2023-25 BIENNIAL BUDGET DECISION PACKAGE

Agency: 303 – Department of Health

DP code/title: HELMS Project Continuation

Budget period: 2024 Supplemental

Budget level: PL

Cost Type: One-time

Activity Code: A015

Agency RecSum text:

> The Department of Health requests additional spending authority and GFS funding to extend the project through FY2026 for work that is necessary to complete the Health Care Enforcement and Licensing Management System (HELMS) project and for additional resources needed to mitigate risk, support the new project schedule, and reduce resource constraint risks to the project. It also includes additional costs for increased staffing requirements, contracted Enterprise Architect, software upgrades, contracted Project Director, Additional QA and IV&V services, additional vendor costs, and added data storage. This will ensure proper configuration, testing, and implementation of the system.

Fiscal detail
(numbers in thousands)

Operating Expenditures	FY 2024	FY 2025	FY 2026	FY 2027
Fund 447-1	9,348	18,022	9,388	-
Total Expenditures	$9,348	$18,022	$9,388	$0
Biennial Totals	$27,370		$9,388	

Staffing	FY 2024	FY 2025	FY 2026	FY 2027
FTEs	44.3	78.2	16.9	0.0
Average Annual	61.3		8.5	

Object of Expenditure	FY 2024	FY 2025	FY 2026	FY 2027
Obj A	3,587	6,545	1,365	-
Obj B	1,340	2,407	510	-
Obj C	2,469	6,642	6,868	-
Obj E	1,683	1,952	545	-
Obj J	19	19	9	-
Obj T	250	457	91	-
Object Totals	$9,348	$18,022	$9,388	$0

Package description

The department is in the process of implementing a new IT solution to replace the current licensing and enforcement system, ILRS, with the Health Care Enforcement and Licensing Management System (HELMS). HELMS will transform licensing and enforcement processes, improve data security, support electronic records management, and improve access to information. The project is overseen by the state Office of Chief of Information Officer (OCIO) and the IT Investment Pool through gated funding.

As with most IT projects there are complexities that arise that require additional resources, strategies and approaches. This is a highly complex IT project and adjustments have been warranted and made along the way.

Over the course of 2023, the department made leadership and structural changes in response to independent assessments, OCIO recommendations, and to expedite progress on HELMS.   An initial IV&V Assessment was conducted to determine technical risks, challenges, and opportunities. In August 2023 WaTech issued an advisory memo that moved the HELMS project from being a business led IT project to be directed by the department's Executive Office of Innovation and Technology and required a change in the Executive Sponsor to the Chief of Prevention, Safety and Health. WaTech also recommended a project health assessment that examined project objectives, team, processes, environment and technology to improve the chances of success and to comply with 701 IT Oversight.

The Project Health Assessment recommends, a phased-in release approach and increased staffing in IT and Business. It also specifically recommended 1) the addition of an Enterprise Architect to ensure sound technical architecture, to support multiple system integrations necessary with the new approach, and to ensure all technical steps are well planned and executed, 2) additional vendor implementation costs necessary due to the implementation approach change, and 3) increased QA costs.

In November, the steering committee supported an option to phase in the delivery of HELMS, consistent with the QA recommendation, WaTech recommendation and 701 requirements.

The department will launch a small subset of functionality called HELMS lite in early 2024 which involves the initial credential application process. The department will follow that release with the required information collection surveys. The next release will split the current legacy system into two sections. Credentialing and Enforcement. We will launch Credentialing first likely in early 2025, then followed by Enforcement towards the end of 2025. This is a complex plan and requires additional staffing and technology solutions in order to ensure data synchronization between the old and the new system. This approach reduces the risk of continued extensions on this major complex project and major potential for big bang project failures. This approach is in alignment with 701 compliance, WaTech guidance and supports the recommendations from the QA Project Health Assessment.

By implementing Credentialing sooner this allows the department to make system and business process improvement to credential or renew applicants more efficiently.
The department seeks spending authority for fee revenue already collected and included in the IT Investment Pool and additional funding (general fund state) to support the continued project and new implementation approach.

What is your proposal?
What are you purchasing and how does it solve the problem?

$11.5 million of spending authority for fee revenue already collected and in the IT Investment Pool and $15.9 million of general fund state for 2023-25 biennium and $9.4 million of general fund state in the 2025-27 biennium for:

- Costs shifted from the 2021-23 biennium due to the re-baselined project schedule;
- Extending existing project staff, contracts, and software licenses through the new project close-out date;
- Additional business and IT staffing to support the new project schedule and reduce resource constraint risks to the project;
- Increase in QA and IV&V costs;
- Adding a contracted project director and enterprise architect;
- Additional costs for software upgrades and added data storage.

Approving the spending authority and general fund state supports the completion of the HELMS project. It will allow for the replacement of multiple outdated systems and deliver a wide array of benefits to regulators, licensees, their employers, and the public including:

o Integrate all online transactions into a single system.

o Modernize and consolidate the underlying systems that support healthcare enforcement and licensing.

o Enable electronic notifications of credential expiration, status changes, disciplinary actions, and continuing education due dates.

o Provide the public web access to facility inspection and investigation reports.

o Enable patients and others who have filed complaints against practitioners and facilities to check complaint status online.

o Allow consumers visibility to provider specializations and practice locations.

o   Allow the department to share confidential and restricted data securely with healthcare providers and appointed board/commission members.

o   Implement mobile-friendly work practices and enhance mobile device management.

o   Provide tools that will enable the department to analyze and mine data, find insights and patterns, and predict outcomes to support performance management and decision making.

o   Replace many ad hoc reporting needs.

o   Facilitate measurement of service timeliness.

o   Reduce mail processing for renewal and other processes through online transactions.

How is your proposal impacting equity in the state?

Target populations and communities

This proposal supports completion of a licensing system with better data analytics capabilities. This, in combination with potential policy changes (e.g., requiring provision of demographic data for licensure), would result in the department having better data available on the demographics of the health care workforce. This, in turn, could lead to policy changes that promote health equity and reduce disparities.

HELMS will improve public access to health care provider information, improve efficiency for health care providers, improve data security, and allow the department to utilize and disseminate information more efficiently in response to public records requests. The new system is expected to achieve the following outcomes:

- Modernize IT services, processes, and capabilities that support business solutions aligned with public health.

- Integrate all online transactions into a single system.

- Modernize and consolidate the underlying systems that support healthcare enforcement and licensing.

- Allow the department to share confidential and restricted data securely with healthcare providers and appointed board/commission members with more robust security.

- Implement mobile-friendly work practices and enhance mobile device management. This will benefit employees who work in remote locations, such as field-based investigators and inspectors.

- Provide tools that will enable the department to analyze and mine data, find insights and patterns, and predict outcomes to improve healthcare analytics and support decision making.

- Replace many ad hoc reporting needs.

- Help measure service timeliness and may help with other measurements not yet anticipated.

Community outreach and engagement

The department has been engaging with stakeholder groups that represent the health care providers that have been impacted through fees to support the cost of the system throughout this and past DP requests. As the system is implemented, we will reach out to target populations and communities to engage in work to collect important demographic data that will help better understand how health care providers do or don't serve marginalized and disproportionality impacted populations, including by race, gender, sexual orientation, etc.

> **Disproportional impact considerations**
> This project will benefit health care providers and will assist in providing data to make better informed policy decisions about health care workforce in areas of marginalized and disproportionality impacted populations.

What alternatives did you explore and why was this option chosen?

> **Alternatives Considered**
>
> **Alternative 1**: Stop the project and continue using the existing system. This alternative would result in a loss of the $26 million investment in the project, require licensees and facilities to pay for those costs without return in efficiencies, and the need to support manual process and other systems planned to be integrated into HELMS. The current system is legacy technology that is no longer supported by the vendor. Continuing to use it over time places continuity of operations at risk.
>
> **Alternative 2**: Stop the project and pursue a competitive procurement for a different software platform. This alternative would also result in a loss of investment, increase costs to licensees and facilities, and further delay the implementation timeline. Any previous investments would be lost, and implementation would move to late FY 2028 at the earliest.
>
> **Alternative 3**: Reduce project scope. This alternative presents high risk of business operations becoming less efficient and effective because of a less capable system. The current legacy system has complex business logic and integrated parts that cannot be removed to have a functioning system.
>
> The major consequence of not funding this proposal include:
>
> - The integration services vendor could pull out of the contract and bring the project to a halt.
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> - Stakeholders would not see the benefits of the new system.
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> - DOH would continue using an aging legacy system that does not meet business needs and limits cost-effective changes required by the legislature.
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> - There could be cost over-runs later in the project due to change orders, additional schedule delays, and reduced system functionality would be imminent.
>
> - IT market conditions change often and it's likely the prices would increase from those negotiated in the current vendor contracts.
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> - In addition to the loss of $26 million already invested, total project cost to start over with another RFP would be an estimated $50 million.

Detailed assumptions and calculations

In fiscal years 2024, 2025, and 2026, one-time costs include staffing, associated costs, and contractors necessary to close out the project and transition to maintenance and operations (M&O).

DOH project staff time: one-time costs include salaries, benefits, and related FTE costs such as rent, phones, supplies and training for project staff to complete project and implement HELMS.

Other contracted services: one-time costs include extending the existing contracts for the external quality assurance and special attorney general, shifting accessibility testing, security penetration and vulnerability testing, and UX/UI Roadmap execution from 2021-23 to 2023-25, shifting system integration service payments from 2021-23, and the addition of Independent Validation and Verification.

Software Licenses and Subscriptions: one-time costs for extending software licenses for the system platform and third-party plug-ins, additional data storage, and software upgrades. Beginning in FY 2026, annual software renewals will be part of the Maintenance & Operations costs funded through existing agency resources.

Estimated expenditures include salary, benefit, and related costs to assist with administrative workload activities. These activities include policy and legislative relations; information technology; budget and accounting services; human resources; contracts; procurement; risk management, and facilities management.

The department is requesting the $11.5 million for costs shifted from the 2021-23 biennium be funded through revenues transferred in the 2021-23 biennium to Fund 447 – Information Technology Investment Revolving Account which exceeded the HELMS project expenditures from Fund 447 through the 2021-23 biennium:

Biennium	Revenue Transfers to Fund 447	Fund 447 Project Expenditures	Revenue Remaining in Fund 447
2019-21	7,943,000	8,405,413	(462,413)
2021-23	19,142,000	7,222,271	11,919,729
Total	27,085,000	15,627,684	11,457,316

The $25.3 million increase to the project budget will be funded through general fund state as requested in this decision package request.

Workforce assumptions

FTE	Job Classification	Salary	Benefits	Startup Costs	FTE Related Costs
0.2	IT PROJECT MANAGEMENT - SENIOR/SPECIALIST	$20,000.00	$6,000.00	$1,000.00	$2,000.00
0.2	WMS02	$20,000.00	$6,000.00	$1,000.00	$2,000.00
2.3	IT DATA MANAGEMENT - JOURNEY	$255,000.00	$84,000.00	$7,000.00	$22,000.00
0.2	IT SYSTEM ADMINISTRATION - JOURNEY	$21,000.00	$7,000.00	$1,000.00	$2,000.00
6.9	IT QUALITY ASSURANCE - JOURNEY	$714,000.00	$239,000.00	$22,000.00	$64,000.00
3.4	IT APPLICATION DEVELOPMENT - JOURNEY	$356,000.00	$119,000.00	$11,000.00	$32,000.00
2.7	IT BUSINESS ANALYST - JOURNEY	$276,000.00	$92,000.00	$8,000.00	$25,000.00
0.5	IT QUALITY ASSURANCE - ENTRY	$41,000.00	$15,000.00	$1,000.00	$4,000.00

1.0	WMS03	$135,000.00	$41,000.00	$3,000.00	$9,000.00
1.0	MANAGEMENT ANALYST 5	$95,000.00	$33,000.00	$3,000.00	$9,000.00
7.6	HEALTH SERVICES CONSULTANT 4	$658,000.00	$239,000.00	$24,000.00	$71,000.00
0.9	HEALTH SERVICES CONSULTANT 3	$70,000.00	$27,000.00	$3,000.00	$8,000.00
10.7	FISCAL ANALYST 2	$564,000.00	$263,000.00	$0.00	$0.00
6.9	HEALTH SERVICES CONSULTANT 1	$364,000.00	$169,000.00	$0.00	$0.00
44.3		**$3,589,000.00**	**$1,340,000.00**	**$85,000.00**	**$250,000.00**

Business Subject Matter Experts

·Manage tasks associated with business requirements
·Elicit input from appropriate SMEs within business area and represent their input to project deliverables
·Ensure quality of business requirements documentation and deliverables
·Identify issues and risks, and assist with resolution or mitigation related to HELMS activities in their business area
·Promote project collaboration and transparency

Technical Subject Matter Experts

·Manage tasks associated with technical requirements
·Elicit input from appropriate SMEs and represent their input to project deliverables
·Ensure quality of technical requirements deliverables
·Identify issues and risks, and assist with resolution or mitigation
·Promote project collaboration and transparency

Data Conversion Lead

·Provide weekly status to the IT Project Manager and PMT.
·Work with vendor to identify and document all data requirements of the new system
·Identify all source systems for data to be converted
·Perform gap analysis for data requirements
·Work with vendor to develop all Extract, Transform, Load (ETL) logic for required data conversions
·Develop schedule of initial conversions and subsequent updates for each source system to develop the phased implementation
·Oversee development of all data conversion test plans
·Lead and participate in all data conversion testing
·Assign and oversee the work of the Technical Analysts when they are assigned to data conversion activities
·Coordinate with Business Analysts and Business SME Leads as they participate in and contribute to data conversion activities

Testing Manager

·Manage relationship with interface partners
·Define interface data standards and interface security mechanisms
·Identify all source systems for interfaced data
·Perform gap analysis of available source data and target system requirements

·Develop interface implementation schedule to support phased implementation
·Oversee development of all interface test plans
·Lead and participate in all interface testing
·Develop maintenance and operations requirements for ongoing interfaces
·Develop general testing approach and details of standardized testing processes, roles and responsibilities
·Work with Business Analysts, Technical Analysts and Business SME Leads in developing test cases and to execute testing of all base functionality and all DOH specific configurations
·Coordinate testing triage and defect reporting processes
·Develop and implement standardized acceptance criteria of test results

Technical Analyst

·Participate and perform the work of the technical implementation of the new system particularly in the areas of data conversion, interface development, configuration, security and testing
·Elicit input from appropriate Business Analysts and Business Lead SMEs to represent their input to technical project deliverables
·Ensure quality of technical and quality of service requirements deliverables
·Identify issues and risks, and assist with resolution or mitigation
·Promote project collaboration and transparency

Business Analyst

·Manage and direct tasks associated with BA activities
·Ensure quality of BA deliverables
·Determine BA project resource requirements and work with BA Supervisor and Project Director to secure these resources
·Ensure project compliance with state and agency policies and guidance
·Identify issues and risks, and assist with resolution or mitigation
·Promote project collaboration and transparency

Configuration Manager

·Design Change Management and governance processes for Maintenance and Operations
·Work with Business SME Leads and vendor functional leads to develop accurate business process and definitions
·Lead development of configuration activities for each license type variation
·Work with Technical Manager to ensure consistency of processes and work flow across all license types where applicable
·Develop standards for configuration approach, work flow implementation and business process definition and documentation
·Assign and oversee the work of the Technical Analysts when they are assigned to configuration activities
·Coordinate with Business Analysts and Business SME Leads as they participate in and contribute to configuration activities

Estimated expenditures include salary, benefit, and related costs to assist with administrative workload activities. These activities include policy and legislative relations; information technology; budget and accounting services; human resources; contracts; procurement; risk management, and facilities management.

Strategic and performance outcomes

Strategic framework

Results Washington

This proposal supports the Governor's Results Washington goal areas of Health Care & Human Services and Efficient Government. The proposal does this by ensuring we complete HELMS and realize our objectives of:

- better access to inspection and enforcement data to ensure we are keeping patients safe;
- increased data collection to help us better understand access to care issues, and
- data informed policy decisions that address health inequities and disparities.

Department of Health Transformational Plan

This proposal supports the department's Transformational Plan priority II Health Systems and Workforce Transformation that all Washingtonians are well served by a health ecosystem that is robust and responsive, while promoting transparency, equity, and trust.

The HELMS project also supports the agency and division goals of equity, innovation, engagement, access to care, and patient safety by delivering needed improvements to the agency's licensing system, making it easier for health care professionals and facilities, boards and commissions, and the public to access and share information with the department. HELMS will provide licensees and employees better service, increase work efficiencies, and provide greater access to data on the health care system.

Performance outcomes

HELMS will improve public access to health care provider information, improve efficiency for health care providers, improve data security, and allow the department to utilize and disseminate information more efficiently in response to public records requests.

The new system is expected to achieve the following outcomes:

- o Modernize IT services, processes, and capabilities that support business solutions aligned with public health.
- o Integrate all online transactions into a single system.
- o Modernize and consolidate the underlying systems that support healthcare enforcement and licensing.
- o Provide the public electronic access to facility inspection and investigation reports.
- o Allow consumers visibility to provider specializations and practice locations.
- o Allow the department to share confidential and restricted data securely with healthcare providers and appointed board/commission members with more robust security.
- o Implement mobile-friendly work practices and enhance mobile device management.
- o Provide tools that will enable the department to analyze and mine data, find insights and patterns, and predict outcomes to improve healthcare analytics and support decision making.
- o Replace many ad hoc reporting needs.
- o Help measure service timeliness and may help with other measurements not yet anticipated.
- o Enable patients and others who have filed complaints against practitioners and facilities to check complaint status online.
- o Reduce mail processing for renewal and other processes through online transactions.

o   Improve processing and renewal timeframes

o   Enabling electronic notifications of credential expiration, status changes, disciplinary actions, and continuing education due dates.

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

Other collateral connections
Intergovernmental

One expected benefit for our governmental partners will be the ability to share electronic records related to disciplinary cases securely and efficiently with health profession regulatory boards and commissions. Improved access to records will better support these partners in protecting patient safety.

HELMS will maintain the current data interfaces with DSHS, WSP, L&I, OFM, HCA (e.g., an export of actively licensed health care providers to HCA's Provider One system and exchanges with WSP for background checks).

HELMS will also expand data sharing with national and state entities via future data exchanges requested by the department, boards, and commissions. These will include an interface with a national system for reporting disciplinary actions taken against nurses and an interface with the Open Data Pipeline to enable data on health care provider credentials to be accessed on the Washington State Open Data Portal.

Stakeholder impacts

The proposal will benefit health care providers and their employers through a number of improvements described above. Associations that represent health care professionals and facilities support the proposal, especially since the department is not proposing any impact to licensing fees. The department has engaged with these stakeholders throughout the project, including a demonstration of a prototype in July 2022.

Legal or administrative mandates

N/A

Changes from current law

N/A

State workforce impacts

N/A

State facilities impacts

N/A

Puget Sound recovery

N/A

Other supporting materials

N/A

Information technology (IT)

Does this DP include funding for any IT-related costs, including hardware, software (including cloud-based services), contracts, or ITS staff?

☐ No

☒ Yes

2024 Supplemental Budget HEAL Act Template

Supplemental HEAL Act Questions

1. Please describe specific likely or probable environmental harms and/or benefits and their associated health impacts to overburdened communities and vulnerable populations.

This proposal will not have any environmental harms or benefits to communities.

2. Please describe any potential significant impacts to Indian tribes' rights and interest in their tribal lands.

This proposal will not impact tribal rights or land interests.

3. Describe how your agency engaged with Tribes in developing this proposal, including offers for tribal consultation, and any direction provided by Tribes through this engagement.

N/A

4. Has an Environmental Justice Assessment been completed? If so, please submit the assessment as an attachment in ABS.

N/A

5. Describe how your agency used the Environmental Justice Assessment process to eliminate, reduce, or mitigate environmental harms and equitably distribute environmental benefits? If your agency determined that you were unable to eliminate, reduce, or mitigate environmental harms and equitably distribute environmental benefits, please provide a justification for not doing so.

N/A