

Executive Branch Information Technology
Office of Information Technology Services
2800 SW Topeka Blvd., Building 100
Topeka, KS 66611



Phone: (785) 296-3463
Fax: (785) 296-1168
oits.info@ks.gov

DeAngela Burns-Wallace, Chief Information Technology Officer

Laura Kelly, Governor

November 9, 2022

Richard Beattie, Director
Procurement and Contracts

Dear Mr. Beattie:

The high-level project plan for the Department of Administration SEHBP Data Warehouse Project is enclosed. Mike Michael is the primary contact for the project and can be reached at (785) 296-0221. This letter constitutes approval of the project pursuant to K.S.A. 75-7209.

K.S.A. 75-7209 states all specifications for any competitive acquisition related to an approved information technology project shall be reviewed by the chief information technology officer for the branch of state government of which the agency or agencies are a part. The requirement that agencies obtain CITO approval of proposed IT projects has been adjusted to be in agreement with JCIT suggestions. As a result, all specifications for any competitive acquisition related to an approved IT project shall now be approved by the CITO before release.

If a variance of 10% or more in time or cost to the approved high-level project plan would occur with vendor selection, a revised high-level project plan must be submitted for CITO approval and the CITO's approval shall be received, prior to contract award. The CITO will notify JCIT of such events as per their request.

Once the final contracts are awarded, the high-level project plan will need to be updated with detailed information and receive final CITO approval. As required by statute and reinforced by the JCIT, the detailed project plan must receive CITO approval prior to project execution. This detailed project plan should include information found at the following link: <https://ebit.ks.gov/kito/epmo/proposed-information-technology-project-plans>.

As of July 1, 2013, new CITO-reportable projects are assessed a fee to support KITO operations. The fee will be assessed against the total project cost identified in the agency's detailed project plan. The fee will be billed quarterly until the project's Post Implementation Evaluation Report (PIER) is received. Fees will be based on the following rate structure:

- Projects valued between \$250,000 and \$10,000,000 - .0035 of the Project cost
- Projects valued greater than \$10,000,001 - .0005 of the Project cost
- Infrastructure projects - .00035 of the Project cost

Richard Beattie
11/9/2022
Page 2 of 2

If there is any further assistance I may provide, please contact me.

Respectfully,

DocuSigned by:

DeAngela Burns-Wallace

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DeAngela Burns-Wallace
Executive Branch CITO

cc: Kelly O'Brien, CITO, Judicial Branch
Alan Weis, CITO, Legislative Branch
Adam Proffitt, Director of the Budget
Aaron Klaassen, JCIT
JCIT Membership
Linda Norris, OPC
Kelly Johnson, OPC
Brian Reiter, OITS
Mike Michael, DA
Jennifer Flory, DA
Josh White, DA
Carrie Doyal, DA
Pete Nagurny, DA
Megan Burton, KSHS
Ethan Anderson, KSHS
Cole Robison, OITS
Alex Wong, CITA
Sara Spinks, KITO

10/27/2022

Dr. DeAngela Burns-Wallace
Office of Information Technology Services
900 SW Jackson, Room 751-S
Topeka, KS 66612-1275

Dear Dr. Burns-Wallace,

The Department of Administration (DOA), Division of State Employee Health Benefit Plan (DSEHBP) is requesting Chief Information Technology Officer (CITO) approval of our high-level project plan for the DSEHBP Data Warehouse Project.

Currently DSEHBP's data warehouse being used for essential program functions is a module included in the KDHE KMMS system. Because it is a module of the larger KDHE KMMS system DSEHBP has no contractual control or operational oversight of the current data warehouse. The Division of the State Employee Health Benefit Plan has initiated the planning phase for a new Data Warehouse contract and for the possibility of working with a new vendor. Once the planning is complete then implementation will be the next step.

There will be several steps to this project which include the following:

- Issue Data Warehouse RFP
- Review responses to RFP
- Interview possible vendors
- Award contract
- Implementation

If you have any questions, please feel free to call Mike Michael, SEHBP Deputy Director at 785-296-0221 or Jennifer Flory, SEHBP Interim Director at 785-296-3362.

Sincerely,



Jennifer Flory
Interim Director of the Division of State Employee Health Benefit Plan

State Employee Health Benefit Plan	
SEHBP Data Warehouse Project	
Greater than \$250,000/ less than \$1,000,000 (Y/N): N	
Greater than \$1,000,000 (Y/N): Y	
IT Project Plan Documents	Included (Y/N)
For forms and/or more detailed information on completion of plan: see https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans	
For ITEC Policy and/or more detailed information on approval of IT projects, see ITEC 2400 and 2400A https://ebit.ks.gov/itec/resources/policies	
Cover Letter Requesting Project Approval	Y
IT Project Request Explanation--DA518	Y
IT Cost Benefit Statement--DA519	Y
Work Breakdown Structure	
Task Name (tasks should be descriptive)	Y
Start	Y
Finish	Y
Milestone	Y
Architectural Statement (ITEC Policy 4010 and 9500) https://ebit.ks.gov/itec/resources/policies	
Statement of products and standards compliance	Y
If different, attach CITA waiver	N/A
Ownership of Software Code and Related Intellectual Property (ITEC Policy 1500)	
Statement of compliance	Y
If different, attach CITO waiver	N/A
Accessibility Statement (ITEC Policy 1210) https://ebit.ks.gov/itec/resources/policies/policy-1210	
Statement indicating intent to use Voluntary Product Accessibility Template® (VPAT®) to assess compliance with ITEC 1210 as part of the procurement/development and testing process, or attach exception from State ADA Coordinator. For more information see: https://www.itic.org/policy/accessibility/vpat.	Y
Attach approval letter from State Director of IT Accessibility	Y
Electronic Records Retention Statement (K.S.A. 45-403 and K.S.A. 45-213 through 45-223) For more information see -- https://www.kshs.org/p/records-management-and-the-law/11348	
1. Identify replaced paper records	Y
2. Identify new business functions	Y
3. Reasons for business functions	Y
4. Records requirements for business function	Y
5. Documents in another system?	Y
6. Public access requirements	Y
7. Access control requirements	Y
8. Identify all records with retention period of ten or more years	Y
9. Estimate three year cost of addressing records identified in No. 8	Y
Attach approval letter from State Archivist.	Y
Risk Identification Summary (Form ITEC PM02-11a)	Y
Risk Assessment Model (RAM) Summary - High Level Plans	Y
Fiscal Note, if appropriate	N/A
Electronic copy submitted four weeks prior to contract award and/or project execution	Y

INFORMATION TECHNOLOGY PROJECT REQUEST EXPLANATION – DA 519

1. Project Title		2. Estimated Dates		Projected Months from			
SEHBP Data Warehouse		Planning Start:	9/1/2022	Execution to Close-Out			
		Execution Start:	3/6/2023	8			
		Close-Out End:	10/30/2023				
3. Agency		4. Project Director/Project Manager					
Department of Administration - SEHBP (State Employee Health Benefits Plan)		Carrie Doyal/ Pete Nagurny					
5. Qualitative and Quantitative Savings Explanation							
attached							
6. Qualitative and Quantitative Savings Estimate							
Description of Savings		SFY 2023	SFY 2024	SFY 2025	SFY 2026	SFY 2027	SFY 2028
Cost Avoidance (Soft Dollars)							
Error in Reporting			\$14,000	\$14,000	\$14,000		
Not having Data loaded timely			\$10,000	\$10,000	\$10,000		
Not having the data normalized			\$15,000	\$15,000	\$15,000		
KDHE not renewing the contract or going out to bid			\$1,000,000	\$500,000	\$500,000		
Subtotal		\$2,117,000	\$0	\$1,039,000	\$539,000	\$539,000	\$0
Cash Savings (Hard Dollars)							
Reduction of Outside services for setting up Models			\$1,664	\$1,664	\$1,664		
Subtotal		\$4,992	\$0	\$1,664	\$1,664	\$1,664	\$0
Other (Include Intangible Benefits)							
System reliability							
Subtotal		\$0	\$0	\$0	\$0	\$0	\$0
Quantitative Savings		\$2,121,992	\$0	\$1,040,664	\$540,664	\$540,664	\$0
7. Summary*		SFY 2023	SFY 2024	SFY 2025	SFY 2026	SFY 2027	SFY 2028
Project Costs	Total	\$995,851	\$995,851	\$0	\$0	\$0	\$0
Net Cost Benefit	Total	\$1,126,141	-\$995,851	\$1,040,664	\$540,664	\$540,664	\$0
Cost Benefit per Month		\$265,249					
Calendar Months to Break Even		4					
8. Ongoing Cost		SFY 2023	SFY 2024	SFY 2025	SFY 2026	SFY 2027	SFY 2028
Operational Cost for three ensuing SFYs		\$0	\$360,000	\$360,000	\$360,000		

* Project Costs = Total Cost of Project over all Fiscal Years from all Funding Sources

Net Cost Benefit = Total Qualitative & Quantitative Savings minus Total Project Costs

Cost Benefit per Month = Total Qualitative & Quantitative Savings divided by Length of Project in months

Calendar Months to Break Even = Total Project Costs divided by Cost Benefit per Month

Revised 2/21

Information Technology Project Request Explanation – DA 518

4. Project Description and Justification:

The State of Kansas State Employee Health Benefits Program is a self-insured, self-administered unit that manages medical, workers compensation claims and benefits for eligible employees.

The State Self Insurance Fund (SSIF) was established in 1974 under K.S.A. 44-575, et seq. It is a self-administered, self-insured section established for the purpose of providing and administering workers compensation claims on behalf of state employees and agencies. The State Self Insurance Fund provides centralized workers compensation coverage for 96 different agencies and a total work force of approximately 37,190 employees. Currently the SSIF averages approximately 271 new claims per month, with an active open claim count of approximately 1,644. SSIF processes an average of 2,700 medical, indemnity and miscellaneous payments per month.

The Kansas State Employees Health Care Commission was created in 1984 by the Legislature to "develop and provide for the implementation and administration of a state health care benefits program. It may provide benefits for persons qualified to participate in the program for hospitalization, medical services, surgical services, non-medical remedial care and treatment rendered in accordance with a religious method of health and other health services." The Health Care Commission is authorized to negotiate and enter into contracts with qualified insurers, health maintenance organizations and other contracting parties for the purpose of establishing the state health care benefits program. Administrative staff and support functions for the Health Care Commission (HCC) are provided by the Department of Administration, Division of Personnel Services.

Additional duties were assigned to the Kansas State Employees Health Care Commission during the 1999 legislative session. The ongoing maintenance and review of the health care benefits program was expanded by Senate Bill 3 to include provision of information and recommendations regarding insurance benefits mandated by state law. The statutory charges read as follows:

1. Maintaining an ongoing study and review of the state health care benefits program in order to make necessary improvements therein and to make recommendations thereon under K.S.A. 75-6509 (c). and
2. After July 1, 1999; in addition to the requirements of K.S.A. 40-2248 and 40-2249, and amendments thereto, any new mandated health insurance coverage for specific health services, specific diseases or for certain providers of health care services approved by the legislature shall apply only to the state health care benefits program, K.S.A. 75-6501, et seq., and amendments thereto, for a period of at least one year beginning with the first anniversary date of the state health care benefits program subsequent to approval of the mandate by the legislature. On or before March 1, after the one-year period for which the mandate has been applied, the Kansas state employees health care commission shall submit to the president of the senate and to the speaker of the house of representatives, a report indicating the impact such mandated coverage has had on the state health care benefits program, including data on the utilization and costs of such mandated coverage. Such report shall also include a recommendation whether such mandated coverage should continue for the state health care benefits program or whether additional utilization and cost data is required. The legislature shall periodically review all health insurance coverages mandated by state law. The present system, while still functional, does not provide all the functionality needed. The data tables, particularly payment and transaction data have grown considerably. Notwithstanding functionality, there is growing concern over system limitations, stability and reliability. The SSIF currently has an agreement for service; however, functionality is vital for daily operations.

The purpose of this project is to acquire a replacement database warehouse and support system that will allow the SEHBP to perform its critical mission more effectively and efficiently, make sound decisions, analyze claims data, model program changes, forecast utilization patterns and comply with state legislators and HCC directives.

SEHBP projects the selected proposal will not exceed a \$1 million threshold to implement.

Project Objectives and Deliverables:

- Acquire a state-of-the-art web hosted data warehouse system to provide automated processing functions for tracking and meeting timelines for the HCC and legislative requests.
- Perform any and all upgrades and conversions with no observable impact to users.
- Smooth and accurate Data Conversion of about 1.2 terabyte of data (active & prior) with transactions totaling more than \$2.5 billion in claims data.
- Backup data consistent with OITS support technology.

SPECIFIC TASKS

- *Conversion of Claims from Cerner/Gainwell system*
 - Accept and convert existing files including more than 1.2 terabyte of data.
- *Claims Management Data Collection and Functional Modules:*
 - Initial event reporting, subsequent updates, and retrieval of stored information.
- *Interfaces:*
 - Ability to extract and migrate selected employee information from the State's MAP system, such as name, employee ID, SSN, address, telephone numbers, birth, agency, plan election, coverage level, gender, active, cobra, and retiree data.
 - Ability to migrate medical, dental, vision, pharmacy, lab, wellness, hospital, and state self -insurance fund medical claims. The current vendors are BCBS, AETNA, CVS Caremark, Avesis, Delta Dental, Silverscript, Quest, Stormont Vail, TUKHS, Marathon, Cerner Wellness, Corvel, and Genex.
- *Reporting*
 - Produce standardized reports for claims reporting, staff (adjuster) management, payment transaction management and overall financial analysis and forecasting.
 - Produce status reports regarding plan statistics and ability to track claims payments for programs that have been implemented by the plan.
 - Allow ad hoc reporting capabilities.
- *Training*
 - Train staff to use system for user level queries of claims data.
 - Train staff on system capabilities
 - DOA technical support staff regarding hardware, software, and network issues
- *Forecasting and Modeling*
 - Produce system financial reports, such as "Value As of" (VAO) for use by actuaries to validate past financial perform, trend adjustments and forecast fund liability and develop necessary revenue projections and GASB accounting.
 - Establish grouping protocols of claims data for data loss ratios.
- *Maintenance and Upgrades*
 - Technical support must be available for selected software 8:00 am – 5:00 PM CST daily.
 - Routine system upgrades are assumed to be included in the vendor's proposal; major software enhancements may be available at the user's option.

Alternatives

The only other viable alternatives are: (1) coordinate with current vendor for a split of the database and a separate contract (2) negotiate a separate contract with the current vendor on a separate database warehouse, (3) develop in house replacement. Each of the preceding alternatives have significant risk, require staff expertise that is not readily available and may produce less than acceptable outcomes.

Project Staff

<u>State Self Insurance Fund</u>	<u>% Time</u>
SEHBP Data and Finance selected staff	20.0%

Project Costs

The Project Cost is estimated at \$1 million based upon known industry solutions.

Project Phasing: See the attached Project Implementation Timetable

Amount by Source of Funding

The project will be budgeted utilizing the State Employee Health Benefits Budget balance as estimated FY 2023 and FY 2024 for operational expenditures and authorized per K.S.A. 75-6509 (c).

INFORMATION TECHNOLOGY COST-BENEFIT STATEMENT – DA 519

1. Project Title: SEHBP Data Warehouse

2. Proposed Dates:

Start: 9/1/2022

End: 10/30/2023

3. Agency: Kansas Department of Administration Division of the State Employee Health Benefits Plan

4. Project Director: Carrie Doyal and Pete Nagurny

5. Qualitative and Quantitative Savings Explanation

The savings from this project are of a qualitative nature rather than quantitative. The primary benefits of this project are improved system reliability, financial accuracy, and enhanced service to State Employee Health Benefits Plan and State Self Insurance Fund. The system will be used to support legislative requests, Health Care Commission requests (analysis) and State government accounting standards and federal reporting on approximately 1.2 terabyte of claims data. Approximately ½ billion dollars of payments (medical and state self insurance fund claims) are made annually. Better reporting for Legislators, the Department of Administration, Health Care Commission and State of Kansas such as projections, rate development and plan changes financial impacts to the State and the plan.

If this project is successful, the system will have up to date claims, accuracy and normalization of data to answer Legislative, Health Care Commission and 3rd party requests.

6. Qualitative and Quantitative Savings Estimate:

By providing timely information, the means to access and analyze it and reducing the state's cost of risk; an effective Enterprise Data Warehouse ultimately pays for itself. Since this is a replacement project, a precise estimate of qualitative and/or quantitative savings cannot be determined at this time. It would be reasonable to potentially expect some savings due to better reporting capabilities that lead to better decisions that will impact the plan. Should these cost savings be realized, the number of calendar months to break even will be in the range of 7 months.

<u>ID</u>	<u>Predecessor Step ID</u>	<u>Start</u>	<u>End</u>	<u>Duration (Working Days)</u>	<u>Milestone</u>
1		9/1/2022	10/30/2023	303	
2		9/1/2022	3/3/2023	132	No
3		9/1/2022	9/22/2022	16	No
4		9/23/2022	10/24/2022	22	Yes
5		10/24/2022	10/24/2022	1	No
6		10/17/2022	10/24/2022	6	No
7		9/23/2022	2/13/2023	102	No
8		9/23/2022	10/14/2022	16	No
9	6	10/17/2022	10/31/2022	11	Yes
10	7	11/1/2022	11/8/2022	6	No
11	8	11/9/2022	11/9/2022	1	No
12	9	11/10/2022	12/22/2022	31	No
13	10	12/23/2022	1/3/2023	8	No
14	11	1/4/2023	1/13/2023	8	No
15	12	1/16/2023	1/23/2023	6	No
16	13	1/24/2023	2/1/2023	7	No
17	14	2/2/2023	2/13/2023	8	Yes
18	15	2/14/2023	3/2/2023	13	Yes
19		3/3/2023	3/3/2023	1	Yes
20	17	3/6/2023	9/20/2023	143	No
21		3/6/2023	3/29/2023	18	Yes
22	19	3/7/2023	3/9/2023	3	No
23	20	3/10/2023	3/24/2023	11	No
24		3/10/2023	3/24/2023	11	No
25		3/10/2023	3/24/2023	11	No
26	22	3/27/2023	3/27/2023	1	No
27	24	3/28/2023	3/28/2023	1	No
28	25	3/29/2023	3/29/2023	1	Yes
29		3/27/2023	8/8/2023	97	Yes
30		3/27/2023	4/3/2023	6	No
31		3/27/2023	7/31/2023	91	No
32	29	8/1/2023	8/8/2023	6	No
33	30	8/9/2023	9/4/2023	19	Yes
34		8/9/2023	8/11/2023	3	No
35	32	8/14/2023	9/4/2023	16	No
36	33	9/5/2023	9/20/2023	12	Yes
37		9/5/2023	9/19/2023	11	No
38		9/5/2023	9/8/2023	4	No
39		9/5/2023	9/19/2023	11	No
40	37	9/20/2023	9/20/2023	1	Yes
41	38	9/21/2023	10/30/2023	28	No
42	39	9/22/2023	9/27/2023	3	No
43	40	9/28/2023	10/9/2023	3	Yes
44		9/28/2023	10/3/2023	3	No
45		9/28/2023	10/3/2023	3	No

Task Name**SEHBP Data Warehouse Project****PLANNING PHASE****CITO HIGH LEVEL PLAN DEVELOPED****CITO HIGH LEVEL PLAN SUBMITTED AND APPROVAL**

Project staff will work with KSHS to discuss records management tasks associated with the project

CITO HIGH LEVEL PLAN REVISIONS MADE AS NEEDED

REQUEST FOR PROPOSAL - DEVELOPMENT AND ISSUE

Draft completed

CITO APPROVAL OF RFP SPECIFICATIONS

To DOA for approval

Issue RFP to DoFA Purchasing

RFP POSTED FOR 30 CALENDAR DAYS

Evaluate Bids, Demos, & Negotiations

Best and Finals Due

Review Best and Finals

Approval of Revised High Level Plan

Award & Sign Contract**CITO DETAILED PLAN SUBMITTED****PLANNING PHASE COMPLETE****EXECUTION PHASE****Carrier Integration**

Contact carriers about change in EDW

Review & Approve legal agreements between EDW vendor and carriers

Request 5 years of history from carriers

Request all archived history files from Gainwell EDW

EDW vendor dev work on historical file specifications to build import process

Initial UAT testing on import dev work

History files imported in EDW

EDW Reporting Development

Pull existing non-adhoc specifications from Gainwell EDW

EDW dev work to create reports matching current EDW reporting

Review and Modify as needed new EDW vendor reports

User Training

Approve SEHBP User Training plan for reporting

Train SEHBP Staff on reporting tools

UAT

Validate Reporting

Validate EDW standard reports

Validate EDW ad-hoc reports

UAT Sign off**CLOSE OUT PHASE**

Identify Outstanding Issues

Lessons Learned from this Project

Document Lessons Learned

Review and comment by participants

46		9/28/2023	9/29/2023	1	No
47	44	10/2/2023	10/3/2023	1	No
48	45	10/4/2023	10/5/2023	1	No
49	46	10/6/2023	10/9/2023	1	No
50	47	10/10/2023	10/27/2023	0	Yes
51		10/10/2023	10/26/2023	5	No
52	49	10/18/2023	10/23/2023	3	No
53	50	10/24/2023	10/26/2023	2	No
54	51	10/27/2023	10/27/2023	0	No
55	52	10/30/2023	10/30/2023	0	Yes

Revise

Finalize

Archive Project Reports

Disburse Project Resources

Prepare Post Implementation Evaluation Report (PIER)

Draft PIER

Review and comment by Project team

Revise

SUBMIT PIER REPORT TO CITO

CLOSE OUT PHASE COMPLETE

State Archives Division
6425 SW 6th Avenue
Topeka KS 66615-1099



785-272-8681, ext. 272
megan.burton@ks.gov
kshs.org

Patrick Zollner, Acting Executive Director

Laura Kelly, Governor

October 24, 2022

Dr. DeAngela Burns-Wallace, Secretary
Kansas Department of Administration
Curtis State Office Building
1000 SW Jackson Street, Suite 500
Topeka, KS 66612

Dear Dr. Burns-Wallace,

As part of the approval process for information technology projects over \$250,000, the State Archivist is required to evaluate the impact of information technology projects on government records with long-term (10+ year) retention requirements. If the project impacts long-term records, the State Archivist must ensure that appropriate provisions have been made for these records in the high-level and detailed project plans, in the system design, and for their ingestion, if prudent and feasible, into the Kansas Enterprise Electronic Preservation (KEEP) system. An Electronic Records Retention Statement and approval letter from the State Archivist must accompany high level and detailed project plans submitted to the Executive Branch Chief Information Technology Officer.

In compliance with this process, Pete Nagurny, Senior Manager, recently sent to me for review an Electronic Records Retention Statement for the State Employee Health Benefits Plan (SEHBP) Data Warehouse high-level plan. From my review of the project plan materials, I have determined that the project will affect long-term records. Project staff have included records management tasks on the Work Breakdown Structure.

The Electronic Records Retention Statement for the high-level plan is approved. A copy of this approval letter should be included when submitting the project plan to the Executive Branch CITO for approval.

Sincerely,

Ethan Anderson
Government Records Archivist

Cc: Cole Robison, Director of IT Accessibility, OITS
Pete Nagurny, Senior Manager, SEHBP

Executive Branch Information Technology
Office of Information Technology Services
2800 SW Topeka Blvd., Building 100
Topeka, KS 66611



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DeAngela Burns-Wallace, Chief Information Technology Officer

Laura Kelly, Governor

October 27, 2022

DeAngela Burns-Wallace, Secretary
Department of Administration
900 SW Jackson St.
Topeka, KS 66612

Dear Sec. Burns-Wallace:

As part of the approval process for information technology projects over \$250,000, a statement indicating compliance with State Information Technology Executive Council (ITEC) Policy 1210 *Information and Communication Technology Accessibility Standards* must be filed with the Branch Chief Information Technology Officer and approved by the Director of Information Technology (IT) Accessibility. I recently received from Pete Nagurny an Accessibility Statement for the SEHBP Data Warehouse for review in compliance with this process.

This statement affirms that the project will comply with the requirements of ITEC Policy 1210, and that compliance will be documented using the Voluntary Product Accessibility Template® (VPAT®).

The Accessibility Statement for the SEHBP Data Warehouse high-level project plan is approved. A copy of this letter should be included with the submittal of the SEHBP Data Warehouse high-level project plan for Branch CITO approval.

Sincerely,

DocuSigned by:

B7372BF57AD54B7...

Cole D. Robison
Director of IT Accessibility

cc: Carrie Doyal, Department of Administration
Anthony Fadale, State Americans with Disabilities Act Coordinator
Pete Nagurny, Department of Administration
Sara Spinks, Director, Kansas Information Technology Office
Josh White, Department of Administration

SEHBP Data Warehouse Project

High Level Plan – Compliance Statements

Architecture Statement

The Request for Proposal for the SEHBP Data Warehouse Project will comply with Kansas Information Technology Architecture Version 11.2 and any future release as required by Information Technology Executive Council (ITEC) Policy 4010 and 9500.

Ownership of Software Code and Related Intellectual Property

The Request for Proposal for the SEHBP Data Warehouse Project will comply with the state's Ownership of Software Code and Related Intellectual Property as stated in ITEC Policy 1500.

Accessibility Statement

The SEHBP Data Warehouse Project will comply with all State of Kansas Accessibility Requirements set forth under ITEC Policy 1210 (<https://ebit.ks.gov/itec/resources/policies/policy-1210>). Compliance with the requirements of this policy is not negotiable. The Voluntary Product Accessibility Template (VPAT) will be used to measure content compliance of Policy 1210. The VPAT is available at (<https://www.itic.org/policy/accessibility/vpat>).

SEHBP Data Warehouse Project

High Level Plan – Compliance Statements

Electronic Records Retention Statement

The SEHBP Data Warehouse Project will comply with K.S.A. 45-503 and K.S.A. 45-213 through 45.223

<http://www.kshs.org/p/records-management-and-the-law/11358> and

<http://www.kansas.gov/government/legislative/bills/2010/2195.pdf>

1. Identify replaced paper records

The primary benefits of this project are improved system reliability, financial accuracy, and enhanced service to Division of the State Employee Health Benefits Program (DSEHBP) including the State Employee Health Benefits Plan and State Self Insurance Fund. The system will be used to support legislative requests, Health Care Commission requests (analysis) and State government accounting standards and federal reporting.

2. Identify new business functions

This project will focus on the procurement and implementation of a replacement Enterprise Data Warehouse for the DSEHBP. If new business functions are identified in this process, they will be taken into consideration when the vendor and DSEHBP staff prepare the records retention schedule entries and Electronic Recordkeeping Plan.

3. Reasons for business function

The system will be used to support legislative requests, Health Care Commission requests (analysis) and State government accounting standards and federal reporting on approximately 1.2 terabyte of claims data. Approximately ½ billion dollars of payments (medical and state self insurance fund claims) are made annually. Better reporting for Legislators, the Department of Administration, Health Care Commission and State of Kansas such as projections, rate development and plan changes financial impacts to the State and the plan.

4. Records Requirements for business function

Once a vendor comes on board to assist in the planning for the implementation of the new system, they will work with DSEHBP staff to identify records and determine if these records follow applicable state retention schedules in order to develop the records retention schedule entries and Electronic Recordkeeping Plan. Most of these requirements have been established for State of Kansas and the Department of Administration. If a new policy or requirement is needed for a new type of record not addressed, the team will create one and have it approved by the appropriate body within state government.

5. Documents in another system

The vendor chosen for the DSEHBP Enterprise Data Warehouse will obtain records from the former vendor, Gainwell Technologies.

6. Public access requirements

The DSEHBP Enterprise Data Warehouse Project will comply with all applicable state law and regulations regarding public access requirements. In addition, the project will follow HIPAA related regulations.

7. Access control requirements

The DSEHBP Enterprise Data Warehouse Project will comply with all applicable ITEC policies regarding access control.

<http://oits.ks.gov/kito/itec/ITPoliciesMain.htm>

8. Identify all records with retention periods of ten or more years

The DSEHBP Enterprise Data Warehouse Project will include a task within the schedule to identify all records with retention period for ten or more years. DSEHBP staff will collaborate with the Kansas Historical Society to ensure that all long-term records impacted by the new claims managements system are included on the DOA State Records Board-approved records retention and disposition schedule. This will include the preparation of an Electronic Recordkeeping Plan, which the State Records Board requires for all electronic records with retention requirements of 10 or more years.

9. Estimate three years cost of addressing records identified in No. 8

Not applicable – until a detailed analysis is performed to identify records and determine compliance with the appropriate retention schedules, no costs can be determined at this time.

Risk Identification Summary (Top Five Risks)

A description of project risks, the probability of the risk occurring, the impact of the risk on the project, and the suggested mitigation activities.

Last Risk Assessment Date: N/A

Prepared by: _____

<i>Category</i>	<i>Prob</i>	<i>Imp</i>	<i>Risk</i>	<i>Mitigation Approaches</i>
Procurement	Med	High	The evaluation of bids may take longer than expected given the volume of information that will be included in the responses. Additionally the number of responses may be high.	We will need to allow plenty of time in the schedule to give State procurement staff adequate time to review and evaluate bids from the vendors.
Assessment	Med	Low	The pre-project will need to ensure that adequate tasks are performed and useful information is brought forward by the consultant vendor when performing the technical assessments.	Visit regularly with the vendor during the assessment phase to discuss the information collected and analysis performed to ensure it will provide adequate alternatives to consider.
Internal Staffing	Med	High	Internal State staffing may be limited and could potentially delay work being performed on the project.	Be proactive and share any issues or future concerns with management if the lack of resources becomes an issue on the project.
Vendor Partner Submission Files	Low	High	The monthly files that our external vendor partners submit to the warehouse may not be ingested correctly resulting in incomplete or incorrect financial reporting.	Actively test all submissions to ensure complete and correct ingestion into the data warehouse.
Training	Med	Med	Team will not be able to spend all necessary time during training phase.	Management will be proactive in making sure team has adequate time for training.

Legend

Prob = Probability of Occurrence

Imp = Impact

RISK ASSESSMENT MODEL
High Level Plan - Summary Report
Ver. 1.0

Agency Name: DOA, SEHBP

Project Name: SEHBP Data Warehouse Project

1. Introduction

The Risk Assessment Model measures risk in distinct areas. Below are the average scores based on the results from the questionnaire. Each area indicates the measured risk on a scale from 1 to 9, with 9 being the highest risk. Scores lower than 2.0 are considered "Low Risk", scores higher than 2.0 are "Medium Risk" and scores higher than 3.0 are considered "High Risk".

2. Summary

Score	Risk Level	Risk Area
1.0	LOW	Strategic Risk
1.0	LOW	Financial Risk
1.0	LOW	Project Management Risk
1.0	LOW	Technology Risk
1.0	LOW	Change Management / Operational Risk

Note: If you get "#VALUE!" as a result in any of the "Score" or "Risk Level" fields, you have unanswered questions. Go back and check your answers.

3. Signature

I have reviewed the results of the Risk Assessment Model. The results are indicators only and do not represent all the risks of the project. ITEC will use the results as the basis of discussion, and will not rely solely on the output.

Jennifer Flory, SEHBP Interim Director

Project Director

RISK ASSESSMENT - Summary Report
High Level Plan - List of Comments
(Expand Row Height to Show all Text)

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