



ADOA-ASET

Arizona Strategic Enterprise Technology

Project Investment Justification (PIJ)

*A Statewide Standard
Document for Information Technology Projects*

***Project Title: DDD Client Screening & Assessment
Tools (Web Services)***

Agency Name: Department of Economic Security

Date: September 2013

Prepared By: Division of Technology Services

Revised PIJ Version – January 2013

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I.a General Information {A}

Agency CIO:	Michael Dellner	Contact Phone:	
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Agency Contact Email:		Prepared Date:	August, 2013

I.b Special Funding Considerations {A}

Yes No - Does this project require funding approved for a Pre PIJ Assessment phase?

If **YES**, provide details for the **Pre PIJ Assessment** funding needs by filling out the areas marked with {A} or {Required for Pre-PIJ Assessment only}. Further information and details will be required after the assessment for the Final PIJ approval.

If **NO**, provide details for the Final PIJ by filling out **all** areas **excluding** those sections marked with {Required for Pre-PIJ Assessment only}.

II. Project Overview

II.A Management Summary {A}

I. Problem Description

The current Department of Economic Security (DES), Division of Development Disabilities (DDD) member screening and assessment process is manually intensive and subjective, and can be incorrectly performed by contractors and other organization personnel serving individuals with developmental disabilities. The inability to properly screen the health risks and support needs of a DDD member can result in the authorization of inappropriate services that do not address the critical needs of the individual. Unneeded services not only cost the taxpayer, but also frustrate the DDD member and their family members who are seeking help and support. Families of individuals with developmental disabilities often experience problems in the care and support of their family member and look to the DDD to help address those issues and concerns.

II. Solution

The DDD is seeking to obtain Web-based services designed to identify and track members with potential life threatening health risks and their support needs. The DDD requests conditional approval of this PIJ in order to begin contract negotiations with the vendors that clearly state the requirement for HIPAA compliance. The DES Office of Procurement will submit draft contracts to ASET for review and approval prior to the finalization of these contracts.

For member screening the DDD will contract with McGowan Consultants for the use of the Health Risk Screening Tool (HRST) product as a vendor-provided Web service.

DDD Health Risk Screening and Supports Intensity Tool (Web Service)

For member assessment the DDD will contract with American Association of Intellectual and Developmental Disabilities (AAIDD) for the use of the Supports Intensity Scale (SIS) needs assessment product. The DDD will contract with AAIDD for the use of the SIS product as a vendor-provided Web service.

Both products HRST and SIS are widely used across multiple states in support of their members with developmental disabilities.

These dual product deployments will be accomplished under a two-phased service implementation strategy with HRST in phase 1 and SIS in phase 2 following the execution of a Proof of Concept Plan.

Both products are supplied as Software as a Service (SaaS) products and run under a Cloud Infrastructure as a Service (IaaS) model.

III. Quantified Justification

The DDD and its provider network need an automated means for the screening of individuals with developmental disabilities for potential in-depth assessment and service authorization. By using the HRST and SIS tools, the DDD can eliminate much of the paper-driven process currently in place and transition its screening and needs assessment processes into a standardized methodology. The use of these services will result in operational efficiencies and allow the DDD and its providers to better address the needs of DDD members.

This will allow the DDD in Arizona to implement systems that have proven successes in multiple states that have already implemented these products and processes.

II.B Existing Situation and Problem, “As Is” {A}

The DDD provides services and supports to more than 33,000 individuals with developmental disabilities (DDD members) to achieve self-sufficiency and independence. The DDD likewise offers support for family members and other caregivers and it believes that individuals with developmental disabilities can best be supported in integrated community settings, and the majority of the DDD’s programs and services are tailored to meet members’ needs in their home and other community settings. With that in mind, a person with a developmental disability should have access to a broad range of supports and services that:

- Strengthen the family’s role as a primary caregiver;
- Prevent inappropriate out-of-home placement;
- Maintain family unity; and
- Reunite families with members who have been placed out-of-home.

Services are delivered primarily through support coordination (case management) and a large network of individual and agency-contracted providers. Individuals with developmental disabilities and their families have the opportunity to “self-direct” their services, including choice of a Support Coordinator (Case Manager) as well as their providers.

Early intervention services for infants and toddlers, ages birth to three years, help young children grow and develop and provide support to their families. Early intervention professionals advise and assist families and other care providers in identifying natural learning opportunities that help build the child’s ability to participate in the family’s activities, routines, and events of everyday life.

For adult DDD members, supports may include job training, structured daytime activities, skills training, in-home assistance with personal care and other in-home supports. There are times when members may also need residential services. Many individuals the DDD serves qualify for the Arizona Long Term Care System (ALTCS) in which the DDD is the program contractor for people with developmental disabilities. Members receive acute care services through three contracted health plans as well as long-term care services. This provides a unique opportunity to coordinate person-centered services – looking at maximum outcomes.

The DDD is revising its approach to the screening and assessment of members in order to provide needed comprehensive services, using a combination of automated tools that will improve the delivery of services to members. These automated health screening and assessment tools will be used by public and private agencies serving the needs of persons with developmental disabilities. This ability to encompass any given population of individuals with or without complex health care challenges is important to the efficient execution of the overall mission of the Division. A member HRST software product in combination with a SIS tool needs assessment product would eliminate the current subjective paper processes associated with member screening and provide a means for assessing the health risks and the intensity of supports needed by DDD members. The DDD is seeking to obtain Web-based services designed to identify and track members with potential life threatening health risks and the support needs of members in order to determine the most appropriate services that would benefit the member and result in enhanced personal independence, productivity, greater participation in an interdependent society, increased community integration, and/or an improved quality of life.

The deployment of these two software solutions are designed to increase the skills and productivity of direct care workers serving persons with developmental disabilities, improving the DDD's ability to more effectively serve its members and deliver services in a more efficient manner.

II.c Proposed Changes and Objectives, "To Be" {A}

The combined deployment of a comprehensive HRST and the SIS tool constitutes a major change in the DDD business model and redefines the program's methods for addressing the service needs of members. In order to achieve the objectives defined for the deployment of these two technologies and the associated changes to the DDD program operations, the DDD has defined a two-phased service implementation strategy.

PHASE 1 – Member Screening

The contracting for an HRST Web service product would provide the ability for DDD workers and contractors to perform member health risk screening through the use of an automated tool that presents a series of questions related to a member's health and well-being. The tool performs a series of scoring functions to determine the level of health risks associated with the member that can then be used to determine the most appropriate services needed and the need for further assessment. In this manner, the DDD will be better positioned to prioritize the need for additional assessment functions and the authorization of services that will improve the overall health of the member.

The DDD has identified a need for an automated method of screening the health risks associated with individuals with development disabilities.

DDD Health Risk Screening and Supports Intensity Tool (Web Service)

As of July, 2013, the McGowan Consultants HRST was the only commercially available Web-based rating instrument developed to screen for health risks associated with a wide variety of disabilities, including developmental disabilities, physical disabilities, disabilities associated with aging, and many other conditions, which specifically affect systems of the body and the person's ability to engage in functional activities.

The DDD Management has conducted extensive research on the proposed HRST product that included discussions with system users from other states (Appendix B) in addition to product demonstrations. The outcome of these efforts resulted in a recommendation for contracting with McGowan Consultants for the use of the HRST product as a vendor provided Web service. This service delivery method eliminates the need for the purchase of additional hardware and support resources and yet addresses the expected increase in screening activities that will occur as the capabilities of this product become known to DDD providers and other agencies.

The requested solution is a screening tool for detecting health destabilization in a vulnerable population. It was designed to prevent preventable deaths. The DDD seeks to start the testing and deployment of this project phase on approval of this request.

Phase 2 – Member Assessment

The contracting for a SIS assessment tool that evaluates the practical support requirements of a person with an intellectual disability will provide DDD personnel and service providers with a new and valuable tool for the assessment of members. The SIS support consists of an automated process that evaluates member needs in 85 areas and provides a comprehensive assessment that engages the member in a positive interview process.

The SIS tool measures support requirements in 57 life activities and 28 behavioral and medical areas. The assessment is done through an interview with the member, and those who know the member well.

The SIS tool measures support needs in the areas of home living, community living, lifelong learning, employment, health and safety, social activities, and protection and advocacy. The scale ranks each activity according to *frequency* (none, at least once a month), *amount* (none, less than 30 minutes), and *type* of support (monitoring, verbal gesturing). Finally, a Supports Intensity Level is determined, based on the Total Support Needs Index, which is a standard score generated from scores on all the items tested by the Scale.

The SIS Web service was developed at the request and under the direction of the American Association of Intellectual and Developmental Disabilities (AAIDD), an American non-profit professional organization that advocates on behalf of individuals with intellectual and developmental disabilities. The automated system was developed from an eight page interview and profile form and supports integration with the HRST product and the DDD member case management system (FOCUS).

The SIS product (automated and/or paper based) is currently in use in twenty-two states (Appendix B) and is only available from the AAIDD. There are no other software products or services available in the marketplace that perform this assessment function.

The testing and deployment of this project phase will start with a proof of concept and planning activity that will determine the best methods for the use of this assessment tool and the member populations to be included to achieve the most effective and positive outcomes. Based on the success of this product in other State Developmental Disability organizations, the total estimated cost of this service has been included in this request in order to allow deployment following the completion of a successful proof of concept effort (expected outcome).

DDD Health Risk Screening and Supports Intensity Tool (Web Service)

The contracting of vendor services to provide the HRST and SIS software would provide the ability for DDD workers and contractors to perform member health risk screenings and support intensity assessments through the use of automated tools that present a series of questions related to the member's health, well-being, and capabilities. The HRST tool performs a series of scoring functions to determine the level of health risks associated with the individual that can then be used to determine the most appropriate service needs. The SIS tool performs a series of scoring functions to determine an individual's capabilities and the most appropriate services to support the needs of the individual in the least restrictive environment. In this manner, DDD Support Coordinators will be better positioned to authorize services that will improve the overall health, community integration, and quality of life of the member.

The HRST and SIS software products will eliminate the majority of the current paper processes associated with member screening and assessment. The requested software services were designed to identify and track persons with potential life threatening health risks and those with intellectual and developmental disabilities in order to determine the most appropriate services that would benefit the member and result in enhanced personal independence, productivity, greater participation in an interdependent society, increased community integration, and/or an improved quality of life.

III. Project Approach

III.A Proposed Technology {Required for PIJ Approval}

Both of the proposed web services (HRST and SIS) provide numerous Application Program Interfaces (APIs) that will allow the DDD DTS developers to create any user defined interfaces that may be needed to integrate these systems with the DDD case management system (FOCUS). These capabilities will provide for the interchange of information between all three of these member service systems and allow for comprehensive member service management and reporting. The use of vendor provided application programming interfaces (APIs) will be explored and implemented as needs are identified as part of the standard system maintenance effort associated with the current FOCUS system.

Phase 1:

The McGowan Consultant's HRST system is a Web-based tool that allows an organization to develop a health baseline on all of the individuals in its services. The system assigns each individual a health care level score, ranging from one to six (see table below). The initial ratings for a group serve the purpose of developing a health baseline and determining the range of clinical supports, services and surveillance needs.

HEALTH CARE LEVELS

- Level 1 (LOW RISK): 0 - 12 Points
- Level 2 (LOW RISK): 13 - 25 Points
- Level 3 (MODERATE RISK): 26 - 38 Points
- Level 4 (HIGH MODERATE RISK): 39 - 53 Points
- Level 5 (HIGH RISK): 54 - 68 Points
- Level 6 (HIGHEST RISK): 69 or greater

DDD Health Risk Screening and Supports Intensity Tool (Web Service)

This Web-based system will allow DDD service providers to securely access and update the health risk information of DDD members at any time, 24 hours a day, 7 days a week, from any location where internet access is available. Any update made to the online system is instantly visible and available to all users.

Through use of the HRST Web-based Technology, health risk screenings can be done on DDD members utilizing a specific on-line rating instrument. By entering data directly into the system, providers realize the following benefits:

- Tracking of data per member
- Tracking of data per facility (or otherwise-specified demographic parameters)
- Real-time data analysis
- Assignment of healthcare levels based on quantifiable criteria
- Management Reports: Overall risk status, delineation of health levels, tracking & trending, retrospective analysis, etc.

Phase 1 - HRST Technical Platform:

The HRST product is based on open systems technology products and is Linux (CentOS) server based with an Apache web server using JBoss and MySQL database. All data is encrypted in transit and when stored at rest in accordance with State requirements for the security and protection of confidential data.

McGowan Consultants (HRST provider) leases data center resources from Quality Technology Services, one of the largest data center operators in the United States. HRST currently leases space in the Suwanee, GA and Richmond, VA data centers.

Data Security Compliance:

1. *Data Encryption in Transit* – The HRST web service directs all traffic through an encrypted SSL connection through which all data passes between the web server and the users' web browser. The Web Service users maintain multiple means of security. Besides SSL encryption, the server-to-server communication is authenticated by ensuring the servers are at predefined static IP addresses. Both servers could have encryption certificates to validate the authenticity of both the sending and receiving servers. Cisco firewall - An industrial strength Cisco firewall that has rules set up to restrict access to certain ports as well as detect and stop denial of service attacks. Also, customers have the ability to implement IP filters in their Virtual Private Server.
2. *Data Encryption at Rest* – The HRST development team is in the process of implementing encryption at rest provisions on their MySQL Database Server in support of DDD usage. This capability has not been requested by other State agencies, but will be implemented and tested prior to DDD system usage.
3. *Data Backup* - The system is backed up daily and includes features such as disaster recovery plans, dual fire walls, and 128-bit encryption of data transmissions and SSL certificates to ensure no breach of the system security. There is a backup of data and software systems that is taken off-site nightly.
4. *HIPAA Compliance* - HRST ensures security requirements are met, including: administrative processes, physical (e.g., data center) security, patch management (to operating systems, network equipment, and other data application services), data backup and recovery processes, virtual private networks management, and firewall protection. These security measures are part of HRST processes to assure compliance with the U.S. Government's Privacy Rule (45 CFR Parts 160 and 164) that implemented the Health Insurance Portability and Accountability Act (HIPAA) of 1996.

5. *System Access Controls*

- Password control - The hosting management system requires that all customer created passwords pass a CrackLib test. CrackLib is an open source software designed to enforce unbreakable passwords. A password scanner utility is used on an as needed basis when there is suspect that a customer has a weak password.
- Monitoring - HRST uses a powerful monitoring system which alerts them to not only outages but unusual levels of resource usage, with particular sensitivity to data transfer rates. This allows HRST to act quickly if bandwidth usage spikes. The data center operator also has monitoring set up to detect unusual activity on Internet circuits as well as power and temperature monitoring variances.
- Intrusion Detection/Prevention System (IDS) - HRST has implemented an intrusion detection system that creates alerts and deactivates access protocols (such as SSH and FTP) whenever numerous attempts are being made to attempt to compromise an access protocol. The IDS also provides reports of abnormal activity.
- Malware scanning - HRST perform various scans to identify malware that is placed in the systems.

6. *Physical Data Center Access* - Access to the facilities is tightly controlled. Only certain personnel in the HRST organization have site access. They must have a photo ID entry key which provides access to the facility lobby only and they must then check in with a guard to have their entry key activated for data center floor access. Then, there are multiple separate biometric access control activated doors (two fingerprint and one retina) to pass onto the data center floor. The physically separate doors are monitored with surveillance cameras by security personnel and are designed to prevent tailgating. The hardware is housed in a locked cage on the data center floor. HRST personnel must check in at the floor operations office inside the data center to obtain a key to the cage. The floor operations office has real time access to their security system, telling them who is on the floor and where they are at all times. Keys must be checked out and checked in each time the cage needs to be entered. When HRST personnel leave the facility their entry key is then deactivated for data center floor access.

The DDD will contract with McGowan Consultants for the use of the HRST product as a vendor-provided Web service. This service delivery method eliminates the need for the purchase of additional hardware and support resources and yet addresses the expected increase in screening activities that will occur as the capabilities of this product become known to DDD providers and other agencies. In addition, the per client/year charge includes all system maintenance and support.

Phase 2:

The SIS assessment tool evaluates the practical support requirements of a person with an intellectual disability and will provide DDD personnel and service providers with a new and valuable tool for the assessment of members. SIS consists of an automated process that tests member needs in 85 areas and provides comprehensive assessment that engages the member in a positive interview process.

The SIS measures support requirements in 57 life activities and 28 behavioral and medical areas. The assessment is done through an interview with the member and those who know the member well.

SIS measures support needs in the areas of home living, community living, lifelong learning, employment, health and safety, social activities, and protection and advocacy. The Scale ranks each activity according to *frequency* (none, at least once a month), *amount* (none, less than 30 minutes), and *type* of support (monitoring, verbal gesturing). Finally, a Supports Intensity Level is determined based on the Total Support Needs Index, which is a standard score generated from scores on all the items tested by the Scale.

The DDD will contract with AAIDD for the use of the SIS product as a vendor-provided Web service. This service delivery method eliminates the need for the purchase of additional hardware and support resources and yet addresses the expected increase in assessment activities that will occur as the capabilities of this product become known to DDD providers and other agencies.

Phase 2 - SIS Technical Platform:

The SIS system is Microsoft .net centric, using a SQL 2008 R2 database and written in mostly C#, VB.net, and MVC.

SISOnline is run on private VLANs using VMware's vShield technology for security. The servers are co-located in a facility owned by Great Lakes Comnet (GLComnet) in East Lansing, Michigan.

Data Protection Compliance:

1. *Data Encryption in Transit* - SISOnline directs all traffic through an encrypted SSL connection through which all data passes between the web server and the users' web browser. The Web Service users multiple means of security. Besides SSL encryption, the server to server communication is authenticated by the ensuring the servers are at predefined static IP addresses. Depending on system requirements, both servers could have encryption certificates to validate the authenticity of both the sending and receiving servers.
2. *Data Encryption at Rest* - SIS uses Truecrypt, an open-source on-the-fly disk encryption software that encrypts all data at rest, using the AES algorithm with a key size of 256 bits. Truecrypt ensures encryption of data saved on the server. Data on the Truecrypt volume is encrypted right before being saved (meaning files are encrypted "at rest" on the volume) and decrypted right after being loaded. This method of data encryption complies with state and federal requirements for the protection of confidential data.
3. *Data Backup* - The system is backed up daily and includes features such as disaster recovery plans, dual fire walls, and 128-bit encryption of data transmissions and SSL certificates to ensure no breach of the system security. Closed-circuit monitors and locked cabinets at the data center ensure physical security of the system. There is a backup of data and software systems that is taken off-site nightly to protect against data losses that would require a remote system restoration in the case of a disaster.
4. *HIPAA Compliance* - SISOnline ensures security requirements are met, including: administrative processes, physical (e.g., data center) security, patch management (to operating systems, network equipment, and other data application services), data backup and recovery processes, virtual private networks management, and firewall protection. These security measures are part of SISOnline processes to assure compliance with the U.S. Government's Privacy Rule (45 CFR Parts 160 and 164) that implemented the Health Insurance Portability and Accountability Act (HIPAA) of 1996.
5. *Physical Data Center Security includes:*
 - Video Surveillance
 - 24x7 Onsite Staff
 - Proximity Card Readers
 - Locked Racks, Locked Server (available)
 - FM-200-based Fire Suppression Systems Tied to Building Alarm System and Fire
6. *System Access Controls* - The DDD has the ability to limit who can see the data. From a technical support basis, only SIS employees who provide help desk technical support have access to the production data, and only when requested to provide technical assistance by the DDD. Data requests typically are taken through the SIS Help Desk to correct assessment data or help users with use of the system.

The DDD will contract for the use of the SISOnline system as a vendor-provided Web service. This service delivery method eliminates the need for the purchase of additional hardware and support resources and yet addresses the expected increase in member assessment activities that will occur as the capabilities of this product become known to DDD providers and other agencies. In addition, the per client/year charge includes all system maintenance and support.

III.B Other Alternatives Considered

Phase 1 Alternatives:

The State of Oklahoma developed the initial HRST system in 1998. Since then, two software development firms created different versions of this core system. Both products are available in the marketplace, but only one of them is a Web-based application and the sole owners of the systems copyright. Regardless, the two products evaluated were:

1. McGowan Consultants HRST System (Web-based)
2. DTECH Computerists HRST-PSR System (workstation based & unlicensed user of the HRST product as copyrighted by McGowan Consultants)

Additionally, a “do nothing” alternative was considered. This alternative would leave the current paper-based procedures in place that make progress reporting and client condition tracking difficult if not impossible.

DDD Management assessed each alternative in terms of capabilities and general availability to the DDD provider community and determined that a Web-based service would best meet the needs of its provider community. This product assessment resulted in a recommendation for the McGowan Consultants HRST System.

Phase 2 Alternatives:

As the SIS is the only software product that supports the assessment of an individual with an intellectual disability the only alternative was “do nothing.” The alternative would not allow the DDD to expand its capabilities in addressing the needs of members with intellectual disabilities and the identification and tracking of needed and proper services.

In order to support the new DDD service assessment business objectives it was determined that a Web-based service would best meet the needs of Management and the DDD provider community.

III.C Major Deliverables and Outcomes

Phase 1 Deliverables and Outcomes:

Deliverables:

- Creation of Contract for System usage and Support
- Development of Reporting Requirements Document
- Creation of User Accessibility Roles Document
- Creation of System Interface Plan
- Development of Implementation & Deployment (Rollout) Plan
- Development of Provider Communications and Training Plan
- Development of Ongoing Product Usage Assessment Reports

Outcomes:

- Identification of members with high risks
- Ability to appropriately identify critical service needs for high risk individuals
- Ability to track the disability status and condition of all DDD members processed through the HRST System
- Ability to improve the delivery of services to DDD members

Phase 2 Deliverables and Outcomes:

Deliverables:

- Creation of Proof of Concept (POC) Plan
 - Execution and Documentation of POC
 - Development of Deployment Recommendation (expected outcome) or Rejection
- Creation of Contract for System usage and Support
- Development of Reporting Requirements Document
- Creation of User Accessibility Roles Document
- Creation of System Interface Plan
- Development of Implementation & Deployment (Rollout) Plan
- Development of Provider Communications and Training Plan
- Development of Ongoing Product Usage Assessment Reports

Outcomes:

- Identification of individuals with mental challenges
- Ability to appropriately identify critical service needs for individuals with intellectual and developmental disabilities and provide input to the Individual Service Plan (ISP)
- Ability to track the disability status and condition of all DDD members processed through the SIS System
- Ability to improve the delivery of services to DDD members

IV. Policies, Standards & Procedures

IV.A Enterprise Architecture

Yes **No** - Does this project meet all standards and policies for Network, Security, Platform, Software/Application, and / or Data/Information as defined in <http://aset.azdoa.gov/security/policies-standards-and-procedures> as applicable for this project?

If NO please describe NEW or EXCEPTIONS to Standards {Network, Security, Platform, Software/Application and/or Data/Information}:

IV.B Service Oriented Architecture Planning and Implementation

Yes **No** - Does this project qualify as an SOA application by improving application delivery for technology reuse and / or application reuse and / or services reuse?

IV.C Disaster Recovery Plan and Business Continuity Plan

Yes **No** - Does this project require a Disaster Recovery Plan and Business Continuity Plan?

IV.D Project Operations

Yes No - Is there a written assessment of short-term and long-term effects the project will have on operations?

IV.E Web Development Initiative

Yes No - Is this a Web Development initiative? If **YES**, a Notice of Intent (**NOI**) must be provided.
Link: <http://aset.azdoa.gov/node/15>

IV.F IT State Goals

Please check which goal the project is in support of; if more than one, indicate only the primary goal.

- Accelerate Statewide Enterprise Architecture Adoption
- Champion Governance, Transparency and Communication
- Invest in Core Enterprise Capabilities
- Proactively Manage Enterprise Risk
- Implement a Continuous Improvement Culture
- Adopt Innovative Sustainability Models
- Reduce Total Cost of Ownership
- Improve Quality, Capacity and Velocity of Business Services
- Strengthen Statewide Program and Project Management
- Build Innovative and Engaged Teams
- Other _____

V. Roles and Responsibilities

V.A Project Roles & Responsibilities:

Please identify Project Roles & Responsibilities:

Role	Responsibilities
Larry Latham, Ph.D. Assistant Director, DDD Business Sponsor	Dr. Latham is the ultimate decision maker and tiebreaker, providing project oversight and guidance, reviewing and approving project elements and committing department resources. Dr. Latham approves resource allocation strategies and significant changes to resource allocation and resolves conflicts and issues. He is responsible for review of all project deliverables.
Donna Schneider Project Manager, DDD	Ms. Schneider is State of Arizona certified and manages projects in accordance to the appropriate methodology or framework and communicates, coordinates and manages the project progress of outside vendors. Serves as SME to the sponsor(s). She receives direction and guidance from the sponsors and updates them on overall progress. She provides overall project direction, leads team members toward project objectives and markets projects to agency staff/units.
Carl Carpenter Security	Mr. Carpenter, Chief Information Security Officer, will take the lead on IT Security. Responsibilities will be analysis and mapping to the appropriate security controls as related to federal and state regulatory requirements (e.g., HIPAA, FISMA, and IRS).
Vendor	Phase 1: Provides technical support and training for the HRST, including email support, live chat and remote assistance in which support specialists provide help via remote logins. A Support site contains documents to download, a knowledgebase, troubleshooting guides and issue search capability. Clinical assistance is provided by staff trainers. Phase 2: Provides technical support and training for the SIS, including email support, live chat and remote assistance in which support specialists provide help via remote logins. A Support site contains documents to download, a knowledgebase, troubleshooting guides and issue search capability. Clinical assistance is provided by staff trainers.
DTS Staff	Ms. Jane Murr, a State of Arizona certified manager from the DTS Systems and Programming (S&P) team will assist the Office of Accountability (OA) with functional requirements and design, as well as interfaces and conversion from existing systems, as needed.

Please indicate Project Manager Certification:

- The project manager assigned to the project is:
- Project Management Professional (PMP) Certified
 - State of Arizona Certified
 - PM Certification not required

VI. Project Benefits

VI.A Benefits to the State

Score: 0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.

Description	Score
Agency Performance: The extent to which duties and processes will improve or positively affect business functions. Consider reduced redundancy and improved consistency for the agency.	3
Productivity Increase: The improvements in quantity or timeliness of services or deliverables. Consider improved turnaround time or expanded capacity of key processes.	3
Operational Efficiency: Efficiencies based on improved use of resources, greater flexibility in agency responses to stakeholder requests, reduction or elimination of paperwork, legacy systems, or manual tasks.	3
Accomplishment Probability: The extent to which this project is expected to have a high level of success in completing all requirements for the division or agency.	3
Functional Integration: The impact the project will have in eliminating redundancy or improve consistency. Consider the impact of information sharing between departments, divisions, or agencies in the State.	3
Technology Sensitive: The implementation of the right types of technology to meet clear and defined goals and to support key functions. Consider technologies and systems already proven within the agency, division, or other similar organizations.	3
Total	18
Additional Information (provide details on Benefits that score > 3)	
<i>Describe additional details on benefits > 3 score. Also provide details on any savings that may be applicable.</i>	

VI.B Value to the Public

Score: 0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.

Description	Score
Client Satisfaction: Rate how stakeholders may respond to anticipated improvements. This could apply to health and welfare services, quality of life or life safety functions.	3
Customer Service: Rate anticipated improvements to internal and external customer service delivery. Give consideration to faster response, greater access to information, elimination or reduction in client complaints.	3
Life Safety Functions: Applies to public protection, health, environment, and safety. Consider how this project will reduce risk in these functions.	3
Public Service Functions: Applies to licensing, maintenance, payments, and tax. Consider how this project will enhance services in these functions.	3
Legal Requirements: Consideration should be given to projects mandated by federal or state law. Other consideration could be given if there are interfaces with other federal, state, or local entities.	2
Total	14
Additional Information (provide details on Value to the Public scores > 3)	
<i>Describe additional details on scores > 3.</i>	

VII. Project Timeline {A}

VII.A Project Schedule

Provide estimated schedule for the development of this project. These dates are estimates only; more detailed dates will be required at project start up once the project schedule is established.

Phase 1 Project Start Date: Upon PIJ approval Project End Date: 18 Months after PIJ approval

Phase 2 Project Start Date: Upon completion of POC TBD based on POC results.

VIII. Project Financials

Project Funding Details **Select One** Pre PIJ Assessment Funding Details Only Full PIJ Project Funding Details

VIII.A Pre-Assessment Project Financials {Required for Pre-Assessment PIJ Only}

Project Funding Details for Pre-Assessment Project Investment Justification Only

(Double click on table below – add funding in **whole dollars** and then click outside the table to return to Word doc)

ESTIMATED COSTS						
Category	FY_____	FY_____	FY_____	FY_____	FY_____	Total
Assessment Costs						\$ -
Development Costs						\$ -
Total Development Costs (including Assessment)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Operational Costs (if estimate is available)						\$ -
Total Estimated Project Costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

VIII.B Detailed Project Financials {Required for PIJ Approval}

Development and Operational Project Funding Details

Funding Categories:

Professional and Outside Services: The dollars to be expended for all third-party consultants and contractors.

Hardware: All costs related to computer hardware and peripheral purchases for the project.

Software: All costs related to applications and systems related software purchases for the project.

Communications: All costs related to telecommunications equipment, i.e. switches, routers, leased lines, etc.

Facilities: All costs related to improvements or expansions of existing facilities required to support this project.

License & Maintenance Fees: All licensing and maintenance fees that might apply to hardware, software and any other products as up-front costs to the project (ongoing costs would be included under Operational expense).

Other: Other IT costs not included above, such as travel, training, documentation, etc.

DDD Health Risk Screening and Supports Intensity Tool (Web Service)

NOTE: FTE costs may be included in section VIII.e below, as required.

VIII.C Funding Source {A}

Double click on table below – add funding in whole dollars and then click outside the table to return to Word doc)

Funding Source Category	Name of Funding Source	Currently Available (\$)		New Request (\$)		Total (\$)
		Development Budget	Operational Budget	Development Budget	Operational Budget	
General Fund	State of Arizona	129,136.26	490,194			619,330
Federal ARRA Fund						0
Federal Fund						0
Other Appropriated Funds						0
Other Non Appropriated Funds	Long Term Care (LTC)**	262,185.74	995,241			1,257,427
TOTAL PROJECT COSTS (Should = development and operational totals above)	-	391,322.00	1,485,435	0	0	1,876,757

* **Federal Long Term Care Insurance Program

VIII.D Special Terms and Conditions (if required) {A}

Special Terms and Conditions (if required)

VIII.E Full Time Employee Project (FTE) Hours

Provide estimated FTE Development hours that will be utilized for the duration of the project. Include IT as well as Business Unit FTE hours, if available. Enter FTE costs (if known) as well.

Total Full Time Employee Hours	12,500 (5 FTE @ \$50,000 ea. + 1 supervisor @ \$65,000 (PS + ERE))
Total Full Time Employee Cost	\$315,000

IX. Project Classification and Risk Assessment

IX.A Project Classification and Risk Assessment Matrix

Rate each question to determine risk level at Low (0), Medium (1), High (2), Very High (3).

Enter Risk Score into Project Values table on Approvals page.

RISK EVALUATION RANGES

LOW RISK PROJECT	0 - 8
MEDIUM RISK PROJECT	9 - 25
HIGH RISK PROJECT	26 - 42
VERY HIGH RISK PROJECT	43 +

Add Project Risk Details (if required)

DDD Health Risk Screening and Supports Intensity Tool (Web Service)

PIJ Project Classification & Risk Evaluation					
Risk Factor	Low (0)	Medium (1)	High (2)	Very High (3)	Score
Project Management Complexity					
Project Team Size (# of people)	1-5	6-10	11-15	> 15	
Project Manager (PM) Experience	Deep experience in this type of project	Some experience in this type of project and able to leverage subject matter experts	Some experience in this type of project and has limited support from subject matter experts	New to this type of project	0
Team Member Availability	Dedicated staff for project activities only as assigned	Staff is in place, few interrupts for non project tasks are expected and have been accounted for	Available, some turnover expected, some interrupts for non project issues likely	Dedicated team not available; staff will be assigned based on capacity	1
# of Agencies involved in Development activity	1	2	3	> 3	0
Vendor (if used)	No Vendor required	Vendor has been used previously with success	Vendor has been used previously with some management support required	New Vendor and/or multiple vendors	1
Project Schedule	Schedule is flexible	Schedule can handle minor variations, but deadlines are somewhat firm	Scope or budget can handle minor variations, but deadlines are firm	Scope, Budget and Deadlines are fixed and cannot be changed	1
Project Scope	Scope is defined and approved	Scope is defined and pending approval	Scope being defined	High level definition only at this point	0
Budget Constraints	Funds allocated	Funds pending approval	Allocation of funds in doubt or subject to change without notice	No funding allocated	0
Project Methodology	Defined methodology	Defined methodology, no templates	High level methodology framework only	No formal methodology	0
IT Solution Complexity					
Product Maturity (if purchased)	Product implemented & working in > 1 state agency or business of similar size	Product implemented & working in 1 agency or business of similar size	Product implemented & working only in an agency or business of smaller size	Product not implemented in any agency or business	0
Solution Dependencies	No dependencies or interrelated projects	Some minor dependencies or interrelated projects but considered low risk	Some major dependencies or interrelated projects but considered medium risk	Major high-risk dependencies or interrelated projects	1
System Interface Profile	No other system interfaces	1-2 required interfaces	3-4 required interfaces	> 4 required interfaces	1
IT Architectural Impact	Follows State IT approved design; principles, practice & standards	New to the State but follows established industry standards	Evolving "industry standard"	No standards, leading edge technology	1
Deployment Impact					
Process Impact	No business process changes	Agency wide process changes	Multi-State Agency process changes	State-wide process changes	0
Scope of End User Impact	Department or Division level only	Multiple Division or Agency wide impacts	Multi-Agency impacts	State-wide impacts	0
Training Impact	No training is required	Minimal training is required	Considerable training is required	Extensive training is required	1
Total Risk Score					7

X. Project Approvals

X.A CIO Review {A}

Key Management Information		Yes	No
1. Is this project for a mission critical application system?			<u>X</u>
2. Is this project referenced in your agency's Strategic IT plan?			<u>X</u>
3. Is this project consistent with agency and State policies, standards and procedures?		<u>X</u>	
4. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?		<u>X</u>	
5. Is this project in compliance with the statewide policy regarding the Accessibility to Equipment and Information Technology for Citizens with Disabilities?		<u>X</u>	
6. Is this project mandated by law, court case or rule? If yes, cite the federal requirement, ARS Reference or Court Case.			<u>X</u>
Details: <i>Provide details related to technology as part of the requirement.</i>			

X.B Project Values

Summary of information documented throughout.

The following table contains summary information taken from the other sections of the PIJ document.

Description	Section	Significance
Assessment Cost {A}	VIII. Project Financials {Required for Pre-Assessment PIJ Approval Only}	\$ NA
Economic Benefits	VI. Benefits to the State	18
Value Rating	VI. Value to the Public	14
Total Development Cost	VIII. Project Financials	\$391,322
Total Project Cost	VIII. Project Financials	\$1,876,757
FTE Hours	VIII. Project Financials	12,500
Project Risk Factors	IX. Risk Summary	7

X.c Project Approvals {A}

Select One Pre PIJ Assessment Approval Only PIJ Project Approval

Project Title: DDD Health Risk Screening and Supports Intensity Tool (Web Service)

Responsibility	Approval Signature and Title	Date
Agency CIO:	Michael Dellner, Chief Information Officer, DES	

Appendix

A2. Costs for Health Risk Screening Tool (HRST)

The pricing for the Health Risk Screening Tool was based on enrolling 158 people per month at a cost of \$3.00 per individual per month (\$36 per individual per year). The setup fee is \$2,000 and a \$450 charge to change the first screen to reflect the DES logo. Those two totals are reflected in the first year costs listed above. The pricing methodology is shown below.

Month Enrolled	Yearly Cost Per Enrollee	Number Enrolled	Total Yearly Cost
January	\$36	158	\$5,688
February	\$33	158	\$5,214
March	\$30	158	\$4,740
April	\$27	158	\$4,266
May	\$24	158	\$3,792
June	\$21	158	\$3,318
July	\$18	158	\$2,844
August	\$15	158	\$2,370
September	\$12	158	\$1,896
October	\$9	158	\$1,422
November	\$6	158	\$948
December	\$3	158	\$474

SFY2014	\$39,422 (\$36,972 + \$2,450 setup fee)
SFY2015	\$105,228 (\$36,972 + \$68,256)
SFY2016	\$173,484 (\$36,972 + \$68,256 + \$68,256)
SFY2017	\$241,740 (\$36,972 + \$68,256 + \$68,256 + \$68,256)
SFY2018	<u>\$309,996</u> (\$36,972 + \$68,256 + \$68,256 + \$68,256 + \$68,256)
TOTAL	\$869,870

Appendix B. Agencies' History Using the HRST and SIS

HRST Users:

- **Georgia Division of Developmental Disabilities:** The state began using the paper form of the tool under the guidance of Karen McGowan in 1999 and was the first to implement the web-based HRST in 2007. It is about to begin the seventh year of use with 14,000 individuals rated in the system. The HRST has been written into the state DD waiver and provider manual, and is also used in the state training centers. The HRST is integrated with the state's electronic case management system and the online Supports Intensity Scale (SIS). The HRST is used as a component to determine level of care, rate setting, exceptional rates and is required to be a part of the ISP in the state.
- **Kentucky Department for Behavioral Health, Developmental & Intellectual Disabilities:** The Web-based HRST has been implemented state-wide. The HRST Online is written into the state SCL DD waiver and has been implemented in much the same fashion as in Georgia with 4,000 individuals in the system who are required to be screened annually.
- **New Hampshire Bureau of Developmental Services:** The Bureau selected the HRST for use in objectively identifying the health related supports needs of 2,000 24-hour residential individuals as an additional element in developing service arrangements and budgets for these arrangements. The tool identifies individuals considered to be in frail health who require additional nursing oversight.
- **Alabama Division of Intellectual Disability Services:** The Division utilizes the Web-based HRST to assist in transitioning approximately 200 individuals, many of whom are quite medically complex, from the state's last remaining developmental center. The state has continued to use the HRST to monitor the transition of those individuals. The HRST was chosen for use due to its ability to accurately and objectively baseline the individuals prior to transition and monitoring their health status in the community.
- **Community Resource Associates [CRA]:** The CRA uses the Web-based version of the HRST to assist with transition planning of individuals from two state-run Developmental Centers in Illinois, monitoring the health status of individuals who have been transitioned to the community. The Illinois Division of Developmental Disabilities has used the paper form of HRST for over ten years and requires approximately 6,000 DD/ID individuals be screened annually.
- **Southern California Integrated Health and Living Project:** This project is responsible for transitioning 390 individuals currently in the Lanterman Developmental Center in Pomona, CA into the community. The project is using the Web-based HRST to establish a health baseline on all the individuals and then track their health status over a three year period once they are transitioned into the community. The HRST was chosen for use by this project due to its objective rating system, Web-based data accessibility and oversight reporting features.
- **Tennessee Department of Intellectual and Developmental Disabilities:** The Department requires that all recipients of residential services in the department receive a health care level determination using the Health Risk Screening Tool. The state currently uses the paper form of the tool and has for the last ten years.
- **Maryland Developmental Disabilities Administration:** The paper form of the HRST is advocated and used by state regional nurses, and broadly by providers, but it is not mandated.

DDD Health Risk Screening and Supports Intensity Tool (Web Service)

The state used the Web-based HRST as part of a Nursing Assessment Project to assist in determining requirements for nursing for individuals at low levels of health risk.

- **Louisiana Office for Citizens with Developmental Disabilities:** The paper version of the tool was originally implemented in 1998 and used in the state training centers, in the community by the state crisis management teams. The HRST is a part of the Louisiana Children's Choice Waiver and another state waiver and has continued to be used in the state training centers.

SIS Users:

- Alberta
- British Columbia
- Colorado
- District of Columbia
- Georgia
- Iowa
- Kentucky
- Louisiana
- Maine
- Maryland
- Missouri
- Nevada
- New Hampshire
- New Mexico
- North Carolina
- North Dakota
- Ohio
- Oklahoma
- Ontario
- Oregon
- Pennsylvania
- Rhode Island
- Tennessee
- Utah
- Virginia
- Washington