**Appendix 5**

2023-25 IT ADDENDUM

Only use this addendum if your decision package includes IT costs

# Part 1: Itemized IT costs

Complete the [2023-25 IT Fiscal Estimate Workbook](https://ofm.wa.gov/sites/default/files/public/budget/forms/2023-25/2023-25PrioritizationWorksheetIT.xlsx). This workbook will identify the IT portion of the decision package.

In the workbook, agencies must itemize all IT-related costs, including hardware, software, services (including cloud-based services), contracts (including professional services, quality assurance, and independent verification and validation), or IT staff as required in ESSB 5693 Sec. 150(4)(a)(i-ix).

# Part 2: Questions about facial recognition and supporting the reuse of existing state resources

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| 1. Will this investment renew or procure a facial recognition service?
2. Does this investment provide for acquisition of, or enhancement to, an administrative or financial system as required by [technology policy 122 - administrative and financial system investment approval](https://ocio.wa.gov/policy/administrative-and-financial-system-investment-approval) ?
 | [ ] Yes [x]  No☐Yes [x]  No |
| 1. If **Yes** to question B, has this decision package obtained OCIO and OFM Administrative and Financial System review approval?
* If **Yes**, attach the approval letter.
* If **No**, the decision package should not be submitted. Recommendation will be “Do Not Fund.”
 | [ ] Yes [ ]  No |
| 1. For DCYF, DOH, DSHS, HCA and the Washington Health Benefit Exchange only: Has this project been screened for inclusion in the HHS Coalition portfolio?
 | [x]  Yes ☐ No |
| 1. Does this decision package support the adoption of modern, cloud-based technologies?
 | [x]  Yes ☐ No |

# Part 3: Maintenance level decision packages

The questions in Part 3 are for **Maintenance level** decision packages and need to be answered. (If this is a policy-level decision package, skip Part 3 questions and respond to all questions in Part 4 and Part 5.)

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| 1. Is this renewal for an existing software or subscription?
2. Does this continue a current maintenance contract?
3. Does this decision package fund the acquisition or expansion of hardware capacity?

If **Yes**, where is the hardware solution hosted? [ ]  State Data Center. [ ]  External Cloud. [ ]  Other location. 1. Is this a routine, planned replacement of aging hardware or equipment?

If **Yes**, where will the hardware solution be hosted? [ ]  State Data Center. [ ]  External Cloud. [ ]  Other location. 1. Has the agency performed research to determine if a modern cloud solution is available for this maintenance investment?
 | [ ] Yes [ ]  No[ ] Yes [ ]  No[ ] Yes [ ]  No[ ] Yes [ ]  No[ ] Yes [ ]  No |  |

# Part 4: Policy level decision packages

The questions in Part 4 are general questions for **policy-level** decision packages.

1. Type of Investment - Identify the most relevant decision package investment classification from the following list (select one):

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| [ ]  Addresses technical debt. |
| [ ]  Cloud advancement.  |
| [x]  Continues existing project.  |
| [ ]  Critical hardware upgrade.  |
| [ ]  Improves existing service.  |
| [ ]  Introduces new capabilities. [ ]  System modernization.  |

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| 1. Does this decision package fund the acquisition, development, enhancement, or replacement of a new or existing software solution?

If **Yes**, where will the software solution be hosted? [ ]  State Data Center [x]  External Cloud [ ]  Other location. | [x] Yes [ ]  No |  |
| 1. Do you expect this solution to exchange information with the state financial system (AFRS) or the OneWA solution (WorkDay)?
2. Does this decision package fund the acquisition or expansion of hardware capacity?

If **Yes**, where will the hardware solution be hosted? [ ]  State Data Center [ ]  External Cloud [ ]  Other location. | [ ] Yes [x]  No[ ] Yes [x]  No |
| 1. Does this decision package fund the continuation of a project that is under OCIO oversight? (See [Technology policy 121](https://ocio.wa.gov/policy/it-investments-approval-and-oversight-policy).)

If Yes, name the project: Healthcare Enforcement & Licensing Management System (HELMS)(Project name published on the [IT Dashboard](https://wacioportal.force.com/s/)) | [x] Yes [ ]  No |  |
|  |  |  |

# Part 5: IT investment prioritization and scoring questions

All policy level decision packages must provide a response to the following questions. Responses will be evaluated and ranked by the OCIO as required by [RCW 43.88.092](https://app.leg.wa.gov/rcw/default.aspx?cite=43.88.092). The criteria scoring scale being used by the OCIO to evaluate and rank decision packages is available on the OCIO [Decision Package Prioritization](https://ocio.wa.gov/it-projects/decision-package-prioritization) website. See [23-25 Decision Package Prioritization Criteria](https://ocio.wa.gov/sites/default/files/public/DecisionPackage/DP%20Criteria%20%26%20Scoring%20Scale%2023-25.pdf?u0yb70r).

Agency Readiness

### **Due diligence.** Summarize the research, feasibility or due diligence work completed to support this decision package. Attach a copy of the feasibility study or other documentation of due diligence to the decision package.

The department evaluated the scale of the solution by conducting a feasibility study. The study evaluated and recommended alternative approaches for this effort. The recommended alternative is “Platform as a Service (PaaS)/Software as a Service (SaaS) that is modular, configurable and provides best of breed shared services for reporting, security, interface and data exchanges, document management, rules engine, and work-flow management.” The recommendation included estimates for the implementation and Maintenance and Operations (M&O) phases.

The department also conducted a Request for Information (RFI) to validate the HELMS business requirements, technical requirements, and security requirements. It also included details of the “Current State,” such as a brief description of module functionality and databases associated with ILRS. The fourteen vendor responses confirmed that the solution was properly scaled. The results of both the feasibility study and the RFI conducted resulted in a scaled solution that is outlined in this decision package.

### **Governance and management.** What governance processes will support this project? Examples of governance processes include appropriately placed executive sponsor, representative steering committee, resourced vendor/contract management, change control, and incorporating stakeholder feedback into decision making processes. Provide examples of how your proposed budget includes adequate funding and planning for governance processes, if applicable.

The department is committed to effective management of Information Technology (IT) in support of public health programs and services. New technology offers capabilities that are needed to fulfill the department mission and goals. The department has an IT Governance Group to oversee all aspects of IT projects. They ensure processes are followed, documented, and approved in compliance with requirements of the State of Washington and the Department of Health. All IT projects follow a department project initiation process.

The process enables business to consult with technology in the development of project proposal documentation. Together, they assess risk and impact using the IT Project Assessment (ITPA) tool to determine level of OCIO visibility/oversight. A business case is submitted to a solutions team for development of recommend solution options and cost estimates. Next, a decision paper goes before the department IT Governance Group for scoring and a decision on whether to add the project to the department queue. External quality assurance will be engaged and OCIO oversight initiated. The CIO partners with the Executive Sponsor to manage resources, is involved in the day to day leadership as required and sits on the Project Steering Committee. As of August 2023, the HELMS project is moving under the Office of Innovation and Technology for focused IT project management and oversight per WaTech Advisory memo.

HELMS Executive Sponsor

Lacy Fehrenbach has recently been appointed as the executive sponsor for the HELMS project. Lacy is the Chief of Prevention, in the Executive Office of Prevention, Safety and Health. This change is to ensure this project is managed and provided oversight from the agency executive level due to the nature and importance of this major project. Lacy oversees the Assistant Secretary of the Health Systems Quality Assurance (HSQA) division, which contains five of the business units supported by HELMS. She collaborates with the steering committee to oversee and guide the project activities. As the executive sponsor, she is the champion for the project and the ultimate decision maker on project activities. ~~Most recently, she has served as executive sponsor for the Department’s Vital Records System Modernization.~~

HELMS IT Executive Sponsor

Callie Goldsby is the IT executive sponsor for the HELMS project. She is the Department of Health’s Chief Information Officer. She provides an IT perspective that considers Salesforce as an enterprise platform for DOH and helps guide the HELMS IT project activities. She is a voting member on the HELMS Steering Committee.

HELMS Steering Committee

The HELMS steering committee provides guidance to the project, supports communications and collaboration. The committee is comprised of representatives from all of the administrative units supported by the project, as well as the OCIO management consultant and the project quality assurance. The committee meets monthly and covers project status, issues, and risks.

Project Quality Assurance

The HELMS will be engaging the QA vendor to perform Independent Verification and Validation services as well as a project assessment per WaTech Advisory memo.

Independent Verification and Validation (IV&V)

The department recently engaged with a third-party vendor to complete a one-time initial IV&V assessment for evaluating and mitigating technical risks. The initial assessment focused on software configuration and testing, software quality issues, inter-operability, software licensing needs, data migration, and data integrations. Beginning in August 2023, the department is planning to continue monthly IV&V services to re-assess risks in the above areas, including reviews of software deliverables and documentation for completeness, and adherence to development standards and industry best practices.

Business User Involvement

The department is committed to ensuring business user involvement. The project has a dedicated deputy business project director whose will oversee and facilitate involvement from business users and stakeholders. The broader project organization includes a liaison from each administrative unit that coordinates input from their unit and communicates project information back to their unit. When the project moves into implementation, we will create a full-time dedicated business team comprised of staff from the different units that will support the project. Full-time business staff will be trained on project management fundamentals and the project’s specific management processes (change management, risk management, etc.).

IT User Involvement

The project has also added a dedicated deputy IT project director who will oversee and facilitate involvement from technical users and stakeholders. This person works with the IT project manager and technical subject matter experts to provide an IT perspective that considers Salesforce as an enterprise platform for the department and helps guide the HELMS IT project activities. The broader project organization includes two IT liaisons who elicit input from their units and communicates project information back to their units.

External Stakeholder Involvement

In addition to internal business user involvement, the project will also involve external stakeholders, such as health profession boards, commissions, and associations. These stakeholders will be involved through regular e-mail updates, presentations at board and commission meetings, individual meetings, and targeted written communications throughout the project. These stakeholders will also be used as a gateway to solicit feedback on project direction and recruit end user testers.

The department maintains an IT Portfolio in full compliance with OCIO Policy 112 “Managing Information Technology Portfolios” and Policy 121 “Information Technology Investments and Project Oversight.” The department IT Portfolio is used by department leaders as a guide in prioritization of investments and strategic decision making. The department has adopted Policy 10.001 “Governance of Information Technology Investments,” which states:

“The Department of Health makes a significant investment in Information Technology (IT) systems, equipment, projects, and expert resources to achieve the agency mission. IT investments must support agency essential functions, fulfill statutory mandates, and comply with statewide policies and standards.”

Agency leaders participate in a governance process to oversee the selection and management of IT investments in alignment with strategic goals. Executives and leaders are active, engaged and accountable to ensure IT solutions support efficient and effective delivery of public health programs and services now and in the future.

The department has also adopted Policy 10.015 “Information Technology Project Initiation,” which states:

“The Department of Health (DOH) is committed to effective management of information technology (IT) in support of public health programs and services. New technology offers capabilities that are needed to fulfill the agency mission and goals. The purpose of this policy is to provide a framework to ensure processes are followed, documented, and approved in compliance with requirements of the State of Washington and the Department of Health. This policy and all related procedures apply to every IT project conducted within Department of Health. All IT projects are required to use the Department of Health Project Initiation Process and to follow this policy before implementation regardless of the hosting environment. The only exceptions to this policy are those activities classified as routine maintenance.”

### **Planning and readiness.** Describe how your agency will resource the implementation of this investment request. Will in-house resources be used, or will resources be acquired? How has organizational change management been factored into planning and approach? Does the investment require a project management approach to be used? Describe whether project and organizational change management resources are included in this request or will be provided by in-kind resources. Describe whether the proposed budget includes costs associated with independent quality assurance.

The Department of Health has a team of experts (IT Solutions Team) that collaborates with department Enterprise Architects and business to assess proposed projects for impacts and alignment with state and department strategic goals. The team is focused on optimizing IT investments by identifying scenarios for reuse and sharing of services and solutions that will meet current and future department needs. The team produces an IT Project Decision Paper that provides the following:

* Assessing business readiness.
* Identifying current technology and applying EA principles to propose solution options.
* Evaluating solution options and identifying pros and cons for each potential solution.
* Estimating costs for each option using industry-standard models that account for software sizing, effort estimation, hardware, and software licensing, hosting and implementation cost and a detailed breakdown of the staff resources required to complete the effort.
* Providing technical expertise as needed to address business needs for project initiation activities.
* Identifying IT policies that impact the proposed project and advises business on how to meet compliance.
* Aligning potential solutions with department IT Roadmap.
* The Department of Health has selected the Prosci ADKAR Model, which is a goal-oriented change management model to guide individual and organizational change. We have invested in training to certify department staff in application of the ADKAR model to guide staff, partners and customers engaged in business and IT projects through the change and to successful completion.



* HELMS will replace systems currently used by department staff in their daily work. The department anticipates that overall processes will be performed in a manner that is consistent with the way that they’re currently being performed. This incremental change to a new system necessitates an organizational change effort to support staff in the successful transition.
* One internal staff member will be dedicated to lead the organizational change management for HELMS, supported by other internal staff and contracted resources. The dedicated staff member will collaborate with the system integration vendor to develop the plan for organizational change management and then the plan will be executed by Department staff with vendor support as needed.

Technical alignment

### **Strategic and technical alignment.** Using specific examples, describe how this investment aligns with strategic and technical elements of the [Enterprise Technology Strategic Plan](https://ocio.wa.gov/sites/default/files/public/State-IT-Strat-Plan-2021-25.pdf?7p94d9). Examples of strategic principles that tie back to tenets of the strategic plan include, but are not limited to, advance digital government, support use of common and shared technologies across agencies, improve the Washington customer experience across digital channels, strengthen privacy capacity in state and local government. Examples of technical principles that tie back to tenets of the strategic plan include but are not limited to; adoption of modern cloud-hosted technologies, provide proactive cybersecurity capabilities, reduce technical debt, expand integration between systems.

The department, through the efforts of the Enterprise Architecture Group and the IT Solutions Team, assesses each proposed solution to determine if a SaaS solution is available that can be leveraged as a shared solution. SaaS solutions enhance the ability to obtain services on a modern platform that can be quickly operationalized and provide skilled users the ability to modify the system to support ongoing changes to business processes controlled through a detailed governance process. The department’s application portfolio is reviewed to determine what products could make use of the solution as well as being evaluated to determine if a product already in use can be leveraged to meet the business need. All acquisitions or builds are thoroughly reviewed through the use of automated tools to determine if they meet accessibility standards and requirements. All products or services are evaluated against a set of requirements that stipulate the solution must embraces open standards, support and have reusable components and can easily interact with other data sources, systems, and products.

**HELMS Alignment with Washington’s Strategic Elements**

HELMS will better align the department with the strategic elements of the state’s Enterprise Technology Plan.

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| **Goal** | **Goal Statement** | **Efforts Alignment to Goal/Goal Statement**  |
| Create a Government Experience that Leaves No Community Behind | Through a connected government that emphasis service delivery and the experience of those we serve, we can achieve equitable outcomes across our communities. | The department will deploy a portal for initial, renewed or updated licenses. The department will give stakeholders an access point for their business.HELMS will make data more available to the public. We expect to enhance the demographic and specialty information provided. |
| Better Data, Better Decision, Better Government, Better Washington  | Use data and insights to improve the experience of those we serve, prioritize service improvements, drive strategic decisions, and improve transparency. | Tools will enable the department to analyze and mine data, finding insights and patterns to improve healthcare analytics and support decision making.HELMS will make data more available to the public. We expect to enhance the demographic and specialty information provided. |
| Innovative Technology Solutions Create a Better Washington  | Prioritize solutions emphasizing access, technology, and innovation to address systematic societal challenges and align our decision-making for those we serve. | HELMS will require a solution that supports mobile access by some employee functions, better enabling employee mobility. This will benefit employees who work in remote locations, such as field-based investigators and inspectors.  |
| Transform how we work. Best workforce ever.  | Attract and retain technology talent, advance our agencies’ skill sets, instill an innovation culture, and establish new and agile processes and practices to achieve our future vision. | The department will be engaged in creating a Center of Excellence around the platform that HELMS will be implemented on which will provide the internal DOH staff the skills and knowledge necessary to support the enterprise platform which will create efficiencies, as well as increase technical skills in the organization. |

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### **Technical alignment**

1. Using specific examples, describe how this investment aligns with technical elements of the Enterprise Technology Strategic Plan. Examples of technical principles that tie back to tenets of the strategic plan include, but are not limited to: technology reuse, data minimization, incorporating security principles into system design and implementation, publishing open data, and incorporating mobile solutions into systems.

HELMS aligns with the Enterprise Technology Strategic Plan in several ways.

* Capture Data Once and Re-Use: HELMS follows the premise of capturing data once and using it many times with a single record of truth and by leveraging data resources from other internal and external sources to support the overall business needs. Application of master data management procedures and products will be leveraged to accomplish this. Evaluation of data, reference data and metadata will used to determine the best approach for implementation and ongoing operations.
* Increase Information Sharing: The solution will be evaluated to assure that it can increase capacity to manage and share information with partners and the public through the use of the state open data site and other mechanisms, such as the department public web site. Evaluation of partner and other governmental needs will be addressed through the Public Health Interoperability effort currently underway in the agency.
* Underlying Component Security: The solution vendor will be expected to accurately and fully disclose all materials that support the evaluation of all products used to construct and support the product. Compliance with NIST and State standards and guidelines will be required.
* Security Testing: Penetration and other security testing will be a requirement of the procurement.
* Open Data: All solutions are evaluated to determine if the publishing of data to the Open Data site is appropriate and in the best interests of the department and the public. A strict set of criteria has been established by the department to assess risk and to assist in the identification of data that should be published. The department looks to produce more useful data that is in a format easy to use. The system will make the data more available to the public. We expect to enhance the demographic and specialty information provided as part of the healthcare provider open data set through the project. Criteria established in OCIO Policy 187 will be applied.
* Reuse and Interoperability: Reuse, integration and interoperability assessments are conducted to determine the viability of each for current and future implementation. Assessments and design consideration is given to all components to identify opportunities for standardization, reuse and compliance with the State and agency technology roadmaps.
* Accessibility: All products are assessed for accessibility in compliance with Federal 508c, WAG 2.0 and OCIO Policy 188.

### **Reuse and interoperability.** Does the proposed solution support interoperability and/or interfaces of existing systems within the state? Does this proposal reuse an existing solution or existing components of a solution already in use elsewhere in the state? If the solution is a new proposal, will it allow for such principles in the future? Provide specific examples.

The department applies the guidelines set forth in the [Washington State Architecture Handbook](https://ocio.wa.gov/enterprise-architecture-handbook) and industry best practices for evaluating proposed solutions to identify opportunities for leveraging support from existing state, federal and commercial systems. We also ensure a thorough assessment is completed to identify opportunities for reuse of existing components and code during the evaluation of the solution as well as identifying opportunities to create components and services that can be reused in the future.

The enterprise cloud platform that will host HELMS will be implemented as an enterprise platform solution upon which DOH can implement other major use cases in the agency. This will enhance our abilities to consolidate on a viable shared cloud platform and realize economies of scale.

HELMS requirements are to leverage department and state enterprise solutions to satisfy requirements where such components exist, such as the department’s existing enterprise content management system. The system will also integrate with state enterprise authentication systems, including SecureAccess Washington for external users and Active Directory Federated Services for internal users. Aside from this, key requirements of the solution are to ensure 1) that interoperability exists across the combined set of software if multiple applications are necessary to satisfy requirements 2) that interoperability is provided for a defined set of department- and state-enterprise applications through API and 3) that API support is available for information exchanges with external applications.

Business alignment

### **Business driven technology.** What are the business problems to be addressed by the proposed investment? These business problems should provide the basis for the outcome discussion below. Describe how end users (internal and external) will be involved in governance and implementation activities.

The department performed analysis of the HELMS requirements from May 2016 – September 2017. We completed an inventory of 175 core health care licensing and enforcement business processes to be supported by HELMS and then mapped desired future-state processes and documented supporting requirements. As the department implements the new solution, we will be looking for opportunities to streamline our processes according to Lean principles. We expect that the new solution will provide opportunities to improve processes by shifting more interactions from hard copy and postal mail delivery to electronic records and email. For example, we expect to stop sending annual credential renewal notices by postal mail to nearly 500,000 credential holders and to deliver these via email. Similarly, we currently conduct Health Profession Shortage Area surveys of primary care, oral health, and behavioral health providers by mail. We expect to be able to conduct these surveys online in the future. Additional opportunities will be identified during the implementation phase.

The overall management and oversight of the project will fall under the Office of Innovation and Technology project management office. Business and technology will coordinate the project efforts through a joint project leadership team. The team is led by a project director, supported by a deputy business project director and a deputy IT project director. This team will use the project steering committee and the project business liaisons, both of which have representatives from each business unit impacted by the project to further coordinate and communicate project tasks and activities.

### **Measurable business outcome.** Describe and quantify the specific performance outcomes you expect from this funding request. Provide specific examples of business outcomes in use within your agency, and how those outcomes will be improved because of this technology investment. Does the response align with the measurable business outcomes identified in the Strategic and Performance Outcomes in Chapter 2 of the 2023-25 budget instructions? What outcomes and results, either positive or negative will occur? Identify all Lean initiatives and their expected outcomes. Include incremental performance metrics.

The department has identified several key performance measures related to this project.

* Implement web-based access for healthcare providers to review and manage relevant information (such as credential application status, address updates, compliance and discipline-related information, etc.). This capability is anticipated to be phased in by profession; by end of project, all provider types will be able to use this feature. **Goal:** 100% of providers able to review and manage relevant credential and enforcement information by FY2025.
* Expand web-based information available to healthcare consumers. **Goal:** Expand available data by 33% by FY2025.
* Automate the Health Professions Shortage Area (HPSA) survey process. This will increase access to this data for healthcare system and workforce development planning. **Goal:** 100% of designated provider types can be surveyed to support the department’s Health Professions Shortage Area assessment by FY2025.
* Implement association of healthcare providers with their practice locations where state law or rule requires reporting of practice location. **Goal:** Implement for 100% of Medicaid providers by FY2025.
* Provide access to electronic investigation records to health provider regulatory boards, commissions, and committees. **Goal:** Implement electronic access to investigation records for 100% of disciplinary authorities by FY2025.

**Decision package urgency**

During the evaluation and ranking process, the OCIO will take into consideration, the urgency of the decision package request. Describe the urgency of implementing the technology investment in this cycle and the impacts to business if it does not proceed as planned.

The current system, ILRS, is nearing the end of its usable lifespan. The software vendor, Tyler Technology, has stopped providing feature upgrades and they will only be offering “bug fixes.” Soon, they will stop supporting the product entirely, which means that the mission-critical functions of the Department will be unsupported and at risk when the system fails. This effort provides the opportunity to replace this system and several other systems that fall within the ILRS umbrella.