



October 17, 2018

Re: CHATS Modernization

Dear Dan and County Human Services Directors,

Thank you for your thoughtful and detailed letter regarding the CHATS Modernization project. We appreciate your feedback and understand the concerns you have relayed on behalf of county workers, child care providers and the families you serve. While I am happy to report that we have resolved many of the issues you raised, we know there is still more work to be done. The CHATS Modernization project is considered a minimum viable product and we have focused on ensuring the core functionality of legacy CHATS has been maintained for counties while providing the state with a more flexible platform to support iterative enhancements. We will continue to enhance the system and address the outstanding business process issues in the weeks and months ahead.

Since September 4, 2018, we have applied 205 code fixes and data fixes to resolve legacy data issues. We have also hosted daily 10:00am sessions to provide updates regarding newly-discovered issues and workarounds available, as well as explain the hotfixes we deployed the day before.

In addition, our team has triaged more than 2,000 support tickets and provided help in the areas of access requests, training support, and technology. Close to 40% of the support tickets have been clarifications supported with training as needed. The team has also created or updated six quick reference guides to respond to specific user feedback and address additional training needs.

Here are a few relevant statistics about the new system since go-live:

- 1,258 cases have been created
- \$8,905,450 has been paid to Providers
- 3,112 fiscal agreement rate schedules have been created to support provider rate changes

In the pages to follow, we have outlined outstanding issues identified in the CHSDA letter, as well as a proposal to improve the governance of the CHATS system going forward. We hope that our response to these examples demonstrate a pattern of cooperation between the state and counties to resolve issues in a timely manner. We look forward to working with you and supporting the counties you represent so we all deliver high quality child care services for the children and families of Colorado.

Sincerely,

Tamara Schmidt
CCCAP Administrator

Communication

Well in advance of the launch of CHATS Mod, we sent surveys to CHATS users to elicit their feedback about training and communications. We finalized a change management assessment on April 4th and updated it on July 16th after a second round of surveys.

In response to the feedback provided, the State Child Care team made the following changes to support communications:

- A CHATS Communications Plan was developed in April 2018 which outlined the following communication priorities:
 - 12 Weekly Newsletters – which were distributed to share information about project scope summaries, User Acceptance Testing (UAT) status, and key project dates
 - Weekly Office Hours Calls - which were initiated to support the transition to ATS and continued throughout CHATS Modernization based on feedback from participants
 - Daily 10:00 am All-Hands Calls – which were hosted from September 4th to October 5th to provide a summary of items resolved each day, as well as any new items identified and the temporary workarounds available
 - Monthly CCMTG (CHATS Change Management Task Group) and User Group Meetings
- August 23, 2018 – Letter sent to County Directors to advise of go-live activities and request their engagement with UAT and Training
- [March 30, 2018](#) – Letter sent to counties requesting their participation in the UAT Phase
- [March 26, 2018](#) – User Readiness Surveys sent to counties requesting their feedback regarding CHATS changes and communications
- [August 1](#), [August 7](#), and [August 21](#) – Training Feedback Survey sent to counties requesting their feedback regarding CHATS training efficacy

We recommend that counties establish an internal communication system to ensure that all users within the county have received ongoing email communications.

Training

Training Feedback Survey – A survey we sent to all users regarding the web-based trainings that were offered found that:

- 70% of users agreed or strongly agreed that the webinars met the learning objectives
- 57% of users agreed or strongly agreed that they felt confident in completing the tasks demonstrated in the training

Online self-paced training launched July 2nd, followed up by instructor-led web-based training beginning July 24th. Online training resources included walk-through videos, how-to step-by-step guides, and knowledge check quizzes. With the change in release date, we were able to extend the length of time for county training to better support the transition. We used the above survey metrics to evaluate the efficacy of the instructor-led training in order to gauge county readiness.

We hosted web-based training on the following dates July 25th-27th, July 30th-21st, August 1st, August 6th-7th, and August 20th. and made the recordings available online for users to repeat and review as needed. While some users reported the web-based trainings moved too fast, even more users reported

the web-based trainings moved too slowly, were too repetitive, and that they were slowed by colleagues who got stuck logging into the system.

User Acceptance Testing – UAT was an important opportunity to learn the new system; 86 caseworkers from 15 counties participated in UAT within the Sherman Computer Lab and received 1-1 support using and learning the application. Half of the counties had one or more people receive over-the-shoulder support. Feedback from UAT was incorporated into training materials presented in the LMS and by instructors, and as a result of county participation in UAT efforts 215 defects were flagged and resolved.

A survey of testers who participated in UAT found that 93% thought the experience was very helpful in learning the new system. We recommend that counties continue to participate in future UAT phases.

Eligibility and Authorization Items

Confirming Eligibility

The CHATS system was updated on 9/23/18 to match legacy functionality; users can now confirm eligibility more than once per day for the same program. Consistent with legacy CHATS functionality, users are still not able to confirm eligibility more than once per day where a program change is made.

As a best practice, we recommend counties review cases with families *before* confirming eligibility to ensure that all data recorded is accurate and up to date. This should help lessen families' confusion when their eligibility changes.

ACSES

While we have received enhancement requests to modify the ACSES screen display, there have been no changes at this time. The child support income and expense information currently displayed in ACSES matches the legacy system. The new system does allow counties the ability to see additional income data that should improve calculation accuracy.

Overrides

The eligibility override function has worked properly since go-live. Overrides on eligibility were often used in the legacy system as a work around. The new system has addressed many of the workarounds, reducing the need for frequent overrides. Users who have created support tickets have been provided with additional training support to identify whether an override is necessary.

Within the new system, eligibility overrides occur from one central location, the Eligibility Override screen. Users are no longer able to override eligibility from the Child Care Request screen. This change has created some angst; however, we have received positive feedback from users who have completed the training.

The consolidation of override activities provides the following benefits to counties and families:

- 1) Consistent reporting on eligibility overrides
- 2) Consistent override reasons between the two locations
- 3) Consistent override noticing periods

Primary Activities

No changes were made to the data model for primary activities; these remain related to both the case and individual records within the system. The validation rules only allow for one primary activity at a time to ensure adherence to rule, including policies related to intercounty eligibility.

Unable to Authorize When Case Ineligible

The system supports authorizing children for care when the case is eligible. If the case is ineligible, care cannot be authorized. The most common reason users observe errors in assessing eligibility is due to incorrect, duplicate, or invalid relationships defined between case individuals.

In the October 7th release, permissions were updated so counties could correct issues of relationships between case individuals. In the same release, additional hover-over information and related list fields were added to make it easier to navigate and understand the relationships between individuals.

Parent Fee Quality Discounts for Non-Quality Rated Providers

Support tickets logged related to quality rating discounts have been resolved through education and training. We will create a supplemental Quick Reference Guide that outlines the logic in detail.

On October 5th, we resolved the issue impacting parent fees converted from the legacy system. We updated these parent fees to reflect the quality rating indicator where the provider is quality rated 3-5.

Parent Fee Assessment as Effective Date

Per the approved design, parent fees cannot be allocated to authorizations until the start date of the parent fee. We hosted design sessions to review proposed changes to address this issue on October 5 and on October 9, as well as at the CCCAP Conference on October 10. We understand the changes requested and will schedule these for the first available release date.

Parent Fee Decreases with Notice

We were not able to locate support tickets reporting this issue, nor were we able to reproduce it within the system. Parent fees can be decreased without the 15-day notice period.

Application Date Required Field

The Application Date field requirement issue was resolved on September 9th. We also worked with users impacted during the first week to populate the application received date so they could proceed with cases.

Parent Fee Amounts and Effective Dates on Correspondence

The CR213 Authorization Correspondence matches the approved design specifications. The correspondence displays the case parent fee, *not* the authorization parent fee. We understand there have been numerous changes requested to this correspondence, and that not all counties agree with the content and level of detail that should display.

We look forward to conducting design sessions with counties to approve an updated design that we can incorporate into a future release. We recommend counties follow their current business practice and include their preferred level of detail within the authorization notes. The last created note displays on the correspondence.

Authorizations with existing cases for same Provider

We were not able to locate support tickets reporting this issue, nor were we able to reproduce it within the system. Authorizations can be created for existing cases for the same provider without a problem.

Entering Tiered Rates and License Numbers

Support tickets logged regarding Tiered Rates were resolved with additional training. An enhancement request was logged on October 5th to display the provider rating as of the date the provider rate schedule was created. It currently displays the latest provider rating, which can be confusing.

License numbers are not entered in CHATS; they are entered in the TRAILS and OEC systems and displayed within CHATS.

PEAK Applications

To assist county users with locating PEAK applications, a list view was created for each county to pre-filter to their PEAK applications pending processing.

On October 5th, we resolved an issue for the eligibility worker security profile to view PEAK application PDFs. Eight (8) other security profiles were able to view PEAK PDFs and the PDFs were provided upon request to support timely application processing.

Supervisor Access to Data

Supervisors, and any other system user, can view the tasks, cases, and fiscal agreements assigned to staff by creating either a CHATS report or a List View. There is no security constraint to access or view the data.

- 1) CHATS Reports – Trainings were offered on September 19th and 20th; the recordings are available within the LMS – Learning Management System
- 2) List Views – List views can be created to view information for a single object within the system. Training was provided on this during the first 15 minutes of each of the 10 web-based online trainings offered.

Providers Open/Closed & Exempt Providers

Licensed Providers: The new CHATS system includes a business rule to protect the safety of children and families. If the Provider License Status is Pending or Closed (not Open), users are not able to create Fiscal Agreements or Authorizations. In certain instances, providers in Probationary status are showing as Pending in CHATS (approximately 1-2% of providers).

In a session facilitated on October 4th between the Child Care Assistance and Child Care Licensing teams, a change was identified to this rule that is targeted for the October 21st release. With that change, users will be able to create Fiscal Agreements and Authorizations for providers with a Pending license status that also have a license expiration date (meaning they are already operating under a license). Providers under review as provisional or probationary will be given proper due process with licensing and remain able to receive reimbursement for CCCAP.

Exempt Providers: The TRAILS modernization web services are behind schedule and not yet available. As a result, the State continues to conduct a manual weekly process to update exempt provider information within CHATS via a data file exported from TRAILS.

Authorizing Care the Same Day Case is Confirmed Eligible

This issue was discovered on September 10th and resolved on September 23rd. It impacted only reopened cases.

ATS Data

Several issues carried over from the legacy CHATS system data and design resulted in data quality issues within ATS. The current team has conducted several data reconciliation activities to update ATS data since January 1, 2018 to bring the CHATS and ATS systems into alignment. As a result, more than 500 provider inquiries from the provider email helpdesk inbox have been verified and resolved.

To monitor data differences between CHATS and ATS, and proactively identify issues, our teams have implemented a weekly reconciliation process. We are able to datafix the differences related to sending authorizations to ATS and receiving attendance from ATS to minimize provider payment impacts. In addition, we have implemented the following enhancements to address data inconsistencies:

- 1) CHATS will not send authorized days beyond the authorization end date
- 2) ATS will correctly relate attendance swipe transactions to authorized days where authorizations are back-dated
- 3) The ATS issue that creates duplicate authorized days upon check-in will be mitigated through weekly data fixes and prioritized for a future release

On September 27th, we resolved a long-standing issue with the legacy authorization status records to properly set the terminated authorization status record as of the authorization end date. This issue predates the launch of CHATS Mod.

Per design, parents can record attendance after the authorization end date within ATS as a private-pay record, where they will pay the provider directly for the child care services received.

Parent ATS Welcome Emails

After completing the above reconciliation process, teams observed that welcome emails are not received by parents due to the following:

- 1) Incorrect email addresses on file
- 2) Spam email filtering
- 3) 48-hour expirations – if parents do not click the included link within the first 48 hours, they must contact the ATS helpdesk for further support

While parents work to resolve their access issues, providers can check children in/out of care on their behalf. The parents are then required to login to confirm the check in/out records.

Provider Rate Conversion

Provider Rates were converted based on what counties entered into the legacy system. In anticipation of the conversion, counties needed to align payment rates with valid rate types in both the fiscal agreements and the authorization. This was to ensure that new CHATS reflects accurate and current rate information.

We intervened during the month of September to allow August 21st - September 30th with existing agreements payments to be processed at the invalid rate types to ensure providers were reimbursed for care.

RAT Fees

RAT fees are entered as a part of the Fiscal Agreement process but the system does not require counties to pay these fees, nor does the system pay RAT fees automatically. Just as in the legacy system, users will pay RAT fees per their policy through manual non-sub payment adjustments.

PSCC and CWCC

Protective Services Child Care was not supported by the legacy system and was not included as an enhancement to the modernized system.

Boulder County Database Connectivity

In the prior system, access to a copy of CHATS was granted for counties interested in developing their own report queries above and beyond what was available in CHATS. Over time these queries evolved into more than reports, driving external county systems not directly supported by CDHS and OIT. Several factors drive our ability today to work with counties on continuing this practice:

- The implementation of new cloud-based data stores requires the establishment of new user access and revisions to existing queries,
- Federal interpretation from the Office of Civil Rights (OCR) now requires we treat all Personally Identifiable Data (PII) as Personal Health Information (PHI). This impacts our security requirements in-system, data disclosure practices, and those requirements apply to our partners accessing protected data, and
- Supporting the connection of external county systems was out of scope for our MVP project, as well as an ongoing workload implication for our technical staff not quantified when this access was originally established

We have since started discussions with Boulder based on evolving guidance from OIT Cyber Security and the CDHS HIPAA Security Officer around the technical steps to grant connectivity and meet security requirements.

Licenses

At the project's inception, the number of user licenses needed was estimated based on a list of current active users of the legacy system. At that time, there were approximately 550 active users, and the state purchased 600 licenses to provide some flexibility for changes. These users were contacted before go-live to confirm their security profile within the new system. The concern around available licenses arose during county outreach to validate user counts, many users that had not actively maintained access in the prior system were requested for the new system. The State requested that counties critically assess their need for read-only licenses as many business processes have changed with CHATS Mod. Additional user licenses have an associated cost.

As of October 14th, there were still 36 users who had not logged into the new CHATS system and 82 unused licenses. This information has been shared with counties on the daily status calls. The unused licenses should be used or reallocated to other users who need them.

PSSP and ATS

Provider Self Service and ATS were merged into one to provide a one-stop shop for providers to access their information. The most-used reports were made available within the ATS system upon the retirement of PSSP.

County users do not currently have access to ATS. There is an enhancement requested to display ATS check in/out transactions within CHATS, thereby eliminating the need to log in to ATS (no additional licenses required), and providing access to users within CHATS to support provider questions. Until this is implemented, the provider email helpdesk is the best resource for research and support.

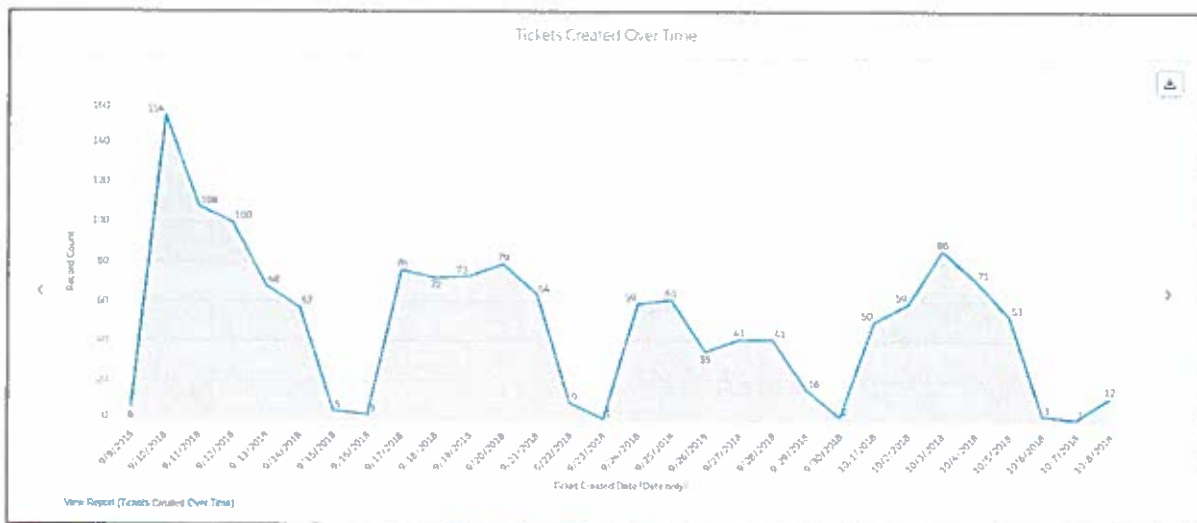
Manual Billing

The state wanted to ensure that the new attendance tracking system did not result in unreimbursed care that was authorized, approved and provided to eligible children, which would negatively impact child care providers.

Prior to ATS Roll out, manual claims payments were 8.2% in Jan 2018; 6.2% in February; 6.7% in March; and 6.0% in April 2018 (the ATS system went live on April 23). After ATS went live, manual claims were steady at 4.0% in May and June. They dropped to 3.9% in July and 3.7% in August. We are waiting for data to be reported for manual claims since CHATS Mod went live to determine the impact of the new system.

Help Desk

Since CHATS go-live, teams have responded to nearly 2,000 support tickets.



Support tickets have been categorized as follows:

Category	Count	Percent
Access Request	334	18%
Change Request	174	9%
Clarification	796	42%
Datafix	82	4%
Duplicate	256	14%
Pending Triage	43	2%
System Issue	209	11%
Grand Total	1,894	

We recommend the following practices to improve the overall speed of user support:

1. **Designate a CHATS go-to expert at each county.** We know it can be challenging for all county users to attend all available trainings and status calls, and to read all email updates. A designated resource in each county might be the most efficient way to keep folks up-to-date on the latest CHATS information and to answer county users' questions before a support ticket is logged.
2. **Track and share email communications.** We received several reports that newsletters and other email communications were not received by users, yet their emails, or their managers' email addresses, were included on the distribution lists. Going forward, we will copy County Directors on all communications and request your support in ensuring that CHATS users in each county receive the emails.

Governance Structure

The Department currently uses the CHATS change management group, a task group approved by the Early Childhood SubPAC, to help inform counties of upcoming changes to CHATS and to gather feedback on specific aspects of the system. This group has met monthly for several years. We are willing to revisit this model with CHSDA and the OEC SubPAC to determine if a different model would be more effective.
