪ Strong calendar/scheduling features ▪ Strong information and referral features; can even make information on community resources available to the public via the Internet 	<ul style="list-style-type: none"> ▪ Reporting features are very limited. Would need many new reports to be built by the vendor, plus tools for agencies/users to build ad-hoc reports are quite rudimentary (have to export data to another tool like Excel, and aggregate/analyze data from there). ▪ Moderate amount of custom programming would be required by the vendor. With many aspects of the San Joaquin County system requirements, Tapestry does some or most of what is needed – but not all.
SYSTEMS ELIMINATED IN FIRST STAGE OF EVALUATION		
Cityspan Product: Cityspan Provider	<ul style="list-style-type: none"> ▪ Good understanding of children services; system is being used by First 5 San Francisco and San Francisco Children and Family Services ▪ Well designed, easy to use ▪ Strong grant/contract management features – monitor compliance with contract terms, administer budgets, process payment requests and more ▪ Able to capture program service data at multiple levels – by individual client, by group of clients or in aggregate for a program ▪ Captures data about agency staff and their education, credentials, etc. better than most other systems 	<ul style="list-style-type: none"> ▪ Does not support data at a family or household level, or linking of people to families, to the level required by the agencies ▪ Most customization of system features requires programming by the vendor (not able to be done by the agencies) ▪ No ad hoc query/reporting tools; reporting in general is not very flexible ▪ System was designed more from the perspective of a grants administrator (like First 5) than as a case management system for service providers; features in areas like case notes and service referrals are weaker than most other systems

Vendor & Product	Key Strengths	Key Limitations
DataKeeper Technologies, LLC Product: Visit Planner	<ul style="list-style-type: none"> ▪ Built specifically for use by home visiting programs using the Parents as Teachers curriculum and has good features to support data capture and reporting needs for that program (e.g. able to generate the Parents as Teachers Annual Report) ▪ Good ability to capture data for families as well as individuals; able to print a complete family history from one location 	<ul style="list-style-type: none"> ▪ Not much flexibility exists with the system; it may work for Parents as Teachers programs but would not meet the needs of other agencies ▪ No ad hoc query/reporting tools; reporting in general is not very flexible ▪ No calendar/scheduling features ▪ Limited support for capture of data about group events ▪ Designed for use by a single agency, to be installed on a PC or local area network; was not designed for central installation and use by many agencies
Griot Evaluation Systems Product: GriotStar	<ul style="list-style-type: none"> ▪ Has already been adapted to First 5 needs for School Readiness and FRC program tracking ▪ Good flexibility for creating user-defined fields and client assessment instruments ▪ Has 50 client outcome assessment tools already built into the system, including First 5 School Readiness assessments ▪ Over 160 pre-built reports with good reports on client demographics, services and program outcomes 	<ul style="list-style-type: none"> ▪ Significant technology limitations – use of Microsoft Access as the only supported database, limited to 14 simultaneous users at a time ▪ No calendar/scheduling features ▪ Limited support for capture of data about group events ▪ No ad hoc query/reporting tools ▪ In general, features throughout the system have some limitations – would meet some but not all essential requirements of the agencies
KidSmart Software Product: CaseManager ESP	<ul style="list-style-type: none"> ▪ Very impressive flexibility to configure the system; able to organize data on screens to exactly match paper forms for each program ▪ Nice visual design to the system ▪ Good tracking of funding sources and matching services to funding ▪ Excellent flexibility with pre-built reports provided by the vendor; able to use each report as a template and then customize it to see any subset of data desired ▪ Unique “agents” feature whereby the system will automatically run reports and, if user-defined criteria are met, will email specified people alerting them to issues that need attention 	<ul style="list-style-type: none"> ▪ Does not support tracking of data at a family or household level, or linking of people to families, to a level that is close to what is required by the agencies; would not meet several essential requirements for San Joaquin County because of this issue ▪ No custom reporting tools are provided with the system; the vendor must build any new reports required by an agency ▪ System not yet certified as being fully HIPAA compliant
Social Solutions Product: Efforts to Outcomes	<ul style="list-style-type: none"> ▪ System appears to be strong in capturing program outcomes data in multiple ways (via client assessments, surveys, staff observations, monitoring progress and results against client goal plans, etc.) ▪ Company is well established, touting that over 4,000 public and private, nonprofit organizations in 50 states and Canada use this software 	<ul style="list-style-type: none"> ▪ Vendor did not respond to numerous phone and email requests for information, preventing a full assessment of the system ▪ System is designed mainly to capture data on services delivered and outcomes of those services, and not as a full-featured case management system; no evidence found that the system has features like coordination of client referrals, calendar/scheduling features with alerts or ticklers for program staff, and other features required by the agencies

Findings and Recommendations

CLIPP was designed to answer four fundamental questions:

Should First 5 San Joaquin invest in information systems for its contractors?

If yes, is it better to acquire an existing system or have a new system developed?

If it is better to acquire an existing system, what is the best system for the agencies?

What factors will help maximize the success of a client level information system?

The findings and recommendations emerging from the project are organized to address these four critical questions. A three-year budget for implementing the recommendations is included at the end of this section.

SHOULD FIRST 5 SAN JOAQUIN INVEST IN INFORMATION SYSTEMS FOR ITS CONTRACTORS?

Our finding on this question is an unequivocal “yes,” an investment in making a high quality client level information system available to First 5 contractors is needed and can produce significant value for First 5 and the contractors alike. The main reasons for this finding are:

- **Contractor support.** Agencies demonstrated solid support throughout the project for obtaining a client level information system. At least six agencies are strongly interested in implementing a new system right away, with up to six additional agencies indicating that they have a high enough level of need and interest to consider adopting a new system in the future.
- **Limitations of current management tools.** The information tools and systems currently used by most of the contractors are clearly inadequate. Four agencies have home-grown database applications built in Microsoft Access that meet the most essential data capture and reporting needs but do not have the features or flexibility to meet more advanced program management and data analysis needs. The rest of the agencies that participated in the project are using a combination of Microsoft Excel spreadsheets, paper forms and manual tabulations to get even the most basic information about client needs, services delivered and the impact of those services.
- **Potential for return on investment.** There are several ways that an investment in information systems can produce a positive return on investment. First, better information can enable agencies to optimize their programs to produce greater benefit for children and families. Second, many agencies will have the tools and data to be more competitive in acquiring grants and other resources to supplement First 5 funding. Third, staff time can be saved in the long run by reducing the time needed to meet grant/contract compliance and reporting requirements. Fourth, the agencies that adopt the client level information system can leverage that investment across their other programs and services, i.e. beyond the programs directly funded by First 5.
- **Information support for First 5 San Joaquin.** Over time, adoption of a common system by multiple agencies can produce a central data repository that First 5 San Joaquin can

use to analyze children and family demographics, needs, service referral patterns, service trends and many more issues across a group of agencies.

- **Strategic alignment.** Investing in a client level information system is directly in line with a strategy in the First 5 San Joaquin strategic plan to “align data collecting and management information systems so that information can be more easily shared among agencies.” It is also consistent with one of the capacity building objectives in the strategic plan to “maintain streamlined administrative and management processes so that resources can be reinvested back into direct services.” Further, it supports the ability of numerous agencies to collect high quality data to support First 5’s commitment to evaluate the progress and effectiveness of funded programs.

IS IT BETTER TO ACQUIRE AN EXISTING SYSTEM OR HAVE A NEW SYSTEM DEVELOPED?

Because commercially-available systems were found that are capable of meeting the requirements of the agencies participating in CLIPP, it is recommended that an already-developed system from a commercial vendor be acquired rather than investing in the development of a new system. The advantages of acquiring an existing system instead of building a new system include:

- Lower upfront costs in both time and money;
- Faster implementation timeframe – implementation of a commercially-available system can begin quickly, whereas development of a custom system requires an extensive design, development and testing cycle before it can be ready to implement;
- Commercial vendors are able to make much greater ongoing investments in enhancing their system, with product development costs spread across a large client base, providing the agencies in San Joaquin County with the benefits of enhancements made for a national user base;
- Systems from leading commercial vendors are relatively stable and proven through use in the field by many other agencies across the country;
- The competitive demands faced by commercial vendors translate into driving the vendor to keep up with new technology and be responsive to the marketplace; and
- Agencies in San Joaquin County have an opportunity to learn from other agencies using the same system in other communities around the country.

WHAT IS THE BEST SYSTEM FOR THE AGENCIES?

The system that is recommended for acquisition is ClientTrack from Data Systems International. This system was unanimously selected as the number one choice by the agency representatives that participated in the demonstrations of the three “finalist” systems. Appendix E shows the ratings of agency representatives from the final system demonstrations. It is also recommended as the top choice by the SEI consulting team for several reasons:

- It is a complete system that meets or exceeds virtually all requirements established by the agencies without needing additional enhancement by the vendor;
- The system is extremely flexible, enabling the client level data screens to be tailored to the unique needs and preferences of each agency and even individual users within each agency;

- The system has the most intuitive and easy to use design of all of the systems evaluated, which will help manage training time/costs and increase acceptance of the system;
- It has excellent reporting features to produce useful information from the data entered in the system, with a large library of pre-built reports plus an innovative multi-dimensional data analysis module to quickly produce cross-tabulations of clients, service levels, referrals and other statistical indicators;
- The system uses the latest Microsoft .NET technology for web-based applications and, in general, has the technological capacity to handle usage levels and data volumes for San Joaquin County agencies both now and in the future if more agencies adopt the system; and
- There is a large and growing national client base of over 200 agencies using ClientTrack.

No other system that was evaluated could match this combination of advantages. The second choice of the agencies that participated in the final demonstrations was Service Point from Bowman Systems, selected by 75% of the agency representatives. However, Service Point is not recommended for acquisition by First 5 San Joaquin because of two major shortcomings. First, it is missing some important features, such as staff/client scheduling support, which would require additional enhancements and custom programming by the vendor. Second, there are few pre-built reports provided with the system and the ad hoc query and reporting tools demand a moderate level of technical expertise to use; the combination of these factors mean that a higher upfront investment would be needed to have the vendor build a library of reports that meet the information needs of San Joaquin County agencies, plus it would be harder for agencies to meet new information needs that emerge over time.

WHAT FACTORS WILL HELP MAXIMIZE THE SUCCESS OF A CLIENT LEVEL INFORMATION SYSTEM?

Outlined below are several additional recommendations related to the acquisition and implementation of a client level information system that should significantly aid the successful use of the system by First 5 San Joaquin and its contractors. These recommendations are based on insights gained from the agencies during the site visits and open forums in Phase 1, discussions with the stakeholder team members and SEI's experience with information system implementations in other counties.

1. **Assign a project manager for the contracting and implementation process.** There are many important issues that need to be resolved between First 5 San Joaquin and the agencies that will adopt the system that can be addressed more efficiently and cost effectively by having a "point person" in San Joaquin County coordinate the process instead of asking the vendor to facilitate agreements among the agencies. The "point person" would serve as project manager for the contracting and implementation process to identify issues to be resolved, set up and facilitate meetings as needed to address issues, document agreements that are reached, manage communications with the vendor and coordinate activities between the vendor and the agencies. Issues already identified that will need to be resolved before the vendor can proceed with implementing the system (and in some cases, before the vendor can even produce a binding not-to-exceed cost figure and therefore before a contract can be finalized with the vendor), are:

- Commitments must be obtained from the agencies as to which ones will adopt the new system first.
- Those agencies need to make some decisions regarding what system functionality will, or will not, be implemented initially. For example, the system has excellent information and referral (I&R) features but some of those features require information about community resources for children and families to be set up in the system. Do the agencies want to use the I&R features? If so, is information about community resources available somewhere in San Joaquin County in an electronic format that can be imported to the ClientTrack system?
- So that core data can be consolidated and analyzed across agencies, decisions must be made as to which data fields will be standardized – used in the same way by all agencies that adopt the system – and to define the data structure for those fields (for example, the exact list of values that will appear on pick lists for those fields).
- Issues related to reporting include deciding whether to have the vendor build additional reports into the system that meet the exact specifications of First 5 San Joaquin or the agencies and, if so, producing an exact design of each new report to be built, obtaining a cost proposal from the vendor to build the reports, and coordinating the report development and testing process with the vendor.
- Data migration issues must be resolved such as which agencies will migrate data from their legacy tools/systems into the new system, defining precisely what data should be migrated, and coordinating the details with the vendor to enable the vendor to perform the data conversion work.
- Issues related to system security to address include identifying who will serve as overall system administrators, identifying the people in each agency to be set up as initial users and determining the appropriate access rights of each person, reaching agreements between agencies as to whether data will be shared among agencies (and, if so, what data is to be shared and with whom), and coordinating the work with the vendor to configure and test all of the security parameters in the system.
- Training-related issues include determining the desired approach to training (e.g. whether to have the vendor train all end users or employ a “train the trainer” model) and coordinating all logistics for the training such as dates, locations, and who will be trained when.
- Client assessment forms that are to be shared across agencies, such as the Ages and Stages Questionnaire and Life Skills Progression, must be identified and set up in the system in a coordinated manner that enables all agencies to access those assessment forms.

2. **Negotiate key guidelines and protections into the vendor contract.** Contracts for information systems involve some complex and technical issues, so it will be very important for the County Information Systems group to be integrally involved in negotiating the contract with the vendor. Examples of protections that should be considered for the contract are to require a copy of all source code and documentation for the system to be held in escrow for release to First 5 San Joaquin if the vendor goes out of business or is otherwise unable to continue providing maintenance and support services, and including penalties for excessive downtime of web-based systems. The contract should also address the following key issues:
 - Since it is hoped that other agencies will decide to adopt the new system after seeing the success of the initial adopters, it is recommended to negotiate upfront with the vendor the cost of adding agencies in the future and include provisions in the contract allowing First 5 San Joaquin to add agencies and users at the agreed-upon prices.
 - Negotiate provisions into the contract to specify what happens if a contractor leaves the consortium or is no longer funded by First 5. Each agency that adopts the system should have the right to continue using the system at their own cost even if they are no longer funded by First 5. The contract should specify the process and pricing for an agency to separate from the master contract between the vendor and First 5, and must also include provisions that guarantee each agency the ability to obtain all of their agency-specific data in a machine-readable form using an industry standard file format as a protection in case an agency decides to migrate to a completely different system.
 - If the vendor hosts the system, the contract should have strong provisions that ensure that First 5 San Joaquin and/or the County of San Joaquin can obtain all database files, software, schematics, software and other materials necessary to take over the hosting if the vendor is unable to provide support or keep the system accessible for the agencies.
3. **Develop a parallel contract or memorandum of understanding with the contractors.** If First 5 San Joaquin wants the agencies that adopt the new system to share in the initial acquisition costs or annual maintenance and support costs, the cost sharing structure must be negotiated and reflected in a written agreement between First 5 and the agencies. Even if the agencies are not asked to share in the costs, a basic memorandum of understanding (MOU) between First 5 and the agencies should be executed that spells out the mutual responsibilities and expectations of each party regarding the initial implementation, ongoing usage of the system and data sharing. The MOU should also address the question of who owns the data stored in the system – the agencies, First 5 or both?
4. **Invest in local technical support for the system.** A crucial element in the long-term success of an information system of this type is ensuring that all agencies and users have access to timely, responsive technical support. Beyond the basic phone and web-based support available from the vendor, agencies should have access to at least one (and

ideally two or more) people who can take care of issues that require greater technical skills such as changing aspects of the system configuration, building new data entry screens and building complex new reports to meet emerging information needs of the agencies. With six or more agencies using the same system, it can be most cost effective to have trained personnel located in San Joaquin County handle this type of in-depth technical support for the agencies rather than paying the vendor for these services.

5. **Provide technical assistance to contractors on general computing issues.** Information obtained during the site visits, open forum and survey of contractors and First 5 San Joaquin identified some technical assistance needs beyond what would typically come from the vendor of the client level information system. These needs largely relate to strengthening the basic computing skills of some potential users of the new system, such as some of the Parent Educators that are conducting home visits with families. Specific capacity building priorities that were identified by the agencies are:
 - Training on general computer use such as how to set up file folders on the computer, basics of Windows programs, use of the Internet and how to attach files to email messages; and
 - Basic to intermediate level training on Microsoft Excel, since Excel can be a very useful tool for data analysis that works together with the ClientTrack system.
6. **Create a model for on-going training on the system.** Training people how to use the system should be viewed as an ongoing process, not a one-time event. Regular training sessions for end users should be scheduled so that new staff members at the agencies can be trained in a timely manner and so that all users can get periodic refreshers or can delve into more advanced system features. Similarly, system administrators responsible for the overall configuration and management of the system may need updated training on new features and advanced system administration topics.
7. **Set up and maintain a local users group.** Some agencies that work with the Centralized Eligibility List Management System (CELMS) have spoken highly of the value of the local users group that is coordinated by the San Joaquin County Office of Education. The users group gives agencies an opportunity to share experiences with the system, learn from each other and identify improvements that are needed. A similar approach is recommended for the client level information system.

BUDGET FOR IMPLEMENTING THE RECOMMENDATIONS

The table on the next page presents a three-year financial forecast or budget for implementing the various recommendations contained in this report. The vendor costs are based on an Application Service Provider (ASP) model where the vendor hosts the system; this assumption is explained in more detail below.

<u>Item</u>	<u>Quantity</u>	<u>Unit Cost</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Total</u>
PRELIMINARY VENDOR COST PROPOSAL: 50 concurrent users						
One-Time Setup Fees						
Server/Agency Setup	1	\$1,550	\$1,550	\$0	\$0	
User Setup	50	\$125	\$6,250	\$0	\$0	
Implementation Services						
Implementation Planning	22	\$100/hr.	\$2,200	\$0	\$0	
Administration and Tools Training	20	\$100/hr.	\$2,000	\$0	\$0	
User / Train-the-Trainer Training	22	\$100/hr.	\$2,200	\$0	\$0	
Project Management	12	\$100/hr.	\$1,200	\$0	\$0	
Monthly Service Fees (ongoing, 5% annual increase)	50	\$50/mo.	\$30,000	\$31,500	\$33,075	
Subtotal – Vendor Cost Proposal			\$45,400	\$31,500	\$33,075	\$109,975
ADDITIONAL VENDOR COSTS ANTICIPATED						
Data Migration Services	100	\$100/hr.	\$10,000	\$0	\$0	
Report Development	6	\$2,500	\$15,000	\$0	\$0	
System Configuration Support	20	\$100/hr.	\$2,000	\$0	\$0	
Travel Expenses			\$2,500	\$0	\$0	
Subtotal – Additional Vendor Costs			\$29,500	\$0	\$0	\$29,500
LOCAL STAFF SUPPORT AND EXPENSES						
Implementation Project Manager	360	\$50/hr.	\$18,000			
Local Technical Support Staff	.25 FTE	\$80,000	\$20,000	\$21,000	\$22,050	
Training Room Rental & Other Expenses			\$2,000	\$1,000	\$1,000	
Subtotal – Local Staff Support/Expenses			\$40,000	\$22,000	\$23,050	\$85,050
TOTAL ESTIMATED COSTS			\$114,900	\$53,500	\$56,125	\$224,525

Key assumptions affecting the budget are:

- Hosting of the system.** “Hosting” of the system refers to who provides the main computing infrastructure for the system, particularly (for this system) the operation and maintenance of the servers where the system software runs and where the databases are housed, and the Internet connections that enable many users across many agencies to connect to the system and use it over high-speed data links. The budget assumes that the vendor, Data Systems International, will provide the hosting services. However, the vendor is also willing to license their software to groups that want to host the system themselves. If First 5 San Joaquin, the contractor agencies and/or the County have a strong preference for a local organization to host the system, three possible local hosts have been identified: the County of San Joaquin, the University of Pacific and the San Joaquin County Office of Education.

The following table compares the pricing differences between licensing the system to an agency that hosts it in San Joaquin County or having the vendor host the system under an Application Service Provider (ASP) model. As the table shows, the vendor’s fees are virtually the same over a three-year period under either model; the purchase license model involves higher upfront costs and lower annual costs thereafter. However, it is

important to note that any fees that might be charged by the County or another local agency to host the system are not reflected in these figures.

<u>Item</u>	<u>Quantity</u>	<u>Unit Cost</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Total</u>
PURCHASE LICENSE MODEL (hosted by an agency in San Joaquin County)						
Software License Fees						
ClientTrack Server Software	1	\$40,000	\$40,000	\$0	\$0	\$40,000
User Software Licenses	50	\$350	\$17,500	\$0	\$0	\$17,500
Software Maintenance						
Server Software Maintenance			\$7,200	\$7,560	\$7,938	\$22,698
User Support (per user/year)	50	\$125	\$6,250	\$6,250	\$6,250	\$18,750
Implementation Services			<u>\$8,640</u>	<u>\$0</u>	<u>\$0</u>	<u>\$8,640</u>
Total – Purchase License Model			\$79,590	\$13,810	\$14,188	\$107,588
Total – ASP Model (shown on prior page)			\$45,400	\$31,500	\$33,075	\$109,975
Difference			\$34,190	-\$17,690	-\$18,887	-\$2,387

- Additional vendor costs.** Data Systems International representatives stated that a typical cost to have them build a custom report is \$2,500; this figure includes design, development and testing of the report. The budget has an allowance for the vendor to build six such custom reports during the initial implementation phase that will be available on a “one-click” basis to all of the agencies to handle information needs that are not addressed by the reports already included in the base system. Similarly, an allowance of 100 hours of data migration services is included to enable the vendor to convert legacy data from the agencies into the new system. This is a rough estimate that should be sufficient to convert the simple data that most agencies have stored in Excel spreadsheets, plus two more complex data conversions for the agencies that have more sophisticated home-grown database applications in use (Community Partnership for Families and United Cerebral Palsy). After the initial implementation is completed, it is expected that the local technical support staff included in the budget will be able to build additional custom reports that are needed by the agencies, so vendor costs for report development are not included in years 2 and 3.
- Staffing impact.** The budget assumes that the only additional staffing that will be required is a Project Manager during the initial contracting and implementation period (60 hours per month at \$50 per hour for six months) and a ¼-time Technical Support position (estimated at \$80,000 annualized combined salary and benefits * 25% time devoted to client level information system support, with 5% annual cost of living and merit increases) starting early in the implementation period so the Technical Support person can go through training and can assist with system configuration tasks during the implementation process. Additional technical staff for network and database maintenance is not included on the assumption that the vendor will host the system under an ASP model. The implementation process will take some staff time for First 5 and the participating agencies, but it not expected that these time requirements will be large enough to necessitate hiring of additional staff.
- Hardware upgrades.** No hardware upgrade costs are anticipated for the agencies or individual system users because ClientTrack is fully web-based system that only

requires a web browser and Internet connection, and all agencies expressing an interest in using the system indicated that they already have high-speed Internet connections. On the assumption that the vendor will host the system under an ASP model, no hardware upgrades are needed for system servers or extra Internet bandwidth to support the system.

- **Technical assistance on general computing.** The budget assumes that general technical assistance for agency personnel on computer use can be provided through First 5's existing contract with the Center for Health Training for contractor capacity building services and/or through other local training outlets already in place, and thus no additional costs are required for this technical assistance.
- **Vendor discounts.** All costs from Data Systems International reflect the vendor's standard prices. In the course of developing a contract, there may be room to negotiate a discount in these prices.

APPENDIX A: DETAILED SYSTEM REQUIREMENTS

The complete set of system requirements that was developed for CLIPP is shown below. "System requirements" are the features, capabilities and characteristics that a client level information system should have in order for the system to meet the needs of the agencies providing case management and home visitation services as well as First 5 San Joaquin.

Representatives from ten agencies assigned a priority level to each requirement, using the following scale:

- 1 = Not Needed
- 2 = Limited Importance
- 3 = Moderately Important
- 4 = Very Important but Not Essential
- 5 = Essential

The average priority rating is shown for each requirement. Any item with an average priority rating of 4.0 or higher across all ten agencies was considered essential, items with an average priority rating of 3.0 to 3.99 are considered very desirable but not essential, and items with an average priority rating below 3.0 are considered "nice to have" features.

<u>Ref Code</u>	<u>Title</u>	<u>Details/Description</u>	<u>Priority (1 - 5)</u>
1. CLIENT-LEVEL DATA			
<i>This section describes all of the types of data that the system should capture and store for clients that receive services. A "client" may be a child, parent, family unit, child care provider or other person. This is a combined list of data needs obtained from all of the participating agencies; no single agency will need all (or even most) of these data items.</i>			
General/demographic data			
1.1	Data for all clients	Name, type of person/client (child, parent, teacher, child care provider, etc.), birth date, place of birth, SSN, gender, address w/ zip code, phone #, ethnicity, primary language, school zone (School Readiness program area), citizenship, list of disabilities / special needs / anomalies for the person, client consents received - may have multiple consents to track (e.g. First 5, program's own consent form, agreement by client they have received information, etc.), referral source (how client heard about the program, where referred from), history of moves made by the client (e.g. to see moves from one town and/or school to another), history of contact information for the client (e.g. old phone numbers, phone numbers of relatives or friends), free-form notes	5.0
1.2	Additional data for children	Parent/guardian name(s), name of person who has custody of the child, immunization status, if child has attended preschool and if so where, yes/no flags (child is in foster care, low birth weight child, in special education, others)	4.6
1.3	Additional data for newborns	Hospital/location where born, birth weight, birth length, head circumference, Apgar score, breast or bottle fed	2.1

Ref Code	Title	Details/Description	Priority (1 - 5)
1.4	Additional data for parents	Disabilities present, level of educational attainment, income level, income source(s), place of work, single parent household, presence of chemical dependencies, involved with corrections system, homeless, voting (if a registered voter and, if so, if vote regularly), pregnant, usual sources of medical care (medical home), transportation available	3.6
1.5	Additional data for families	Children and their parents, guardians, or caregivers can be grouped into family units and analyzed as a family, with additional data to be captured for each family unit to include: family record ID, family name, household size, names and ages of all other children and adults in the home (regardless of age), family status (two parent, single mom/dad, grandparent, step-parent, non-custodial parent, relative, other), household income level, presence of checking & savings accounts, child care services used / desired or reasons for not using child care, family health history	3.4
1.6	Data for pregnant women	Estimated date of conception or last menstrual period, due date, pregnancy risk factor(s) identified, date of initial OB visit, dates and number of ante partum visits, # of past pregnancies, # of living children, # of miscarriages, # of therapeutic abortions	2.1
1.7	Additional data for teachers	School, classroom, level of educational attainment	2.2
Assessments			
1.8	General needs assessments	List of services currently being received by a client and lead agency for each service, list of all current needs identified for the client and priority level of each need so that immediate needs can be easily seen and reported (notes: must be able to flag/attach multiple needs for each person, and each agency must be able to configure the master list of potential needs in the system)	4.7
1.9	Child assessments	Ability to capture complete assessment information from each of the following assessment tools, including date of assessment: (1) Ages and Stages Questionnaire; (2) Raising a Reader pre- and post-test results; (3) DRDP / MDRDP; (4) Denver Developmental Assessment; (5) Carolina assessment and curriculum; (6) other assessment tools for special needs; (7) kindergarten readiness assessments; and (8) assessments based on the opinions of professionals working with the child (may be non-structured, e.g. text-based)	4.7
1.10	Child health screening	Date of screening, person doing the screening, and clinical data/results for medical, dental, vision, hearing and immunization screening of children	4.7
1.11	Parent assessments	Parent knowledge index, enrollment in parent skill development program, results of parenting skill pre- and post-tests, participation as community school volunteer or in other community engagement activities, and assessments based on the opinions of professionals working with the parent (may be non-structured, e.g. text-based)	3.6
1.12	Family assessments	Ability to capture complete assessment information from each of the following assessment tools, including date of assessment: (1) Life Skills Progression; (2) child environment assessment indicators on First 5 San Joaquin form; and (3) assessments based on the opinions of professionals working with the family (may be non-structured, e.g. text-based)	4.2
1.13	Educator assessments	Early care and educator provider survey results (including but not limited to Environmental Rating Scales for Family Child Care and Center-Based Child Care), teacher survey results	2.9
1.14	Health insurance screening	Date screened for health insurance status, type of health insurance for child - and separately for parent(s) - if they already have coverage, referrals made for health insurance enrollment/application assistance	4.5

Ref Code	Title	Details/Description	Priority (1 - 5)
Service delivery data			
1.15	Intake and service cycle	Date of first contact with client, current status (pending, on wait list, active, inactive, terminated), date of entry into services, date of exit/discharge, reason for exit/discharge	5.0
1.16	Case management	Status as of intake screening (case management needed, case management not needed, co-case management), name/ID of case manager, number of people in family by age group receiving direct and indirect case management services	4.0
1.17	Home visits	Data to capture for each home visit: visit date, child(ren)/parent(s) participating, person conducting visit, length of visit in minutes, activities conducted (coded so they can be searched/reported), name of interpreter, other agencies participating in the visit, observations and other notes. If a visit is cancelled, capture who cancelled the visit, reason for cancellation and whether the visit has been rescheduled	4.4
1.18	Group meetings/events	Data to capture for parent meetings, workshops, community forums and other types of group events to include: type of meeting or event, meeting date, location, person conducting meeting, length/duration of event, list of registered participants, list of actual participants with contact information captured for each participant, # of new participants, topics covered, agencies in attendance, cost of event	4.1
1.19	Other client service encounters	Type of contact (e.g. telephone call, office visit, school visit, hospital visit, email, etc.), reason for visit (up to 3 per visit), person who handled the contact, date, duration in minutes, notes	4.1
1.20	Client goals and progress	List of client goals and, for each goal, capture date established, progress milestones and date(s) of progress measurements (including changes in developmental level according to each of the five domains of child development), level of achievement	3.7
1.21	Referrals to other agencies	Referral date, type or category of referral (to be able to later query/report referrals by category such as referrals for speech, medical needs, food, housing, etc.), where referred, address and phone number of agency where referred, person that made the referral, priority level of the referral, data about the results of the referral (e.g. whether completed, date that service occurred/started by other agency, date of follow-up, contact person, what services were ultimately provided, what happened), barriers to service if the referral was delayed or not completed	4.7
1.22	Special education	Individualized Education Plan (IEP) and Individualized Family Service Plan (IFSP) data, including specific diagnosis codes or suspected delays	3.0
1.23	Preschool enrollment	For each child enrolled in a First 5 Preschool program: date that the enrollment packet was returned, school, priority level, class preferred/ requested, class assigned to, yes/no fields for every form in the registration packet to validate that every form was received, yes/no fields for every document that must be included in the child's file per state licensing guidelines to validate that all documents have been received	2.8
1.24	Preschool attendance	Track which day(s) each child enrolled in a First 5 Preschool program has attended, with identification of the class, location and teacher involved	2.2
1.25	Resource usage	Track client use of materials available on loan (books, equipment, videos, etc.) - data to capture includes client name/ID, item(s) provided, indication if item was loaned or given to the client, serial #'s of item(s) loaned, date of issue, due date, date of renewal/return, client rating/satisfaction with item	3.5

Ref Code	Title	Details/Description	Priority (1 - 5)
1.26	Case file management	Track case file reviews for individual clients, to include: file reviewer, date(s) of review, review notes, corrective actions needed, tracking/verification that corrections were completed (e.g. date and person who addressed each action item)	3.9
Other client level data			
1.27	Release of information	Allow multiple release of information forms to be attached to each client and, for each release, capture: date of release form, agencies for which release of information was authorized, time period covered (i.e. when the release expires)	4.8
1.28	Information/follow-up requests	Ability for each parent to designate if they would like to receive more information about services available from the program/agency collecting the data	3.2
1.29	Client satisfaction surveys	Questions and answers from client satisfaction surveys; can be one-time survey or periodic surveys (e.g. every three months)	3.7

2. PROGRAM MANAGEMENT DATA (NOT CLIENT-SPECIFIC)

This section lists additional types of data, other than data about individual clients or direct client services, which the system should be able to capture and report.

Program/service definitions			
2.1	Programs	Ability to create new programs for which data will be tracked in the system, to include program name, location(s), service(s) provided	4.2
2.2	Services	Ability to define new client services to be tracked in the system	4.2
2.3	Locations	Support for multiple service locations with flexibility to assign the service location to any individual client service	4.2
Staff			
2.4	Staff members	Ability to capture basic data about program staff (can include volunteers) such as name, position, start date, termination date, annual training/education requirements	3.4
2.5	Certifications	Licenses and certifications currently active for each staff person and next renewal date for each item (e.g. First Aid and CPR certifications, special licenses)	3.1
2.6	Insurance	Proof of driver's license, auto insurance and car registration, with next renewal date for each of these items	2.5
2.7	Continuing education	Log of continuing education units completed by each staff person (date, topic/event, CEU provider number and name, # of CEUs received) or classes completed by child care providers toward quality enhancement goals	3.1
2.8	Other staff requirements	Fingerprints received/checked, TB test (date completed, next date due)	2.7
Resource materials			
2.9	Inventory of resources	List of resource items available for client use, with data for each item to include: item ID/tag #, item type (e.g. equipment, book, bus pass, New Parent Kit, etc.), description, location, acquisition date, cost	3.3
Other service providers			
2.10	Provider staff surveys	Capture data from provider staff surveys so changes in attitudes or practices can be tracked over time, such as changes in attitudes toward breastfeeding by staff	2.7

Ref Code	Title	Details/Description	Priority (1 - 5)
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THE CATEGORIES FROM THIS POINT FORWARD REFER TO FEATURES, CAPABILITIES OR CHARACTERISTICS SOUGHT FOR THE INFORMATION SYSTEM, and not specific types of data to be captured in the system.

3. DATA CAPTURE AND TRANSFER

This category describes features that assist people with entering data into the system, transferring previously-entered data to other software programs, or coordinating data between different agencies.

Flexible screen/form design

3.1	User-defined data fields	Enable an agency, or a program within an agency, to configure the system to capture additional data that they need (beyond the core data set captured by the system); this must include the ability to include user-defined fields on reports or select/filter report data based on these fields	4.8
3.2	User-defined screens	Allow data entry screens to be designed to match paper forms so that information can easily be entered from the paper forms into the system	4.7
3.3	Configurable look-up lists	Allow the agency to configure what values should appear in each drop-down list in the system (e.g. list of primary languages, ethnicities, service locations, and so on - anything that is codified)	4.6
3.4	Color coding of fields on screens	Ability for each agency to change the color of data fields on the data entry screens in the system so that fields match the color of the forms used to capture the data for those fields	3.3
3.5	Configuration of required data fields	Ability for each agency to determine which data fields are required (i.e. must be entered in order to create a valid record) and which ones are optional, and to visually highlight required fields on the screen so they are obvious to people entering data	4.7

Data entry support

3.6	Multiple-user data entry control	Provide controls over entry of data by multiple people at the same time, including ability to see what data was entered last and by whom and to see who else is logged into the system at any given time	4.6
3.7	Data entry for group events	Be able to enter all data for a group event as a batch but link the information back to individual clients; for example, be able to enter all parent meeting or workshop participants on one screen without having to jump between each client to enter information about their attendance at the event	4.6
3.8	Offline data entry	Ability for people in the field to be able to enter data on their laptops and then upload it to the main database when they are able to reconnect to the system	4.4
3.9	Scanned client level forms	Support for scan forms (e.g. Scantron bubble sheets) to capture and enter detailed data about children, especially standardized assessments like the DRDP scores	3.1
3.10	Swipe cards	Support for electronically coded cards for each client so the agency's staff can swipe the card and have the system automatically pull up data for that client	2.3
3.11	Scanned bar codes for resources	Ability to tag resource items (equipment, books, bus passes, New Parent Kits, etc.) and easily scan items in order to maintain an inventory of resource items and track usage by clients	2.6

Ref Code	Title	Details/Description	Priority (1 - 5)
Data import/export			
3.12	Import data from files	Ability to import data into the system from common file formats such as Excel files and comma- or tab-delimited text files	4.6
3.13	Export data to files	Ability to export data from the system into common file formats such as Excel files and comma- or tab-delimited text files so the data can be shared with other systems in an automated manner	4.7
3.14	Interface with school data system	Automated way for data on preschool children to be sent to the main student information system used by the school district when the children are ready to enter Kindergarten	2.7
Cross-agency data coordination			
3.15	Agency identifier	Give each agency using the system a unique identifier that is attached to all client records	4.7
3.16	Cross-agency client matching	When a new client is entered into the system, search the consolidated database of clients across all agencies using this system and display a list of possible matches (subject to client release of information consent) to help identify situations where a client is already being served by another agency	4.4
3.17	Transfer client data	Be able to transfer data electronically from one agency to another for clients that move to a different service area (and thus are served by a different agency and/or School Readiness Program) and clients that are referred to another agency using the same system, if a release of information authorization is on file that allows the data to be transferred	4.3
3.18	Consolidated database	Ability to consolidate non-confidential data (i.e. no data to identify individual clients) for all agencies into one database so it can be analyzed across all agencies using the system, e.g. to assess client needs or referral patterns across all agencies	3.9

4. SERVICE DELIVERY SUPPORT FEATURES

This category lists additional features sought for the system that can help improve the delivery of client services.

Client data access

4.1	Integrated view of client data	Be able to access - and print - <u>all</u> data about an individual client or family from one place in the system instead of having to go to one part of the system to look at client needs, another disconnected place in the system to see services provided to the client, and so on	4.8
4.2	Attach files to client records	Ability to attach disk files (including but not limited to scanned images and Word/PDF documents) to each client record	3.5

Program/service guidelines

4.3	Program curriculum	Have some way to codify the modules or elements of a structured curriculum being used by a program (e.g. Parents as Teachers, PCHP, HIPPIY, Healthy Families America and others) in order to simplify data entry, so that users can just select which element(s) of the curriculum were covered in a particular client visit and the system can generate a draft Visit Record with details about the visit that can be edited and saved by the Parent Educator	3.8
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Service coordination

4.4	Calendar/scheduling support	Ability to enter upcoming activities (e.g. home visits scheduled with clients) and have this data linked to the rest of the client record; be able to see upcoming activities for a single staff person or see consolidated lists of activities by date/week across all staff	3.6
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Ref Code	Title	Details/Description	Priority (1 - 5)
4.5	Reminders/ticklers	Have the system track scheduled activities for a client, staff person or program, and display all upcoming events or items due (e.g. six-month child assessments due, referrals made to other agencies where follow-up is needed on the status of the referral, staff certification renewal due, program quarterly report due dates) with the ability to filter this list by type of activity (e.g. to see only child assessments due or referrals needing follow-up)	4.6
4.6	Reminder notices	Ability to print reminder notices based on upcoming due dates, such as generate notices to staff of upcoming items due (e.g. car insurance/registration renewal, certification renewal, etc.)	4.5
4.7	Client consent changes/updates	Users are alerted when client consent is expired or has been revoked/restricted by client	4.7
Client communications support			
4.8	Automated phone tree	Link to an automated phone tree system like those used by school districts so that Parent Educators can record a message to be broadcast automatically to all parents one or two days before their next scheduled visit, or to tell all parents about an upcoming Parent Meeting or other event	3.2

5. REPORTING

This category lists features for producing useful reports / information from the data captured in the system.

Types of pre-built reports needed

5.1	First 5 mandated reports	Ability to directly generate all statistics that must be submitted to First 5, consisting of: Quarterly Aggregate Data Report, Health Insurance Tally, Scope of Work report, ASQ Tally, D3 (Client Demographic) forms for individual clients	4.7
5.2	Demographic profiles	Means of quickly pulling statistics about clients served based on any of the demographic data fields captured in the system, such as number of Spanish-speaking clients or number of clients in a particular zip code	4.8
5.3	Analysis of client needs	Report(s) analyzing client needs, e.g. to see number of clients referred for a particular need or service and get more detailed demographic breakdowns about those clients	4.2
5.4	Client progress/changes reports	Reports showing changes in time in scores from standardized assessment tools (e.g. ASQ) or extent to which client goals have been achieved, with ability to show this data at an individual client level or an aggregated level (e.g. totals for a case manager or home visitor, for a program overall, etc.)	4.4
5.5	Parents as Teachers report	Ability to generate the Parents as Teachers Annual Program Report, or at least all of the components that involve compiling client demographic and service data	4.0
5.6	Program/service-specific reports	Reports showing statistics for an individual program or service, e.g. client demographics, # of unduplicated new clients vs. repeat clients, average # of participants for group events	4.7
5.7	Referral follow-up	Referral follow-up report that shows clients that have referrals for which no follow-up data has been entered, so that program personnel can use the information to check on the status of each referral	4.3
5.8	Form generator	Features to design forms in the system, include data fields on forms, use forms for data entry (e.g. ASQ form), and print forms that include some data like client's name but also can be used to capture information on paper for later input into the system	4.4

Ref Code	Title	Details/Description	Priority (1 - 5)
5.9	Mailing lists and labels	Generate mailing lists and mailing labels for people (or subsets of people) contained in the system	4.7
5.10	Form letters	Ability to use the contact information in the system to generate form letters, linked to a flexible query for selecting which people should receive the letter	4.6
5.11	Sign-in sheets	Ability to enter information about a group meeting/event (e.g. date, location, event leader) and select clients who are registered for the event, and then have the system print sign-in sheets with each registered person's name and contact information so they don't have to keep filling out the same data	4.0
5.12	Time study reports	Report(s) showing time spent by type of activity for each staff person, which can be used to support time studies by the agency	3.2
5.13	Trend reports	Ability to generate trend reports, e.g. to see how service levels, services provided, ASQ scores, LSP scores, etc. are changing over time (including current-year-to-last-year and multi-year comparisons)	4.0
Report generation - general			
5.14	Flexible query/filtering	Ability to select what subset of clients to show on a report based on client demographic and service data (including but not limited to these examples: show just a particular age group in a specific zip code, just clients enrolled in a particular program, just clients receiving a certain service or referred to a particular service, clients not receiving a particular service within a specified time period [e.g. enrolled children that haven't had their health screening yet], just clients served [or not served] within a particular time period, call list with names and phone numbers of people who have not yet returned a particular form)	4.9
5.15	Flexible sorting of rows/pages	Ability to sort reports by different data fields including staff person, school zone and others	4.8
5.16	Consolidated agency reports	Ability to combine programs, services and/or locations at any level of the agency's organization structure to get consolidated (e.g. agency-wide) views of services delivered and clients served	4.5
5.17	Age calculations	Flexible calculation of client ages to show on reports and to use in selecting/filtering data to appear on reports, e.g.: age as of today, age of date of last service, age at enrollment	4.1
5.18	Length of service calculations	Ability to compute the length of service for any client and the average length of service for a group of clients	4.5
5.19	Charts and graphs	Ability to create charts and graphs using different graph formats (e.g. pie or bar charts) directly from the system	4.6
5.20	Print preview	All reports can be previewed on the screen, and optionally printed on paper	4.8
5.21	Export reports to other programs	Ability to export fully-formatted, printable reports to other file formats (Microsoft Excel and Microsoft Word, at a minimum) so that reports can be emailed or manipulated further	4.8
Custom (user-defined) reports			
5.22	Selection of data to show	Ability to create new customized reports and select what data elements/fields to show on those reports rather than being limited to a set of pre-defined ("canned") reports	4.6
5.23	Aggregated data and calculations	Able to create custom reports that show summary statistics, and include calculations in those statistics (e.g. to divide total workshop hours by total number of workshops to get an average length of workshops) rather than only being able to show data for individual clients on custom reports	4.3

Ref Code	Title	Details/Description	Priority (1 - 5)
5.24	Report layout/design control	User can control the placement of data fields or calculated fields to appear on custom reports, can add text labels/titles, can change the font and/or color of all items on the report, and can otherwise control the appearance of report pages	3.9

6. EASE OF USE

This category contains other characteristics not listed in previous categories that are intended to make the system easier to use or the support the ability for people to learn how to use the system well.

User interface design

6.1	Intuitive layout of information	System is organized in an easy to use, logical manner with screens that are easy to read; important features are not buried many levels down in a series of screens	5.0
6.2	Point-and-click access	Features can be accessed with mouse clicks as much as possible, keeping keyboard use to a minimum, with screens also designed to support easy navigation with a mouse (e.g. features located in consistent places on each screen so as to avoid unnecessary jumping around with the mouse to access system features)	5.0
6.3	Consistent mouse behavior	Consistent mouse control - don't require single-clicks in some places and double-clicks in others	4.8
6.4	Consistent entry of dates	Use a consistent format for entering dates throughout the system, instead of allowing one format like MM/DD/YY in one part of the system while requiring a different format like MM/DD/YYYY in another part of the system	4.8
6.5	Drop-down menus w/ type-ahead	Use of drop-down menus throughout the system, with automatic prompts as characters are typed (e.g. type "CA" and first value from drop-down menu starting with "CA" automatically appears and can be selected quickly if it is the right value)	4.7
6.6	Configurable menus/features	Allow each agency to decide what subset of the system's functions they want to use and turn off / hide unnecessary features in order to make the system easier to use (less confusing)	4.7
6.7	Configurable screen font	Ability to make screen objects bigger or smaller in order to make them easier to see	4.4

Help features

6.8	Context-specific help information	Context-specific help information (e.g. pop-up comments) available on each screen	4.1
6.9	User manual	Complete user manual/documentation available in both online and printed formats	4.8
6.10	Tutorials	Tutorials that teach people how to use the system, preferably tutorials that use multimedia, are engaging (e.g. use games or other interactive elements), and include quizzes to test knowledge	4.8

7. SECURITY AND SYSTEM MANAGEMENT

This section lists features needed for the system to provide strong security over access to confidential client data and to otherwise manage the system from an administrative perspective.

Ref Code	Title	Details/Description	Priority (1 - 5)
Security			
7.1	User-level security	Ability to set up users with password protection and configure the level of access for each user (e.g. which features a person can access, whether a person can change data or only view it)	4.9
7.2	Automatic log-out	Automatically log a user out of the system if the person doesn't use the system within a defined period of time, but let the agency configure the number of minutes before a time-out occurs	4.6
7.3	Audit trail	System can produce an audit trail that provides a date/time stamp of record access and notifies system administrators of unauthorized access attempts	4.4
7.4	HIPAA compliance	The security and data integrity features of the system comply with all of the requirements of HIPAA for protection of electronic health and service data	4.4
Data management			
7.5	Data backup and recovery	Automated, fail-safe means are provided of making backup copies of all system data and restoring data from backup copies when needed	4.7
7.6	Data archiving	Ability to archive data for "old" clients, e.g. inactive clients not served during the past two years, but be able to retrieve those clients from the archive if needed	4.9
7.7	Long-term data storage	Means of long-term electronic storage of client data, e.g. until a child is 18 years old, is provided with the system	3.7

8. TECHNICAL CHARACTERISTICS

This section contains additional requirements about the types of computers, software compatibility and operating environment that must be supported by the system.

Computing platform

8.1	Windows support	System runs on PCs using Windows 2000 or later versions	5.0
8.2	Web browsers	Web-enabled portions of the system support the following Internet browsers: Internet Explorer, Mozilla, AOL, Yahoo	5.0
8.3	Database platform	System supports Oracle and other high-performance database platforms (note: it is acceptable if the system also supports Microsoft Access and other database platforms as well)	4.6

System architecture

8.4	Web-enabled	System is able to be accessed via the Internet for use of all data entry, reporting and other system features	4.9
8.5	Distributed (multi-site) access	System is designed to work effectively in an environment where users are spread across multiple locations and are not necessarily connected to one computer network (but are able to access the Internet from each location)	4.9
8.6	Multi-agency deployment	System's architecture supports efficient implementation and use by multiple different agencies	4.6
8.7	Portability for individual agencies	In the event an agency is no longer funded by First 5, mechanisms are provided to allow an agency to have their own private implementation/use of the system (at their cost) without losing any historical data they have entered into the system	5.0
8.8	Direct access by First 5	Ability for First 5 to directly access the system to generate summary-level reports (but no details for individual clients)	4.2

APPENDIX B: SYSTEM SELECTION CRITERIA

The following criteria were developed in Phase 2 of the project, and then used in Phase 3 to compare different client level data systems and help select the system (and vendor) of best fit for the San Joaquin County agencies participating in the project.

1. **Fit with software requirements** – extent to which all high priority or “must have” capabilities are available in the system, and the extent to which other desired features are also available.
2. **Technological approach** – the extent to which the system takes advantage of the latest in proven technology and is designed in a manner to be able to evolve to keep with technology changes in the future (as opposed to becoming technologically obsolete).
3. **Product maturity** – number of years the product has been commercially available, number of system releases or versions to date, and the extent to which the product is already proven to work in many different organizations that are using it in a manner comparable to the intended use in San Joaquin County.
4. **Vendor size and stability** – annual revenues, total number of staff, total number of clients, and other factors that indicate that the vendor is financially stable and likely to stay in business for the foreseeable future.
5. **Implementation approach and services** – the extent to which the vendor has a well-defined process and sufficient professional service capabilities to get the system installed and running smoothly in San Joaquin County.
6. **Documentation** – availability of complete, useful and easy to use documentation explaining how to use the system.
7. **Training** – effectiveness of the approach to training of system users so that initial users are trained and then a practical, cost-effective approach exists to training new system users in the future. Written training manuals are provided for use as reference tools after the training is completed.
8. **On-going software support** – availability and quality/ responsiveness of telephone, Internet-based, fax, and/or other forms of support services to answer questions and resolve system problems that are encountered.
9. **Software maintenance and upgrades** – vendor’s approach to distributing software upgrades and getting them installed on user systems, including automation of any database conversions that are required because of software upgrades.

10. **Ability to migrate data** – availability of a practical means of transitioning existing data stored in electronic forms at agency sites into the new system and, conversely, a practical means of migrating all data from the system into a different system from another vendor so that each agency retains full control over its data and retains the option of converting to another system if the product/vendor does not ultimately meet an agency's needs in a satisfactory manner.
11. **Client references** – the satisfaction of current system users with the software quality, vendor service, and other key factors, including the ability of the trainers to work effectively with all types of people (including non-technical people).
12. **Cost** – total cost to acquire and install the system after including software license or usage fees, initial implementation and data conversion costs, training costs, hardware and operating software upgrades, and on-going maintenance and support costs.

APPENDIX C: COMPARISON OF SYSTEM CAPABILITIES

Starting on the next page is a chart showing the capabilities of each commercially-available system that made it to the second stage of the evaluation, compared against the requirements developed by the San Joaquin County CLIPP Stakeholder Team. Features are grouped into the eight main categories in the system requirements shown in Appendix A (Client-Level Data, Program Management Data, Data Capture & Transfer, Service Delivery Support Features, Reporting, Ease of Use, Security and System Management, and Technical Characteristics) and then are divided by sub-group within each major category.

Codes used to rate the capabilities of each system are:

- Y Yes - product meets all requirements
- A Acceptable - product meets all essential requirements (those with a priority rating of 4 or higher) but some requirements with lower priority ratings are not met or partially met
- P Partial - product meets some or most of the essential requirements but does not meet at least one requirement with a priority rating of 4 or higher
- N No - product meets few or none of the requirements

Systems are presented in two groups, in alphabetical order by vendor name. The first group has four systems (ACMS: Casewatch Millennium, Bowman Systems: Service Point, Data Systems International: ClientTrack and MetSYS: MetEnterprise and MetLite). The next group has the three other systems (Persimmony: Children & Families Systems, Synergy Software: SAMS/Omnia and Vision Link: Tapestry).

PRODUCT FEATURE COMPARISON: ACMS, BOWMAN SYSTEMS, DATA SYSTEMS INTERNATIONAL AND METSYS

Category	Requirement Group	ACMS: Casewatch Millennium	Bowman Systems: Service Point	Data Systems International: ClientTrack	MetSYS: MetEnterprise and MetLite
Client-Level Data	General/ demographic data	Y Extensive set of fields contained in the Data Dictionary that comes with the system. Ability to create user-defined fields should allow other data needs to be met, but vendor indicates that some customization of the data fields may be required to meet San Joaquin County agency needs.	Y The Service Point modules allows for easy entry, edit and deletion of client demographics. Family link tool allows for the addition of other members, and individuals can be linked to multiple households. Easy to track/display change in status and detailed history.	Y System has the ability to collect and report on a full array of demographics. Forms can easily be changed to add new data fields at any time. Ability to maintain past, present and future families and their own separate status and addresses. A new tool for other interested parties captures other important people involved with the child.	Y The system has almost 5,000 pre-defined data fields about client characteristics that cover virtually all San Joaquin County agency needs. An additional 400 user-defined fields are available to address any needs not handled by the pre-defined data fields.
	Assessments	A Has existing client assessment capabilities but would need to be customized to meet requirements for the multiple assessments listed. Assessments can <u>not</u> be flexibly built by agencies/users but must be programmed by the vendor.	Y Very flexible tools to create client assessments and capture assessment data. Can have some assessments that are shared by some/all agencies and other assessments that are agency-specific.	Y Over 40 assessment instruments are pre-built into the system, and outstanding tools are provided to flexibly create additional client assessments forms and capture assessment data.	Y An Assessment/Snapshot Tool is provided to allow agencies to create their own assessment forms and capture point-in-time assessment data.
	Service delivery data	P Good intake, case management and group event capabilities are provided in the standard system. Some custom programming would be required by the vendor to fully handle client goal/progress tracking. Does not handle preschool enrollment.	Y All requirements met; no limitations noted. The information & referral and client goal/progress tracking features look especially strong. An integrated module (ActivityPoint) is provided for managing group meetings/events. Case notes are limited to 4000 characters each.	Y All requirements met; no limitations noted. Support for client goal and progress tracking, referrals and case management looks especially strong. Unique ability to create Microsoft Word-like templates for entering case notes – could really help home visitors and others.	Y The system has user-customizable Case Record Sub-systems that enable agencies to define their own case management data interfaces. It looks like all San Joaquin agency requirements can be met by the combination of standard features and user-defined screens.
	Other client-level data	Y All requirements met; no limitations noted. System has a Registration Module that tracks the completion of consent forms and the ability to print out forms.	Y All requirements met; no limitations noted. The main client screen makes it immediately obvious is a client's consent (release of information) has expired.	Y Ability to develop consent forms, add signature rows, print out and email to other providers. Can maintain specific rules and timelines for each client and by agency. Can maintain client release information by transaction.	Y Easily handles multiple release of information forms, including templates for release forms Handling of surveys would be a bit clumsy (done by attaching custom screen to Client Follow-Up part of the system) but is possible.
Program Manage- meet Data	Program/service definitions	Y All requirements met; no limitations noted.	Y All requirements fully met. The administration module has the ability to add and edit detailed agency/program information and attach programs to agencies. Easy to add new services.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.

Category	Requirement Group	ACMS: Casewatch Millennium	Bowman Systems: Service Point	Data Systems International: ClientTrack	MetSYS: MetEnterprise and MetLite
	Staff	P Able to capture data about staff members, certifications and continuing education. Custom changes by the vendor needs to capture aata about insurance (reqt #2.6) and other staff data (reqt #2.8).	Y The vendor states that all of these requirements are fully met but these features were not reviewed during the online demonstration due to time limitations.	Y The vendor states that all of these requirements are fully met but these features were not reviewed during the online demonstration due to time limitations.	Y Able to enter data about each staff person as a standard part of the system, plus able to create a user-defined auxiliary data entry screen linked to each staff person to capture extra data desired by San Joaquin County agencies.
	Resource materials	Y The system has an inventory sub-module used to catalog and track property items.	N Not currently handled by the system but the vendor indicated they are willing to add this feature if necessary.	Y The vendor states that all of these requirements are fully met but these features were not reviewed during the online demonstration due to time limitations.	Y The vendor states that this requirement is fully met but the features were not reviewed during the online demonstration due to time limitations.
	Other service providers	Y A flexible survey module can create surveys and to enter respondents' answers. Surveys are created by the facility and can be directly linked to clients, family members, providers, staff, etc.	Y The vendor states that provider staff survey data can be captured in the system but these features were not reviewed during the online demonstration due to time limitations.	A A survey module is provided with the system, which the vendor indicates can be used to support surveys of providers as well as surveys of clients.	P May be able to capture limited staff survey data as part of a user-defined auxiliary screen attached to each staff person, but some custom programming by the vendor is likely to be needed.
Data Capture & Transfer	Flexible screen design	A Does not allow agencies to color-code fields on the screen but all other requirements are met.	Y All requirements met; no limitations noted. Excellent flexibility is provided in configuring data fields, look-up lists, data entry forms and more.	Y All requirements met; no limitations noted. Excellent flexibility is provided in configuring data fields, look-up lists, data entry forms and more. Unique ability to create "dashboards" for each user to organize exactly which features each person needs/uses the most.	A Does not allow agencies to color-code fields on the screen but all other requirements are met. A "TaskView" tool provides much flexibility in configuring data entry screens. System is limited to 400 user-defined fields.
	Data entry support	P Able to meet requirements for multi-user data entry (#3.6) and data entry for group events (#3.7). Internet connection required to enter data; cannot enter data if not connected to the network. No other requirements in this section are met (no support for scan forms, swipe cards or bar codes).	A Systems does not support scan forms to enter client data but can automatically generate a client ID card with bar code that makes it easy to call up client data by scanning the ID card. Off-site data entry requires either wireless Internet connection or ability to capture data in a tool like Microsoft Access that can produce an XML-format file for upload to ServicePoint. All other requirements met.	A Systems does not support scan forms to enter client data but does support swipe cards and bar codes. Off-site data entry via a Tablet PC is not currently available but scheduled for release by the end of 2007. All other requirements met.	A Systems does not support scan forms to enter client data but otherwise meets all requirements (including support for swipe cards and bar codes).

Category	Requirement Group	ACMS: Casewatch Millennium	Bowman Systems: Service Point	Data Systems International: ClientTrack	MetSYS: MetEnterprise and MetLite
	Data import/export	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.	P Data export tool is provided. Data import tool has been designed but not built yet by the vendor.
	Cross-agency data coordination	Y All requirements met; no limitations noted. Has a unique automated Case Transfer feature to transfer data for a client to another agency (with client consent).	Y All requirements met; no limitations noted. Data can be shared as freely as desired or can be restricted based on user access levels. Data can be aggregated across agencies for reporting and trend analysis.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.
Service Delivery Support Features	Client data access	Y All requirements met; no limitations noted.	A A custom report would have to be created to print all data about a person/family in one place, but otherwise requirements are met.	Y All requirements met. Ease of data access does depend on how the client data screens/forms are laid out; so much flexibility is provided that client data access can be made simple or very complex.	Y All requirements met, although layout of client data makes it confusing at times which screen or tab to use when accessing information about a client.
	Program/service guidelines	Y The vendor states that program curricula can be captured in the system but these features were not reviewed during the online demonstration due to time limitations.	Y It appears that the tool used to create custom assessment forms could be used to create data entry forms that have the PAT or other curriculum embedded in the form. This may need to be explored further.	Y Two approaches are available – create case note templates that embed program curricula, simplifying data entry (template fills in as much data as possible) or create custom assessment forms with conditional logic that fills in data based on program curricula.	Y The vendor states that program curricula can be captured in the system but these features were not reviewed during the online demonstration due to time limitations.
	Service coordination	Y System has rather extensive calendar and scheduling features. They are not very intuitive to use, at least based on the demo, but have the features required by the San Joaquin County agencies.	P A separate Scheduler module is available but was not available for review during the online demo. System cannot print reminder notices (reqt #4.6) but vendor indicates they are willing to add the feature if it is important.	Y Good calendar and scheduling features are provided. Calendars can sync with Microsoft Outlook. Automated reminders/tickers are also available. No limitations noted.	Y System has a calendar and scheduling function that includes “ticklers” with pop-up reminders about meetings, deadlines and other events.
	Client communications support	N No features provided in this area.	N No features provided in this area.	N No features provided in this area.	N No features provided in this area.

Category	Requirement Group	ACMS: Casewatch Millennium	Bowman Systems: Service Point	Data Systems International: ClientTrack	MetSYS: MetEnterprise and MetLite
Reporting	Pre-built reports	P A large library of pre-built reports is provided with the system but does not include client progress/change reports (reqt #5.3) or a form generator (reqt #5.6). Reports use plain text without any formatting (special fonts, bolding, shading, etc.), like reports from older DOS (pre-Windows) systems.	N Very few pre-built reports are provided with the system but the vendor indicates they are willing and able to create all pre-built reports that are needed. Their philosophy is to custom-build reports for each client instead of having a big library of "canned" reports that most clients never use.	Y 100+ pre-built reports are shipped with the system. The "forms generator" requirement (#5.6) would need to be handled through the ad-hoc reporting tool. No other limitations noted, although time did not allow a detailed review of all pre-built report formats.	P A large library of pre-built reports is provided with the system but does not include client progress/change reports (reqt #5.3) or a referral follow-up report (reqt #5.5).
	Report generation - general	P Good flexibility provided in filtering, sorting and export report data. Custom programming required to support all age calculations needed (reqt #5.15). Does not produce graphs (reqt #5.17).	Y All requirements met. Only limitation noted is that export of report data is limited to PDF and comma-separated file formats; system does not directly create Word and Excel files.	Y All requirements met. Only downside is that moderate technical skills may be needed to query/filter data based on more complex criteria. Has integrated graphics plus unique drill-down features to see detailed data for a row on a report.	P Limited flexibility is provided to filter and sort the data to appear on pre-built reports; would need to use the ad-hoc reporting tool to get more flexibility.
	Custom (user-defined) reports	Y The vendor provides a custom reporting tool for users to build their own reports, or agencies can create custom reports using Crystal Reports (a powerful third-party reporting tool, available for about \$200 per license).	Y A non-technical custom reporting tool is provided to make it easy to get simple data extracts. More complex custom reports can be built with very powerful reporting tools from Business Objects that are provided with the system; complete flexibility provided to build any kind of report but moderate to significant technical expertise is required. Very nice data dictionary is provided to help with report development.	Y A unique and seemingly powerful "cubes analysis" tool is provided that allows very flexible analysis of data in a point-and-click manner. The vendor also provides a tool called Active Reports by Data Dynamics for agencies to use as a custom reporting tool so that users can build their own reports. Moderate technical skills would be required to use the latter tool effectively.	Y Agencies can create custom reports using Crystal Reports. Given the complexity of the underlying database structure, users would need to be rather technically astute to build custom reports. The system does have a nice feature that shows exactly which database table and field hold each data item that appears on screens/forms.
Ease of Use	User interface design	P System offers many ways to do the same function (e.g. eight ways to enter service data) that can be confusing. It uses an old DOS-like user interface that is not very visually appealing. Menus and screen fonts are configurable.	A Meets all requirements except screen font cannot be configured unless the Firefox web browser is used with the system. Nice clean design for the user interface and good flexibility is available for configuring the system to the unique needs of each agency.	A Meets all requirements except screen font cannot be configured. Nice clean design for the user interface and good flexibility is available for configuring the system to the unique needs of each agency.	P All of the desired configurability features are provided. However, the layout of features and data looks very confusing in some parts of the system. For the most part, the system has a text-heavy, non-graphical look to the user interface.
	Help features	Y All requirements met; no limitations noted (although tutorials do not appear to use engaging multimedia approaches).	P Has context-specific help information and a user manual. Online tutorials are under development but limited for now.	P Has context-specific help information and a user manual but no tutorials.	P Has context-specific help information and extensive user and system documentation. No tutorials are available.

Category	Requirement Group	ACMS: Casewatch Millennium	Bowman Systems: Service Point	Data Systems International: ClientTrack	MetSYS: MetEnterprise and MetLite
Security & System Mgmt.	Security	Y All requirements met; no limitations noted.	A Meets all requirements except that the number of minutes before automatic log-out of an inactive user is a system-wide setting and cannot be configured separately for each agency.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted. Security features look like a particularly strong aspect of this system.
	Data management	Y All requirements met; no limitations noted.	Y Hosted at Bowman Systems, which features disaster recovery solutions, 24/7 monitoring and emergency power supplies.	A System only has partial data archiving features. All other requirements are met.	P System meets requirements for data backup/recovery and long-term data storage. Client records can be flagged as inactive but not archived.
Technical Characteristics	Computing platform	P System supports all versions of Windows. No web browser is used; software is installed on each user PC but then the system automatically updates that software as needed when users log into the system. Uses a proprietary database (Cache) but it is capable of handling high data volumes.	A All requirements met except only Firefox and Internet Explorer browsers are supported (not Mozilla, AOL or Yahoo). Uses Microsoft SQL Server database platform.	A MS Internet Explorer 5.5 and above is the only web browser supported. Uses Microsoft SQL Server database platform.	A All requirements met except Internet Explorer 5.5 or higher is the only web browser supported (not Mozilla, AOL or Yahoo). Able to use the Microsoft SQL Server database platform.
	System architecture	Y All requirements met. System has been deployed in some large multi-agency environments, such as throughout Los Angeles County and Miami.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.	Y All requirements met. System has been deployed in some large multi-agency environments, including countywide implementations in several states.

PRODUCT FEATURE COMPARISON: PERSIMMONY, SYNERGY SOFTWARE AND VISION LINK

<u>Category</u>	<u>Requirement Group</u>	Persimmony: Children & Families Systems	Synergy Software: SAMS/Omnia	Vision Link: Tapestry
Client-Level Data	General/ demographic data	Y Tool is provided to create custom forms for data capture; combination of standard data fields and custom forms can meet all requirements. Separate Preschool for All module is needed to capture data about teachers.	Y Tool is provided to create custom forms for data capture; combination of standard data fields and custom forms can meet all requirements. Ability to capture and analyze data for an entire family unit (as opposed to individual people) is limited.	Y Combination of standard data fields and user-defined fields offer good data capture for both individuals and family units. Some custom programming by the vendor may be needed with current system version.
	Assessments	Y Flexible tools provided to create client assessments and capture assessment data. ASQ, DRDP and many assessment instruments are already built into the system.	Y Tool provided to build custom assessment forms; can have as many assessments as desired. Captures history of responses to every assessment question. Good flexibility overall.	A General needs assessments are captured in the standard system but specialized assessments (ASQ, LSP, etc.) require use of custom data fields. Vendor is willing to build custom assessment screens.
	Service delivery data	Y Service data can be captured for an individual, whole family or any subset of a family. Able to meet all requirements, although features for tracking client goals/progress and managing referrals to other agencies are rather basic. Separate Preschool for All module is available to capture preschool enrollment and attendance.	P Only able to capture very basic data about group meetings/events (meeting type, date, person conducting, persons attending). Does not handle resource usage (reqt 1.24). Would be very clumsy to track preschool enrollment and attendance (reqts 1.22-1.23). Otherwise able to meet all requirements.	P Good tracking of intake/service cycle and client goals/progress. Strong information & referral features. Custom programming probably needed to capture all data needed about home visits. Does not handle group meetings/events very well. Preschool attendance tracking would be very clumsy without custom system changes.
	Other client-level data	Y Tracks expiration of consent for multiple type of release of information. Able to meet other requirements through use of custom form designer.	P Only captures presence of release of information forms (Yes/No field). Otherwise able to meet requirements through use of custom form designer.	Y Would be mainly handled by user-defined fields. Vendor offers a separate survey service and includes one survey per year in cost of their software support services.
Program Management Data	Program/service definitions	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.
	Staff	N Does capture basic data about program staff. Vendor says other features desired by San Joaquin are "available but not included in the price."	N Captures staff person name, start date and termination date only; does not meet any of the other requirements in this section.	Y Would have to use the system's Volunteer module and enter staff as "volunteers" in the system, but given that, it appears that all requirements can be met.

Category	Requirement Group	Persimmony: Children & Families Systems	Synergy Software: SAMS/Omnia	Vision Link: Tapestry
	Resource materials	N Vendor indicates that this capability is "available but not included in the price."	N No features provided in this area.	N No features provided in this area. Vendor is willing to create a custom module for this purpose.
	Other service providers	Y Survey questions can be set up with custom numbering to mimic hard copy survey used and their staff will enter survey items or field values for free.	P Would be clumsy to try to handle provider staff surveys in the system but theoretically possible.	P Not specifically mentioned however screens and reports are easily customized by hundreds of drop lists, text boxes, check boxes etc. Instant flexibility.
Data Capture & Transfer	Flexible screen design	P No color coding of fields on screens or configuration of required data fields (reqts #3.4 & 3.5) but otherwise fully meets all requirements. Reasonably good amount of flexibility provided overall.	A No color coding of fields on screens but otherwise fully meets all requirements. Good amount of flexibility provided overall.	P Integrated site builder tool allows customization of many aspects of the system's structure. No color coding of fields but otherwise meets requirements. A new Forms Designer is due in fall 2007 to give agencies much more flexibility to configure data and screens/forms.
	Data entry support	A Does not support swipe cards or bar codes for data entry but otherwise meets requirements. <u>Does</u> support scan forms (reqt #3.9).	A Does not support scan forms or bar codes for data entry but otherwise meets requirements. Data entry for group events looks somewhat clumsy.	P Does not support scan forms, swipe cards or bar codes for data entry but says these features are "in process" of being built. Internet connection required to enter data – no offline data entry available. Meets all other requirements.
	Data import/export	Y All requirements met; no limitations noted.	P Data can only be imported from XML format files (not Excel or other formats). Good flexibility to export data to various file formats.	P Data can only be imported from XML format files (not Excel or other formats). Excellent flexibility to export data to various file formats.
	Cross-agency data coordination	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.
	Client data access	Y All requirements met; no limitations noted. Easy to navigate through client data.	A All client data available from one panel; it is easy to move around. Not able to attach files to client records.	Y All requirements met; no limitations noted. Easy to navigate through client data.
Service Delivery Support Features	Program/service guidelines	Y Able to handle this through the custom form designer.	Y Able to handle this through the custom form designer.	Y Handled by setting up "services" for each different curriculum and then attaching services to clients.

<u>Category</u>	<u>Requirement Group</u>	Persimmony: Children & Families Systems	Synergy Software: SAMS/Omnia	Vision Link: Tapestry
	Service coordination	P Calendar/scheduling support would not meet San Joaquin County requirements. All other requirements are met.	N No calendar/scheduling support. Reminders/ticklers promised in the next system release (mid-summer) but not currently available. No tracking or alerts when client consents need to be updated.	P Has calendar/scheduling support and auto-reminders of follow-up needed with specific clients. Other requirements (#4.6 & 4.7) not met.
	Client communications support	N No features provided in this area.	N No features provided in this area.	N No features provided in this area.
Reporting	Pre-built reports	A Appears to meet all requirements except no form generator is available (reqt #5.6). This system has been built to be fully compatible with First 5 reporting requirements. Good reports to compare client assessment results over time, e.g. to measure changes in ASQ scores. System also has an integrated Geographical Information System (GIS) to do visual mapping of data about clients and service providers.	P Lots of pre-built reports and a significantly amount of flexibility is provided with the pre-built reports. However, does not have reports to track client progress/changes (reqt 5.3), referral follow-up (#5.5) or time studies (#5.10). Also not able to generate form letters (#5.8).	N Very few pre-built reports are provided with the system but the vendor indicates they are willing and able to create all pre-built reports that are needed. Their philosophy is to custom-build reports for each client instead of having a big library of "canned" reports that most clients never use. If reports are not programmed by the vendor, users would mainly have to extract data into Excel for analysis.
	Report generation - general	Y Excellent flexibility provided with pre-built reports. Creation of graphs requires jumping to a separate Graphs component; graphs are not integrated with the other reports.	Y Excellent flexibility provided with pre-built reports. Creation of graphs requires exporting of the report to Excel; graphics are not built directly into the system.	P Good flexibility provided to query/filter and sort data on reports. Does not yet export reports to other programs (reqt #5.19) but vendor is adding this feature. Custom programming needed to support all age calculations needed (reqt #5.15).
	Custom (user-defined) reports	Y The vendor states that all of these requirements are fully met but these features were available to review during the online demonstration; vendor said customers have not used the ad-hoc reporting tools because so much flexibility is available with the pre-built reports.	Y Custom reports can be built with Crystal Reports; complete flexibility provided to build any kind of report but moderate to significant technical expertise is required to build anything more than a simple report.	N The system does not come with an ad-hoc reporting tool per se. Instead, it has a very flexible Export Data Wizard to allow users to isolate any subset of data they want to analyze and export it into programs like Excel, Access and more. Users must then create reports or analyze the data in Excel (or whatever tool the data was exported to).

Category	Requirement Group	Persimmony: Children & Families Systems	Synergy Software: SAMS/Omnia	Vision Link: Tapestry
Ease of Use	User interface design	Y System looks easy to use overall and features behave consistently throughout the system. Data fields can be hidden so users don't see them but empty space is shown on screens where the hidden fields exist.	P System looks relatively easy to use overall. Nice design of menus and icons. Features seem to behave consistently throughout the system. Not able to hide data fields that are not being used; otherwise meets requirements.	P Overall user interface design is fairly clean and looks easy to use. Ability to configure menus is not currently available but scheduled for release by October 2007.
	Help features	P System has context-specific help information and online tutorials. A complete user manual is not available; vendor indicates that users haven't needed one because the help facility and tutorials give users all of the information they need.	Y All requirements met; no limitations noted. Access to tutorials requires add-on 'Synergy University' feature.	P Good training tools are built into the system to aid daily work including How-to, FAQ, trouble-shooting guides, diagrams, screenshots and more. User manual provided. No context-specific help info (reqt #6.4) but this is scheduled for release by mid-2008.
Security & System Mgmt.	Security	Y All requirements met; no limitations noted.	A System administrators are not automatically notified of unauthorized access attempts but otherwise all requirements are fully met.	Y All requirements met; no limitations noted. Security configuration features are very robust and flexible, except agencies cannot configure the number of minutes before a time-out occurs (reqt #6.8).
	Data management	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.	Y All requirements met; no limitations noted.
Technical Characteristics	Computing platform	Y All requirements met; no limitations noted. Any web browser can be used. System uses Microsoft SQL Server 2005 as the database platform.	P Internet Explorer 6.0 or higher is required; does not support other web browsers. Otherwise fully meets all requirements.	Y Supports all web browsers that support 128-bit encryption. System uses SQL-based PostgreSQL database, hosted by the vendor.
	System architecture	Y All requirements met. System has been deployed in several counties where many First 5-funded agencies are using the system together.	Y All requirements met. System has been deployed on regional and statewide basis in the aging services field, with many agencies using the system together.	Y All requirements met. System has been deployed many times on a regional and statewide basis, linking many agencies together.

APPENDIX D: COMPARISON OF VENDOR CHARACTERISTICS

Starting on the next page is a chart comparing each system and vendor that made it to the second stage of the evaluation according to criteria such as vendor size and stability, implementation and training services, software support services, technological approach, ability to migrate existing data from the agencies into the system, and estimated costs. The purpose of the chart is to evaluate system selection criteria (see Appendix B) beyond the features and capabilities of the software itself.

Special caution is needed in interpreting the information in the Cost column. All pricing information is preliminary and does not represent a binding cost proposal by each vendor. Cost estimates were requested from each vendor based on 12 participating agencies and 60 total users in order to get a “ballpark” estimate of the first-year and on-going costs associated with each system. Further, the cost estimates may not fully reflect the level of vendor services required for a successful implementation, as costs for developing additional reports and migrating existing data from agencies in particular cannot be accurately estimated until the chosen vendor can do a more complete analysis of the exact scope of report development and/or data conversion services that are needed.

Vendor/Product	Product Maturity	Vendor Size and Stability	Implementation Services	Training	System Support	Technological Approach	Data Migration	Pricing
Automated Case Management Systems Casewatch Millenium	First released around 1988 and has been re-written "a couple of times" during that period in order to keep up with client needs and technology changes. 148 clients using Casewatch Millenium.	In business since 1987. Total of 9 employees, 4 of which are dedicated to R&D.	Vendor seems to emphasize the software – good capabilities for customizing the system for a client but did not articulate a clear implementation process to make the system work for a diverse set of agencies.	Vendor prefers a "train the trainer" model rather than having them directly train end users. Users can also go to their state-of-the-art training facility in North Hollywood, CA for two or five day training sessions.	Phone support available M-F 8 am - 5 pm. 4 full-time staff members are dedicated to customer support. Also provides email support.	System started out in the DOS world and migrated to Windows but does not appear to use any of the latest web-based technology. Some real concerns about technological obsolescence exist.	Vendor is willing to convert data from a client's old systems to Casewatch Millenium for a fee.	Pricing is based on the maximum # of concurrent users: \$5,000 for the initial license and \$1,000 per year. Training & support are included. Assuming 60 total users and 30 concurrent users for San Joaquin, cost would be \$150,000 in first year and \$30,000 annually after that.
Bowman Systems Service Point	First released in 2000. Approximately 220 clients using ServicePoint. Product is currently on version 4.03, with three major upgrades since it was initially released and many more smaller enhancements and upgrades.	In business since 1999. Over 40 employees, 15 of which are dedicated to R&D.	Vendor has a complete process to implement their system covering project management, customization of the system to a client's needs, data migration and training.	Initial training occurs at three levels: (1) System Administrators who would manage the whole system across all San Joaquin agencies; (2) Agency Administrators (optional) to manage user setup and configuration for an individual agency; and (3) end user training. Training models include "train the trainer" and group workshops held by the vendor.	Phone support available M-F 6 am - 4 pm. 12 full-time staff members are dedicated to customer support. Also provides web-based and email support.	No details provided by the vendor about their software development tools but the system looks like an advanced web-based system that was developed for the Internet from scratch (as opposed to being a conversion of an older DOS or client-server based system).	Vendor provides tools to simplify importing of existing data into ServicePoint, and offers system implementation services to take care of migrating existing data (at an additional cost).	Total first-year price estimate for 12 agencies and 60 total users: \$54,658 including all software, training and one-year use of web-based system access and related services (e.g. data backup/recovery). Costs to build reports needed by San Joaquin County agencies would be extra. Annual usage fees and support costs after the first year estimated at \$20,088.

Vendor/Product	Product Maturity	Vendor Size and Stability	Implementation Services	Training	System Support	Technological Approach	Data Migration	Pricing
Data Systems International ClientTrack	First released in 2003. New product upgrades are issued twice a year. Over 200 agencies and "thousands of people" now use ClientTrack.	In business since 1987. 22 total employees, 6 of which are dedicated to R&D.	Vendor has a complete process to implement their system covering project management, customization of the system to a client's needs, testing of the configuration, and training.	Vendor prefers a "train the trainer" model so that localities like San Joaquin County can better handle the ongoing training needs of new users.	Phone support available M-F 6 am – 5 pm. Six full-time staff members are dedicated to customer support. Also provide email support.	System was developed from inception using the latest Microsoft .NET technology, and appears to have stayed current with technology.	Data import tools provided to convert data from other systems. Extra vendor support available to help validate and clean up data when moved it from legacy systems.	Total first-year price estimate: \$45,400 including all software, training, and one-year use of web-based system access and related services (e.g. data backup/recovery and support services). Data migration would cost extra. Annual usage fees and support costs after the first year: \$31,500 for second year, 5% annual increases expected.
MetSYS MetEnterprise	First released in 1995. Now on version 5.1. Company has 27 active customer contracts using MetEnterprise covering thousands of users; some are statewide deployments.	In business since 1994. 11 total employees, 3 of which are dedicated to R&D.	Vendor has a complete process to implement their system covering project management, customization of the system to a client's needs, testing of the configuration, and training.	Training is usually done in stages: System Managers first, then Program Managers, then end-users. Training models include "train the trainer" and group workshops held by the vendor.	Phone support available M-F 8:30 am – 5:30 pm. Three full-time staff members are dedicated to customer support. Also provide email support. 24 hour response time is guaranteed.	Looks like an older client-server system that has been enhanced to be web-enabled. System response time was sluggish in the demo. Vendor says they are in the middle of a major upgrade to newer Microsoft .NET technology.	Vendor indicated that their flexible data importing tool has not been built yet, and migration of data from old systems to MetSYS is not listed as a typical step in their implementation process.	Pricing is based on the maximum # of concurrent users. Estimate is \$26,700 first year / \$8,250 annually thereafter if a San Joaquin agency hosts the system or \$39,620 first year / \$24,120 thereafter if MetSYS hosts it.
Persimmony Children and Families System	First released in 2001. One major update in 2003 and regular updates since. New version scheduled for release in July. Eight First 5 Commissions are now using the system.	In business since 2001. 10 total employees, 4 of which are dedicated to R&D.	Vendor has a complete process to implement their system covering project management, customization of the system to a client's needs, data migration and training.	Multiple training models available including "train the trainer", online training, and group workshops held by the vendor.	Phone support available M-F 8 am - 5 pm, with 24/7 support available for critical issues. Also provide email and fax support. Limited help information available on vendor website.	System developed mainly in Visual Basic using the Microsoft .NET platform. Solid technological approach using up-to-date tools and technology.	Integrated tool provided to convert data from other systems. Extra vendor support available to help validate and clean up data when moved it from legacy systems.	Preliminary estimate: \$160,000 total annual cost for software, support, backups and all other services. Up to an additional \$30,000 in one-time first year implementation costs.

Vendor/Product	Product Maturity	Vendor Size and Stability	Implementation Services	Training	System Support	Technological Approach	Data Migration	Pricing
Synergy Software SAMS/Omnia	First released in 1995. Used by 35 State Units on Aging, 350+ Area Agencies on Aging and a variety of other agencies.	In business since 1994. 35 total employees, 9 of which are dedicated to R&D.	Implementation process appears to focus on migrating existing data to SAMS, training users and then leaving it to the users to configure the system to their needs.	Multiple training models available including "train the trainer", online training, and group workshops held by the vendor.	Phone support available M-F 5 am - 5 pm. Eight full-time staff members are dedicated to customer support. Also provides email support.	System developed with Visual Basic using Microsoft SQL Server database. It appears to have kept up with technology changes, although report processing speed was rather slow during the demo. High-speed Internet connection required to use the system.	Vendor has good experience with migrating data from old systems to SAMS, and handles data migration as an explicit step in the system implementation process.	Total first-year price estimate for 13 agencies and 65 total users: \$112,860 including all software, training, some data migration (25 hours) and one-year use of web-based system access and related services (e.g. data backup/recovery). Annual usage fees and support costs after the first year: \$57,600.
VisionLink Tapestry	First released in the early 1990's with major releases almost annually and numerous smaller upgrades. About 40 contracts are currently active for Tapestry, many of which are state-wide systems for I&R / 2-1-1 usage.	In business since 1991. 25 total employees, 12 of which are dedicated to R&D.	Vendor has a complete process to implement their system covering project management, configuration of the system to a client's needs, data migration and training.	Vendor offers a wide range of training options for both system administrators and end users, including live classroom training, web-based training and use of an online training management system.	Phone support available M-F 7 am - 4 pm. 24/7 support is available at an extra cost. Six full-time staff members are dedicated to customer support. Also provides web-based and email support.	Uses very current technology including Apache web servers and Linux operating system. Vendor hosts everything so customers do not have to be concerned with managing the system servers etc.	Vendor is willing to convert data from a client's old systems to Tapestry for a fee.	Total first-year price estimate for 12 agencies and 60 total users: \$50,485 including all software, training, some data migration (3-4 agencies) and one-year use of web-based system access and related services (e.g. data backup/recovery). Annual usage fees and support costs after the first year: \$9,000 - \$11,400 depending on number of clients.

APPENDIX E: AGENCY RANKINGS FROM DEMONSTRATIONS

This appendix contains a summary of how the agency representatives attending the final product demonstrations rated each of the three “finalist” systems, based on their responses on a Software Demonstration Evaluation Form provided by SEI. The three systems are shown in the order of recommendation (top-rated system first, second-rated system next, and third-rated system last). The total number of raters is different for each system because not all participants during the demonstrations completed and returned an evaluation form for each demonstration.

Vendor: Data Systems International
System: ClientTrack

I. FUNCTIONALITY – Extent or quality with which the product performs the following functions:

	Excellent <i>No limitations</i>	Acceptable <i>Some limits</i>	Unsure	Unacceptable
Capture all data required by First 5	5	2	1	
Capture extra data needed for my program	6	1	1	
Link people into households/families; capture data for families	8			
Assessment of client/family needs	8			
Client intake and service cycle management	8			
Client case/goal plan, case notes and progress tracking	6	2		
Client service encounter tracking (including home visits)	7	1		
Referrals to other agencies	6	2		
Group event support (activities involving multiple clients)	6	1	1	
Track information about staff and inventory items	2	1	5	
Calendar/scheduling support	8			
Reminders or ticklers for upcoming activities or items due	8			
Simplifies the workload of program staff	6	1	1	
Data import and export	5	1	2	
Library of pre-built reports	6	1	1	
Flexibility of pre-built reports	7		1	
Ad-hoc / custom reporting tools	6	1	1	
Security features	5		3	

II. EASE OF USE AND FLEXIBILITY

	Excellent <i>No limitations</i>	Acceptable <i>Some limits</i>	Unsure	Unacceptable
System has a logical, intuitive layout; appears ease to use	6	1	1	
Able to enter data quickly/easily	7		1	
Able to create user-defined data fields	7	1		
Data entry screens can be customized to our needs	7	1		
Look-up list values can be configured by our agency	7		1	
Unnecessary/unwanted features can be hidden	8			
Help features are accessible and useful	5	2	2	
Designed for multiple users across multiple locations	6	1	1	

OVERALL EVALUATION – The ability of this system to meet my agency's or program's needs is:

7 - Excellent, no reservations 1 - Acceptable 0 - Unsure, need more information 0 - Unacceptable

Vendor: Bowman Systems
System: Service Point

I. FUNCTIONALITY – Extent or quality with which the product performs the following functions:

	Excellent <i>No limitations</i>	Acceptable <i>Some limits</i>	Unsure	Unacceptable
Capture all data required by First 5	4	3		
Capture extra data needed for my program	3	2	1	1
Link people into households/families; capture data for families	6	1		
Assessment of client/family needs	6	1	1	
Client intake and service cycle management	6	1	1	
Client case/goal plan, case notes and progress tracking	5	2		
Client service encounter tracking (including home visits)	4	2	1	
Referrals to other agencies	2	5		
Group event support (activities involving multiple clients)	4	2	1	
Track information about staff and inventory items		3	2	2
Calendar/scheduling support		3	2	2
Reminders or ticklers for upcoming activities or items due	5	2		
Simplifies the workload of program staff	2	3	2	
Data import and export	5	1	1	
Library of pre-built reports	3	4		
Flexibility of pre-built reports	4	2	1	
Ad-hoc / custom reporting tools	3	3	1	
Security features	6		1	

II. EASE OF USE AND FLEXIBILITY

	Excellent <i>No limitations</i>	Acceptable <i>Some limits</i>	Unsure	Unacceptable
System has a logical, intuitive layout; appears ease to use	5	2		
Able to enter data quickly/easily	5	1	1	
Able to create user-defined data fields	2	5		
Data entry screens can be customized to our needs	1	5	1	
Look-up list values can be configured by our agency	4	2	1	
Unnecessary/unwanted features can be hidden	4	3		
Help features are accessible and useful	6	1		
Designed for multiple users across multiple locations	5	2		

OVERALL EVALUATION – The ability of this system to meet my agency's or program's needs is:

0 - Excellent, no reservations 7 - Acceptable 0 - Unsure, need more information 0 - Unacceptable

Vendor: MetSYS
System: MetEnterprise

I. FUNCTIONALITY – Extent or quality with which the product performs the following functions:

	Excellent <i>No limitations</i>	Acceptable <i>Some limits</i>	Unsure	Unacceptable
Capture all data required by First 5	3	2	1	
Capture extra data needed for my program	4		1	1
Link people into households/families; capture data for families	5	1		
Assessment of client/family needs	2	2	2	
Client intake and service cycle management	5	1		
Client case/goal plan, case notes and progress tracking	4		2	
Client service encounter tracking (including home visits)	4	1	1	
Referrals to other agencies	3	3		
Group event support (activities involving multiple clients)	3	1	2	
Track information about staff and inventory items	1	1	4	
Calendar/scheduling support	5		1	
Reminders or ticklers for upcoming activities or items due	5	1		
Simplifies the workload of program staff	3	2	1	
Data import and export	3	2	1	
Library of pre-built reports	5	1		
Flexibility of pre-built reports	4	1	1	
Ad-hoc / custom reporting tools	3	2	1	
Security features	3	2	1	

II. EASE OF USE AND FLEXIBILITY

	Excellent <i>No limitations</i>	Acceptable <i>Some limits</i>	Unsure	Unacceptable
System has a logical, intuitive layout; appears ease to use	2	3		1
Able to enter data quickly/easily	2	2	1	1
Able to create user-defined data fields	3	3		
Data entry screens can be customized to our needs	3	3		
Look-up list values can be configured by our agency	3	3		
Unnecessary/unwanted features can be hidden	4	2		
Help features are accessible and useful	3	1	2	
Designed for multiple users across multiple locations	4	1	1	

OVERALL EVALUATION – The ability of this system to meet my agency's or program's needs is:

1 - Excellent, no reservations 4 - Acceptable 1 - Unsure, need more information 0 - Unacceptable