



# ADOA-ASET

## Project Investment Justification

Version 03.31.15

A Statewide Standard Document for Information Technology Projects

**Project Title:**

**Treatment Guidelines Portal**

<b>Agency Name:</b>	<b>Industrial Commission of Arizona</b>
<b>Date:</b>	<b>04/15/15</b>
<b>Agency Contact Name:</b>	<b>Anthony Grandlich</b>
<b>Agency Contact Phone:</b>	
<b>Agency Contact Email:</b>	

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**I. Project Investment Justification (PIJ) Type\***

Yes  No Is this document being provided for a Pre-PIJ / Assessment phase?

If Yes,

Identify any cost to be incurred during the Assessment phase.	\$
Based on research done to date, provide a high-level estimate or range of development costs anticipated for the full PIJ.	\$

Explain:

[Click here to enter text.](#)

Yes  No Will a Request for Proposal (RFP) be issued as part of the Pre-PIJ or PIJ?

**II. Business Case**

**A. Business Problem\***

The ICA (Industrial Commission of Arizona) is required under A.R.S. § 23-1062.03 to develop and implement a process for the use of treatment guidelines to treat injured workers. In response to this legislation, the ICA established a Director’s Advisory Committee to provide recommendations regarding the development and implementation of this process. The recommendations made by this Committee, which were subsequently adopted by the ICA, includes a three tiered dispute resolution process to address disputes regarding requests for medical treatment or services. The first tier consists of a Payer review and reconsideration process (of requests for medical treatment or services). If a provider or injured worker is dissatisfied with a Payer’s decision, then they may request administrative review by a newly created office at the ICA: the Medical Resource Office (MRO) (the second tier). If an interested party is dissatisfied with the MRO’s administrative review determination, then they may request that the dispute be referred to the ICA Administrative Law Judge Division for hearing (the third tier).

This PIJ addresses the processes of the MRO. The MRO will manage and oversee the administrative review process, which includes a process of peer review conducted by independent accredited peer review organizations. The ICA anticipates that the implementation of this process will result in an increase in disputes related to requests for medical treatment or services that are required to be processed through the MRO. As this is a new process, the Commission does not currently have a business solution to manage it.

**B. Proposed Business Solution\***

The intent of this project is to provide a web-based application to manage the administrative review process described above. This web-based application will enable Claimants, Payers, Attorneys and Providers to submit requests for administrative review to the ICA. Once submitted, the requests will initiate a workflow process, which will route them for internal review, vendor peer review and result in a final decision.

Two key design objectives for the application will be ease of use and configurability. Since the general public will be using the application to submit requests for administrative review, the user interface needs to be simple and intuitive. It will be expected that a public user will be able to submit a request without prior training. It is also assumed that throughout the application, help links will be available for each major feature set.

As a request travels through the workflow process, another key feature will be the need to generate correspondences to referenced parties and entities. The application will provide administrative functions that will enable internal ICA staff to add and edit content associated with each correspondence.

In addition to public users and internal ICA users, ICA will engage with Peer Review vendors to review accepted requests. These requests will have supporting documents that will need to be available for download either through a web portal or via a secure FTP site.

**C. Quantified Benefits\***

<input checked="" type="checkbox"/>	Service enhancement
<input type="checkbox"/>	Increased revenue
<input type="checkbox"/>	Cost reduction
<input type="checkbox"/>	Problem avoidance
<input type="checkbox"/>	Risk avoidance

Explain:

- The solution provided by ICM (ICM Document Solutions (External Vendor)) will allow parties to submit a request for administrative review. Currently are four main party types identified:
  - Claimants
  - Payers
  - Providers
  - Attorneys
- The submission process will be intuitive and efficient. It will walk a submitter through the different categories of data that will need to be captured along with providing users the ability to upload supporting documents.
- Once submitted, the request will be queued for review by a member of the MRO team. The MRO team member will be able to perform various actions on the request, which will determine the route of the request through the workflow process.
- When a member of the MRO review team accepts a request, a vendor will be assigned to the request and the request will be routed to the Vendor Peer review work step.
- The Peer Review vendor will be notified of the assigned request and will be able to view the associated data and supporting attachments. There are currently two different approaches being considered for the delivery and will be decided after further research is performed.

- Once the Peer Review Vendor has taken action, the request will be routed back to the MRO team. Once reviewed, the final outcome can be assigned.
- Selected supporting data and documents will be imported into the current ViewCenter Claims collection for long-term storage and retrieval.

### III. Technology Approach

#### A. *Proposed Technology Solution\**

As described above the proposed solution is a locally hosted web-based application that manages the administrative review process from start to finish.

- **Application Development and Configuration**

ICM will use the URD (User Requirement Definition) to create, modify and configure the required .NET, IIS and Microsoft SQL applications, services and components of the system.

- **ICM responsibilities and deliverables include:**

- Development of Treatment Guidelines Public Access Application
- Development of the Automated Services
- Development of the Administrative functions

- **Integration**

ICM will work with ICA to ensure that all components of the system are integrated as agreed to in the URD.

- **ICM responsibilities and deliverables include:**

- On-site Installation and Integration

- Synchronization of the development environment with the ICA's test environment
- Assisting ICA in the preparation of the development work area for the implementation personnel
- Installation of the applications and providing functionality at ICA.

- Perform Integration Testing

- Work with ICA to Install ICM-Developed Applications

- Working with ICA personnel on determining the correct configuration and installation procedure for required server\workstation components

- **User Testing**

ICM and ICA will work together to create materials to ensure effective performance of the scoped components. In addition, this stage of the project includes the execution of the tests with the user community, and resolving the issues in line with the User.

- **ICM responsibilities and deliverables:**

- Participate in User Test Planning Process

- Working with ICA in the development of specific test scenarios to include "should be" expectations and actual test documents for ICM provided applications
- Determining, with ICA, what parameters are required to designate the system as ready for production
- Creating a testing schedule to ensure the resources are available as necessary to meet project timelines

- Participate in User Testing Activities

- Performing application walk-thru for ICM provided functionality prior to the start of user testing

- Training testing resources on new ICM provided applications
- Testing the applications with the users
- Resolving issues agreed to as requiring resolution

Issues Tracking and Resolution

- Providing a mechanism whereby issues resulting from the various testing efforts of the ICM developed applications can be recorded, tracked and resolved in a timely manner
- Working with ICA on procedures for issue identification, communication, feedback, tracking and resolution

- **Training**

ICM has assumed a “train the trainer” approach for ICM provided applications. As such, ICM will provide ICA with training on the system for designated ICA trainers during the user testing and implementation. The ICA trainers will then in turn train all other ICA users.

- **ICM responsibilities and deliverables include:**

Business User Training

- Train ICA’s user testing resources during the User Testing phase (it is assumed that User testing resources will be used for additional training for all other ICA users)
- Review and provide feedback on training documentation created by ICA
- Work with ICA to determine necessary training strategies, agendas, timeframes, etc.
- If ICA would like additional training assistance, ICM can provide various levels of training as agreed to under a separate agreement.

System Training for ICM provided applications

- Provide ICA with knowledge transfer through the integration and user testing activities

- **System Cutover**

ICM will work with ICA to cutover the developed applications into initial production. While ICM understands that the ultimate decision to go into production rests with the Process Owner and/or IT, ICA understands that a delay beyond that which is agreed to in the Project Plan could impact costs associated with this project.

- **ICM responsibilities and deliverables include:**

- Working with ICA to determine the most effective production rollout strategy
- Providing system support, free of charge, for the first 30 calendar days commencing on the earlier of two weeks after user testing is complete or initial production. Annual maintenance and support will be billed at this time.
- Upon request, ICM will provide ICA with the source code for all functionality provided within this Statement of Work.

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## ***B. Existing Technology Environment***

The system will leverage the existing investment in the current and onsite ICA Cloud infrastructure and servers. Thus no new physical hardware cost will be required for the project. An outline of the existing Cloud environment is below:

- Certified NetApp, Cisco, VMware - FlexPod Cloud Infrastructure
  - Implemented 2010
  - Servers -Cisco UCS 5108 Blade Enclosure
  - Servers - Cisco UCS B200 Blade Servers
  - Storage - NetApp 3220HA Primary Controllers
  - Storage - NetApp2240HA (Disaster Recover System)

- Network - Cisco Flex Fabric 10GIG backbone
- Backup – NetApp SnapManger, NetApp SnapMirror, BackupExec 2012, NetApp Snap Vault, VMware Mirage
- VMware hosts - ESXi 5.5 and vCenter 5.5
- VMware Horizon - Virtual Desktops
- Server Operating Systems – Window Server 2008R2
- Server Types – Application, Database, E-Mail, Web, Active Directory

[www.netapp.com/us/solutions/cloud/flexpod/](http://www.netapp.com/us/solutions/cloud/flexpod/)

### **C. Selection Process**

ICM has a proven history with the ICA for providing enterprises application, custom .NET development and web portal development services in a timely and cost efficient manner. ICM recently completed development of two separate portals for the Industrial Commission. In 2011, ICM completed a major project to modernize the Legacy Workers Compensation Claims System. The project was a huge success and is still in use today. ICM’s knowledge and experience with the ICA infrastructure, systems and data have proven to be a major cost savings to the ICA. Also, the ability to leverage the current investment in the ICM ViewCenter and portal infrastructure environment afford additional savings to the ICA on the project over a vendor that would have to start from ground zero.

## **IV. Project Approach**

### **A. Project Schedule\***

**Project Start Date:** 5/15/2015      **Project End Date:** 9/30/2015

### **B. Project Milestones**

<b>Major Milestones</b>	<b>Start Date</b>	<b>Finish Date</b>
Phase 1: Finalization of Requirement and Creation of Technical Design Document	5/15/15	6/15/15
Phase 2: Development – Core & Automated Services	6/15/15	7/15/15
Phase 3: Development – Treatment Guidelines Public Access Application and Admin	7/15/15	8/15/15
Phase 4: QA and Documentation	8/15/15	9/15/15
Phase 5: UAT and Issue Resolution	8/31/15	9/23/15
Phase 6: Deployment and Prod Support	9/23/15	9/30/15

### **C. Project Roles and Responsibilities**

Anthony Grandlich,	Project Manager (ICA)	<a href="mailto:Anthony.Grandlich@azica.gov">Anthony.Grandlich@azica.gov</a>
Michael Hempel	CIO (ICA)	<a href="mailto:Michael.Hempel@azica.gov">Michael.Hempel@azica.gov</a>
Jacqueline Kurth	Project Sponsor	<a href="mailto:Jacqueline.Kurth@azica.gov">Jacqueline.Kurth@azica.gov</a>
Kathleen McLeod	Business Area Expert	<a href="mailto:Kathleen.mcleod@azica.gov">Kathleen.mcleod@azica.gov</a>

Julie Hill

Project Manager (ICM)

[HillJ@icmconv.com](mailto:HillJ@icmconv.com)

V. Risk Matrix, Areas of Impact, Itemized List, PIJ Financials

## VI. Project Approvals

### A. Agency CIO/ISO Review and Initials Required\*

Key Management Information	Yes	No	Initis
1. Is this project for a mission-critical application system?	x		
2. Is this project referenced in your agency's Strategic IT Plan?		x	
3. Have you reviewed and is this project in compliance with all applicable Statewide policies and standards for network, security, platform, software/application, and/or data/information located at <a href="https://aset.az.gov/resources/psp">https://aset.az.gov/resources/psp</a> ? If <b>NO</b> , explain in detail in section "VIII. Additional Information" below.	x		
4. Will any PII, PHI, or other Protected Information as defined in the 8110 Statewide Data Classification Policy located at <a href="https://aset.az.gov/resources/psp">https://aset.az.gov/resources/psp</a> be transmitted, stored, or processed with this project? If <b>YES</b> , the <b>Protected Data section under "VII. Security Controls" below will need to be completed.</b>	x		
5. Will this project migrate, transmit, or store data outside of the agency's in-house environment or the State Data Center? If <b>YES</b> , the <b>Hosted Data section under "VII. Security Controls" below will need to be completed.</b>	x		
6. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?	x		
7. Is this project in compliance with the Statewide policy regarding the accessibility to equipment and information technology for citizens with disabilities?	x		

### B. Project Values\*

The following table should be populated with summary information from other sections of the PIJ.

Description	Section	Number or Cost
Assessment Cost (if applicable for Pre-PIJ)	I. PIJ Type - Pre-PIJ Assessment Cost	\$0
Total Development Cost	V. PIJ Financials tab	\$176,770
Total Project Cost	V. PIJ Financials tab	\$265,155
FTE Hours	See Hover text for FTE Hours	\$0

### C. Agency Approvals\*

Approver	Printed Name	Signature	Email and Phone
Project Manager:	Anthony Grandlich		
Agency Information Security Officer:	Chad Lester		
Agency CIO:	Michael Hempel		
Project Sponsor:	Jacqueline Kurth		
Agency Director:	Laura McGrory		

## VII. Security Controls

Collaboration with the ADOA-ASET Security, Privacy and Risk (SPR) team may be needed to complete this section, which is only required for those projects that involve data that is Protected or Hosted outside of the Agency or State Data Center. Additional information can be found in the NIST FRAMEWORK section under RESOURCES at <https://aset.az.gov/resources/psp> or you may wish to contact ASET-SPR directly at [secadm@azdoa.gov](mailto:secadm@azdoa.gov) for assistance.

### A. **Protected Data**

PHI Data

A meeting will be scheduled between ICM and ADOA-ASET SPR at project initiation.

The ICA will be coordinating with ADOA-ASET during UAT to perform all necessary security checks to our systems.

Our point of contact will be Tim Guerriero ([Tim.guerriero@azdoa.gov](mailto:Tim.guerriero@azdoa.gov))

### B. **Hosted Data**

Check here if the <https://aset.az.gov/arizona-baseline-security-controls-excel> spreadsheet is attached. Otherwise explain below what information/ support is needed to complete the spreadsheet and/or why no sheet is attached:

Click here to enter text.

Check here if a Conceptual Design / Network Diagram is attached. Otherwise explain below what information/support is needed to complete the diagram and/or why no diagram is attached:

Vendor statement of work did not provide a design at this time. This is scheduled to be provided during phase 1.

## VIII. Additional Information

### IX. Attachments

The following are examples of supporting documents that should be sent as email attachments when required:

A. *Vendor Quotes*

### X. Glossary

Other Links:

[ADOA-ASET Website](#)

[ADOA-ASET Project Investment Justification Information Templates and Contacts](#)

Email Addresses:

[Strategic Oversight](#)

[ADOA-ASET\\_Webmaster@azdoa.gov](mailto:ADOA-ASET_Webmaster@azdoa.gov)