State of Rhode Island UHIP OAPD-U As Needed

FFY 2023- FFY 2027 Submission

July 29, 2022

Confidential Working Document RIGL 38-2-2 (4)(K)

Name of State: Rhode Island
Name of State Medicaid Agency: Executive Office of Health and Human Services

Name of Contact(s) at State Medicaid Agency:
Maureen Wu, UHIP Chief Financial Officer
Executive Office of Health and Human Services (EOHHS)

E-Mail Address(es) of Contact(s) at State Medicaid Agency: Maureen.Wu@dhs.ri.gov
Telephone Number(s) of Contact(s) at State Medicaid Agency: (401) 332-8078

Date of Operations Advanced Planning Document Submission to CMS and FNS: July 29, 2022

Brief Description of Latest Version Additions/Changes/Deletions:
Rhode Island is submitting this OAPD as a result of the RIBridges certification on July 20, 2022. As such, the State is requesting continued funding from the Centers for Medicare and Medicaid Services (CMS) and the Food and Nutrition Service (FNS) to support the continued operations of RIBridges, which provides benefit access for more than 300,000 Rhode Islanders. This submission includes project, budget, and cost-allocation details for FFY 2023.

Table of Contents

1 EXECUTIVE SUMMARY

In Rhode Island, the Executive Office of Health & Human Services (EOHHS), the Department of Human Services (DHS) and HealthSource RI (HSRI), the State's health insurance exchange, are charged with promoting health, nurturing quality of life and supporting our most vulnerable residents by preserving and improving access to quality health coverage and care as well as ensuring efficient, effective, and timely delivery of human services. The State's work on the Unified Health Infrastructure Project (UHIP) serves approximately one third of the State and is a critical part of these efforts. Our highest priority remains ensuring that Rhode Islanders receive timely and accurate benefits.

Federal fiscal year 2022 (FFY 2022) represented another positive step forward for the UHIP project and the RIBridges system. The system reached new levels of stability despite the continued impact of the COVID-19 public health emergency. The incident backlog declined to a low of 59 tickets in June 2022, a reduction of 40 percent since the prior year. The backlog of system defects also declined by ~60% percent as the team successfully delivered 519 problem tickets. With the implementation of the new Service Level Agreements (SLAs), the average time to market of problem tickets has also decreased substantially (~33% reduction) especially for Severity 3 and 4 tickets. Most tickets are now being addressed within three months or the next available Patch Release leading to 97% percent of the outstanding tickets having release dates scheduled at any given time.   Although Severity 1 and 2 tickets remain very uncommon, the team promptly addresses those issues leveraging off-cycle releases.   These positive trends highlight the predictability and reliability of the development and testing practices across the Software Development Life Cycle (SDLC), as well as the continued effectiveness of the UHIP governance framework, see Attachment A.

Another significant milestone for the State was the facilitation of the new M&O contract enacted in July 2021. Under this new contract, Deloitte is providing 12,600 additional hours of services and system enhancements over the initial three-year term, an estimated value of nearly $4M. In addition, the new contract represents significant cost savings to the State as well as the retention of key staff and enhances contractor performance standards. Although Deloitte remained the primary M&O vendor, the new contract included some key changes including a more detailed scope of services, improved performance measures and specific improvements required to reduce the cost of ownership year over year.   More details regarding the implementation of the new contract can be found in Section 2. Section 3 of this document further explains the new performance measures and Attachment B is an excerpt from the current contract with Deloitte.

In March 2022, the State participated in the CMS Certification process which included completing the intake requirements and performing demos of much of the functionality provided within RIBridges. The State has provided the additional information requested by CMS and also held an additional demonstration to further clarify processing of newborns. The State received notification of RIBridges

certification on July 20, 2022. As a result, the State is submitting this OAPD document to cover the M&O activities and a separate APD for the DDI work that is planned for FFY 2023.

 The M&O activities planned for FFY 2023 align directly to the services outlined in the new M&O contract. These include the following service areas:

- Program Management Services
- Application Maintenance Services
- Technical Operations Maintenance Services
    - Technical Operations Enhancement Services
    - Information Management Enhancement Services
    - Professional Services
    - Security Operations Services
- Health Coverage Operations Services

Each of these service areas are defined in more detail in Section 4 of this document. In addition to delivering on the requirements specified in the contract for each of these service areas, there are some specific M&O activities planned for FFY 2023 that we wanted to specifically highlight including:

- Complex technical upgrades including Mule, Pentaho, ISAM and ImageNow
- Phase II of the UAT transition to State "In-House" model
- Ongoing implementation of Continuous Improvements

In addition to the planned activities above, the technical teams will also be focused on supporting the PHE Unwinding efforts to ensure the RIBridges system remains stable and operational despite the anticipated increase in renewal activity.

The formalization of the Center for Project Excellence (CPE) was also an important outcome of the Governance Refresh initiative. The CPE will continue to play a key role throughout FFY 2023 as the team continues to deliver ongoing improvements across the program. The focus will be on reducing the cost of ownership through continued automation and modifying the SLDC to improve incident response times and time to market for system defects. In addition, the implementation of the State UAT model will also continue to be a top priority for the team as we look for additional opportunities to refine the model as part of the Phase II implementation plan.

Through this OAPD, Rhode Island is requesting continued funding from CMS and FNS to support the efficient maintenance and operations of our increasingly stable system.

2 FFY 2022 M&O ACCOMPLISHMENTS

General Background

FFY 2022 has marked another major step forward as the new M&O Contract was implemented and the RIBridges system remained extremely stable. UHIP is a complex project that supports the ongoing development, maintenance and operation of RIBridges, the integrated eligibility system for more than 15 health and human service programs in Rhode Island. Currently, more than 300,000 Rhode Island residents rely on the State to accurately and efficiently provide Medicaid services, food assistance, childcare subsidies, health insurance, long-term support services and other vital social services through this system.

The following diagram illustrates the phased implementation of RIBridges and the shift towards Maintenance & Operations (M&O) with the implementation of the new M&O contract in July of 2021.

Table 2a. Rhode Island UHIP System Timeline (FFY basis)

RIBridges Phased Implementation								
Phase I		Phase II				Phase III	Phase IV	Phase V
2012 – 2013	2014 – 2015	2016	2017 – 2018	2019	2020	2021	2022	2023
Design and Initial Go Live	System Stabilization and Phase II Design	Phase II Go Live	Turn-around and Stabilization	Delivery of Baseline Release Plan	DDI for Program Priorities and M&O	Limited DDI for Specific Program Priorities and M&O	Ongoing M&O, Limited DDI for Specific Program Priorities and Strategic Investment in Modernization	Ongoing M&O, PHE Unwinding and Strategic Investment in Modernization

In Phase V, we expect the focus to continue to be on M&O activities as we enter year two of the M&O contract. In addition, the main priority will be to support the PHE Unwinding and to implement the necessary system upgrades to maintain the overall operability and security of the RIBridges system. The major FFY 2022 accomplishments within each M&O service area are described in more detail below.

Application Maintenance Services

The system remains extremely stable as illustrated in table 2b below. With the continuation of the Production Operations Daily Standup (PODS) meeting, the number of untriaged incidents has reached a very low level (~50-59).   The average inflow of incidents reported each week reduced by 60% while the overall incident backlog reduced by 61%. The continued focus on development quality and the expansion of automated regression testing has led to very predictable and high-quality releases. This is a significant accomplishment given the increased scope of the Major Releases in FFY 2022 and was achieved in conjunction with our ongoing monthly Patch Releases.

Table 2b. UHIP IT Metrics

Key Progress Metrics	October 2017	June 2019	Dec 2019	June 2020	June 2022
Unresolved System Incidents (backlog)	6,634	696	177	151	59
Untriaged Incidents	1,007	154	112	101	37
System Incidents Logged per week (inflow)	500+	200	165	100	40
Known Code Defects (backlog)	1,387	869	472	344	73
Code Defects Logged per week (inflow)	30+	30	30	15	7

Table 2c shown below further illustrates the steady decline in the problem ticket backlog due in large part to improvements in code quality, the monthly cadence of Patch Releases and the implementation of best practices across the problem management processes. With the implementation of the new SLAs, the average time to market of problem tickets has also decreased substantially (~33% reduction) especially for Severity 3 and 4 tickets. Most tickets are now being addressed within three months or the next available Patch Release. Although Severity 1 and 2 tickets remain very uncommon, the team promptly addresses those issues leveraging off-cycle releases.
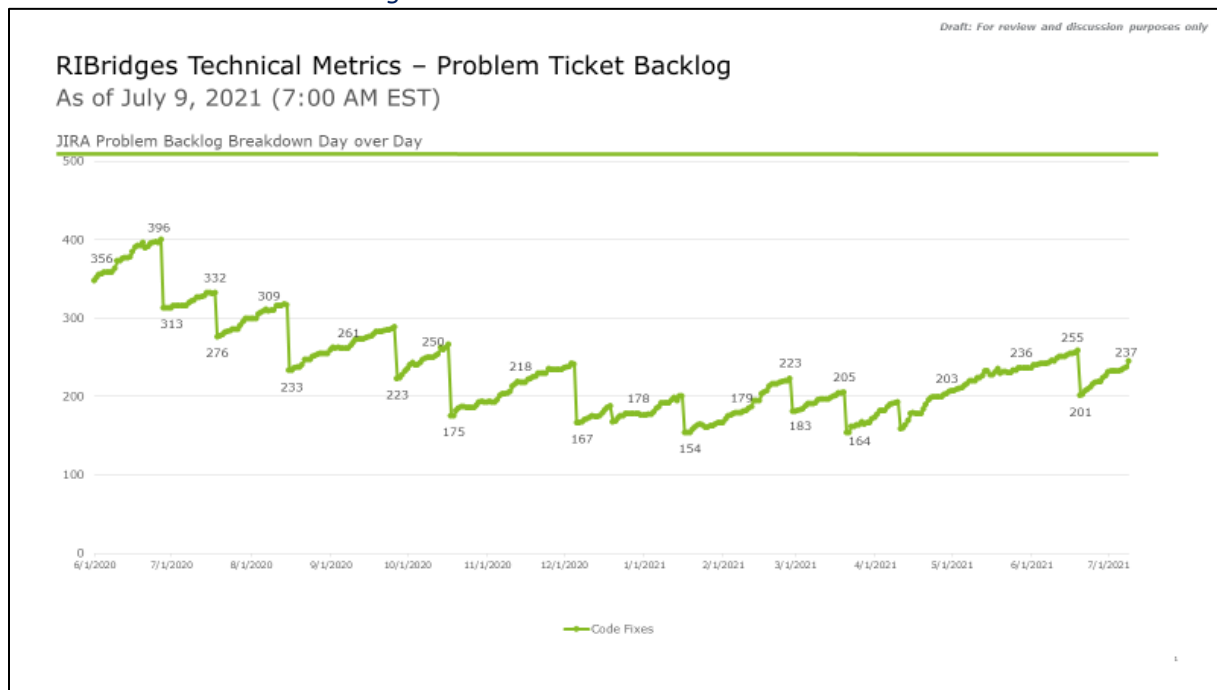
Table 2c. Problem Ticket Backlog Trend

Table 2d. Problem Tickets Deployed

Patch Release	Deployment Date	Problem Tickets
7.34.2	7/16/21	49
7.35.1	9/2/21	56
7.36.1	10/28/21	72
7.36.2	11/18/21	68
7.37.1	12/16/21	67
7.37.2	1/27/22	56
7.37.3	2/25/22	47
7.38.1	3/25/22	34
7.38.2	4/22/22	34
7.38.3	5/19/22	36

In addition to deploying 519 problem tickets, the Data Review Board facilitated the execution of 2,043 data requests and the M&O Team completed 262 Service and Operational Requests.

Technical Operations Maintenance Services

Infrastructure, maintenance and process collectively encompass ongoing maintenance and operations of all RIBridges infrastructure, including all hardware devices (servers, storage, network devices, etc.) and non-application code software products (operating systems, commercial off-the-shelf (COTS) products, etc.). All of these systems are maintained through centralized governance operations (e.g. configuration management, capacity management, N-1 patch management, etc.). In order to continually improve the stability, performance, and security of the RIBridges environment. Additionally, over the course of FFY 2022, a wide range of RIBridges infrastructure devices, software, and processes have undergone significant improvements and upgrades which are detailed below.

Nessus Installation and Setup

Installed Nessus and Burp Suite security scanning within the RIBridges environment to facilitate regular penetration testing and vulnerability testing performed by the Deloitte security team.
 Completed September 2021

Virtualization Platform Upgrade

VMWare and vSphere are used as the virtualization platform for RIBridges to efficiently manage and utilize available physical resources available through 27 Cisco UCS physical servers. The version of VMWare vSphere had an end-of-life date in November 2021. In October 2021, vSphere platform, the management center, as well as the underlying Cisco UCS firmware was upgraded for security patch compliance and for continued technical support from the vendor with no additional cost.
 Completed October 2021

Cisco UCS Upgrade

Major product upgrade of I/O module firmware, fabric interconnect, Esxi firmware, and deployment of upgraded drivers.

Completed October 2021

TCPS implemented in database connections

TCPS provides secure connections to the DB from the online and reporting application components. OLTP, OLAP and RPT connections were reconfigured to use TCPS. Updated the Online, Batch, Business Rules, Mule and Reporting and Analytics configurations.
Completed April 2022

Log4J Upgrades

A critical vulnerability in certain Log4J versions was discovered in December 2021. The CISA and MS-ISAC advisories were implemented immediately as they became available in the vendor advisories for COTS components within the RIBridges infrastructure. Log4j versions used within the RIBridges online portals, APIs and batch environments were not affected by the vulnerability but were also **upgraded in June 2022**.

Enterprise Service Bus Upgrade

Mule ESB is used to serve critical application communications internal to RIBridges as well as real time communications and file transfers to the system's trading partners. Previously, the product was running on a community version that, following the product's acquisition by Salesforce, had not been receiving regular security and bugfix patches. To maintain patch compliance and attain a higher level of incident support, the Product will be upgraded to the latest version and migrated to an enterprise license. This is planned to be delivered in multiple phases. Phase 1 was completed in June and Phase 2 is planned for September 2022.

Phase 1: (platform upgrade plus 6 API upgrades) - **completed June 2022**

Phase 2: (25 API upgrades) **- scheduled for September 2022**

Phase 3: (final 7 APIs & upgrade of database connections to TCPS from TCP) **- planned for February 2023**

Notice Generation System Upgrade

OpenText Exstream is used to design and generate paper notices for mailing to RIBridges customers. The template designer has been end-of-life since 6/30/2019; the notice generation application went end of life on 6/30/2021. Both applications will be upgraded September of 2022 in order to continue to receive security patches and bug fixes.
Scheduled for September 2022.

2022 Authority to Connect

The Authority to Connect to fed hub services expires on 8/18/2022**.** The security and privacy compliance teams submitted the 2022 ATC compliance deliverables to CMS on 5/18/2022.
Approval is expected by 8/18/2022

MARSE-v2.2 security and privacy controls update

The updated MARSE-v2.2 security and privacy controls package has been reviewed by the technical and security teams. Controls in need of updating are in progress and are tracked on the quarterly CMS Plan of Action and Milestones.
Scheduled completion 8/18/2023

Interfaces

We continuously improve processes to enhance the reporting of interface data discrepancies and to provide relevant diagnostics. This prevents the consumption of incorrect data prior to processing to ensure data integrity. Interfaces are continuously monitored for exceptions. Processes are in place to maintain the key interface partner contacts and procedures to communicate exceptions and assure mitigation of discrepancies before they impact customers. Interface data security is maintained thru secure transport layer security, signed trusted certificates and secure storage.

Automation of Batch Schedule Execution

The RIBridges Operations team manages a complex cascade of batch processing, file generations, and transfers. As part of a continuous improvement, the team has automated the intermediary steps between batch executions to reduce risk associated with manual operations.

Automate Interface file validation to improve incident resolution rate

As part of automated batch schedule execution, the operations team has developed file validation scripts to check availability and format of files generated and/or processed by RIBridges.

Security Operations Services

The State has advanced the UHIP security maturity model in FFY 2022. Security operations support has been transitioned from CSG to the Deloitte Security Operations team in accordance with the new M&O contract. The State has a dedicated ISSO to oversee RIBridges Security Operations.

The enhanced team continued to leverage industry knowledge of system security components to prevent cybersecurity threats and detect incidents. TrendMicro Deep Security has been fully implemented and the QRadar SIEM will continue to be enhanced with expanded event detection, new network flows and effectively tuned use cases for high fidelity alerting. In addition, Splunk continues to be leveraged to audit logs of user access to the system.

 The Continuous Monitoring Program includes ongoing assessments to scan and test the application, network, and source code with automated software tools and manual testing techniques to identify vulnerabilities. These assessments are performed in production as well as the pre-release environments to prevent security defects from being released into production.

Health Coverage Operations Services

The financial management system continued to be maintained in support of the exchange billing and invoice generation which is performed by NFP Health. In addition, reconciliation continued to take place between RIBridges and its associated health coverage partner systems. Lastly, support was provided for billing and enrollment related issues for QHP customers.

Execution of New M&O Contract

Although the new M&O contract remain with Deloitte, there was significant work to be done to align to the new terms of the contract. An overview of the changes resulting from the contract is provided in table 2e.

Table 2e. Areas Impacted by New Contract

Areas Impacted by Rollout of New Contract

Focus Areas	Description of Change(s)	High-Level Impact
Scope of Services	• Deliverables explicitly defined directly in the contract • Deloitte is to assume responsibility for overall security scanning	• Will require a transition from IV&V vendor (CSG) to Deloitte • Recent IV&V contract was adjusted to account for the transition
Performance Management	• Updated definitions of Severity Levels • Added new and enhanced existing SLAs, KMs & KPIs • Aligns penalties for missed SLAs to severity levels	• Process changes will be required for Deloitte to achieve some targets (ie. Time-to-Market) • Penalties will not be assessed until 10/1 or later • Existing SLAs need to continue to be measured until then • Specific details for some of the measures require additional discussion & approval
Value Add Services & Travel Give Back Hours	• 3,000 hours will be available to the State annually to invest in value-add services • 800 hours per month (9,600 annually) will also be available	• The new contract provides additional hours for application enhancements
Total Cost of Ownership	• Deloitte is leveraging Continuous Improvements (CIs) in order to reduce staffing levels and total cost of ownership	• The State will continue to work with Deloitte to implement Cis through the Center of Process Excellence (CPE)

In the M&O RFP, the State shared specific performance measures by which the team would be evaluating vendor performance under the new contract. A detailed summary of these measures can be found in Appendix H and includes Service Level Agreements (SLAs), Key Measures (KMs) and Key Performance Indicators (KPIs).   The list of these measures is also shown below in table 2f. Please note the following:

> "New" – indicates a new measure not tracked previously under CA-47
> "Modified" – these measures existed under CA-47 but were revised under the new contract
> "Existing" – these measures existed under CA-47 and did <u>not</u> change under the new contract

Table2f. New Contract Performance Measures

New Contract: SLAs, Key Measures, and KPIs

#	Type	Title	Change?	#	Type	Title	Change?
1	SLA	Production System Availability	Existing	16	KM	Incident Inflow Volume	New
2	SLA	Incident Resolution Time	New	17	KM	Problem Ticket Backlog	New
3	SLA	Business Continuity & Disaster Recovery (BC&DR)	Existing	18	KM	Root Cause Analysis Delivered On-Time	New
4	SLA	"Time to Market" for problem tickets	New	19	KM	Incident Response Time (Severities 1 and 2)	New
5	SLA	Application Performance	New	20	KPI	DHS SNAP and Cash Benefits Timeliness	Existing
6	SLA	Recon Discrepancies - HSRI and MMIS	Modified	21	KPI	Medical Benefits Timeliness	Existing
7	SLA	Defects Detected in User Acceptance Testing	Modified	22	KPI	SNAP and Cash Benefit Accuracy	Existing
8	SLA	Security SLA – Defect Injection, Controls, Patching, and Exploits	New	23	KPI	Medical Benefits Accuracy-1	Modified
9	SLA	Batch Jobs Success Rate	Modified	24	KPI	Medical Benefits Accuracy-2	Modified
10	SLA	Interface Success Rate	Modified	25	KPI	QHP Eligibility and Enrollment Accuracy	Existing
11	KM	Adherence to Release Schedule and Scope	New	26	KPI	Worker Portal Application Processing	Existing
12	KM	Accuracy of Rough Order of Magnitude (ROM) Estimates	New	27	KPI	Self-Service Portal Application Processing	Modified
13	KM	Staffing Attrition Rate	New	28	KPI	Client Notice Accuracy and Timeliness	Existing
14	KM	Production Infrastructure Utilization Rates	New				
15	KM	Level of Test Automation	New				

SLA: Describes the expected Information Technology (IT) service specification, service level targets, and penalties if any targets are missed

Key Measures: Describes the expected IT service specification and service level targets. However, there are no penalties if any targets are missed

Key Performance Indicators (KPI): Describes a business operations metric specification and service level that measures the efficiency and effectiveness of the vendor's performance over time to achieve the State's business outcomes.

After the agreement was finalized in July 2021, the State worked with Deloitte to create detailed specification documents for each of these performance measures. CSG, the State's IV&V partner, assisted with the review of these documents and provided guidance to the State before they were approved through our formal document workflow process. Once the specifications were in place, Deloitte developed any required reporting changes to begin tracking the new or modified measures and incorporated them into all relevant governance processes including our Contract Management (CAR) meetings. Please note there was a transition period for some of the SLAs as they required process changes and/or time to establish the baseline data. In each case, the State worked with Deloitte to develop an acceptable transition plan. All existing measures remained in place in the interim with most measurements being fully transitioned by October 2021.

The State also hired a Contract Manager who is responsible for ensuring compliance with the terms and conditions of all vendor contracts associated with the maintenance and operations of RIBridges. This role continues to be instrumental in driving vendor performance through active and ongoing management and by proactively addressing issues when performance standards are not achieved. In addition, this role provides additional project management support to the Enterprise PMO for related continuous process improvement initiatives and other strategic projects.

One of the most significant changes to the performance measures includes updated severity level definitions for incidents and problem tickets as well as more explicit targets for Deloitte's initial response, the completion of the root cause analysis and the resolution. A summary of these changes is shown in table 2g. The purpose of tightening these specific measures is to work with the Vendor to continue to innovate their existing incident and problem management practices and their maintenance SDLC in order to further improve overall responsiveness and to reduce time to market. As we continue to experience very low incident and defect backlogs, it gives the State an opportunity to set even higher standards for performance.

Table 2g. New Contract Performance Measures

Severity Definitions + Response Times (Incidents & Problems)   NEW

Severity	Definition	Ex:
1 (Fatal)	The production system is down, or mission critical functionality is inoperable. Users are unable to reasonably perform their normal functions. The situation is considered an emergency.	portal outage, network outage, critical system component outage (eligibility, worker inbox)
2 (Serious)	The system is usable but severely limited. Significant impact to application functionality, data, or performance which is resulting in a high number of users being unable to perform their normal functions or is resulting in a high number of customer benefits being blocked/incorrect. The is either no workaround or it is cumbersome to business operations.	scanning outage, connectivity to critical interface (e.g. FIS, MMIS) is down, notice generation not working, eligibility determination blocker or data issue resulting in large impact, external verification source unavailable
3 (Moderate)	Moderate impact to application functionality, data, or performance resulting in multiple users being impacted in their normal function or resulting in a high number of customer benefits being blocked/incorrect. For application functionality issues, a readily apparent and State approved workaround exists. For performance issues, the degradation is minor and is not rendering the normal functions of the system unusable or causing a significant disruption to users.	incorrect benefit calculation for limited/very specific scenario (a small subset of a program), incorrect screen validation requiring workaround, incorrect notice fragment for limited/specific scenario
4 (Minor)	Minor loss of application functionality resulting in limited or no impact to users being able to perform their normal function. A workaround is not required as a result of the limited impact.	typo with no material impact, display alignment issue

	Problems				Incidents			
Severity	1	2	3	4	1	2	3	4
Initial Response	N/A	N/A	N/A	N/A	15 mins	1 hr	2 days	2 days
Triage/RCA	1 wk	1 wk	2 wks	2 wks	30 mins	2 hrs	2 days	2 days
Resolution	3 wks	3 wks	3 mths	3 mths	4 hrs	8 hrs	5 bdays	20 bdays
Service Level	98%		95%		100%	98%	95%	90%

In addition to the new SLAs for incident and problem management, the team has also developed tighter controls around batches and interfaces and overall systems performance. Key Measures (KMs) have also been added as new performance measures. Although there are no penalty clauses associated with these measures, they will be monitored closely and failure to meet targets will result in corrective action plans and other required escalations.

Value Add Services and Travel Give Back Hours
The new contract provides additional hours for application development on an annual basis. These hours will not be charged as hourly services. The State will have discretion in terms of how these hours will be spent. These additional hours were included in our Annual Planning process for FFY 2022 and will also be accounted for on an annual basis going forward.

- 3,000 hours will be available to the State annually to invest in value-add or other services

- 800 hours per month (9,600 annually) will also be available

Total Cost of Ownership
In their response to the M&O RFP, Deloitte provided a list of Continuous Improvement opportunities (CIs) to drive more efficiencies and automation and to reduce the overall total cost of ownership. The State continues to actively work with the Vendor on many of these initiatives through the Center of Process Excellence. A few examples of the CIs the team implemented in FFY 2022 include:

- Tuned the performance of Worker Productivity and Workload Management dashboards
- Moved patch deployments and tech windows to weekday evenings
- Automated unit testing regression suite
- Increased SIT test case automation coverage

- Conducted Periodic UAT retrospectives
- Automated dry run reporting
- Established the Strategic Steering Committee (SSC)
- Auto-scoping problem tickets for the next release
- Automated status and performance reporting
- Optimized QRadar SIEM, risk, and vulnerability manager
- Performance tuned IAM system
- Reduced nightly batch execution run time
- Automated Interface file validation to improve incident resolution rate
- Added dedicated Hosting and Infrastructure Management Lead role
- Created runbooks for component-specific infrastructure patching processes

As noted above, the Center for Process Excellence will continue to prioritize improvement opportunities while providing the overall governance framework to determine how these CIs are implemented including obtaining any associated Executive level input or decision making.

Disaster Recovery & Business Continuity Planning

RIBridges has a Disaster Recovery site in Sacramento, California. The RIBridges team successfully completed its annual disaster recovery test in August 2021. The test results demonstrated a Recovery Point Objective (RPO) of 5 minutes and Recovery Time Objective (RTO) of 8 hours, far below the respective targets of 15 minutes and 24 hours respectively. Additionally, for this year's test, the scope was expanded to include more realistic business operations including access to the system (hosted on the disaster recovery (DR) environment) via laptop over the internet and including Electronic Benefits Transfer (EBT) card printing.

UAT Transition to State In-House Model

Based on the significant progress that has been made in improving the quality of development and SIT, the Executive Committee approved a new model for UAT which involved transitioning responsibility for UAT from KPMG to the State in multiple phases. KPMG played a key role in supporting the State by leading and managing the UAT process throughout the system stabilization period, however, several key factors led the State to determine an "in-house" model would be more appropriate for the current state of the project including:

- RIBridges has reached a level of stability due to the continuous improvement of testing and delivery processes
- Expanded regression testing and improved testing automation has also helped improve overall quality of releases as shown by quality data and scorecards
- Volume of defects has continued to trend lower (currently at or below 100 outstanding defects) allowing testing throughput to be reduced

- Backlog of unresolved system incidents has decreased by 98% from a high of 6,634 (in early 2019) to a current level of ~59 (June 2022)
- Shift in expectations with new contract where M&O vendor is being held accountable for quality through stronger performance management and SLAs

The characteristics of the new model can be found in table 2h below:

Table 2h. Characteristics of State UAT Model

Phase I - "In-House" UAT Model

Since November 2021, the State has been executing Phase I of the transition of UAT from KPMG to an "In-House" UAT Model.

Characteristics of State UAT Model	
Aligned to Agencies	✓ Testers are "Agency First" and "Shared Second" with the State UAT Lead managing cross-agency testing (resource sharing) if scope is imbalanced. ✓ Agencies oversee testing staff to ensure alignment with users/programs and to allow for support of other ad-hoc needs within the agency IT operations as needed. ✓ Creation of a test plan (coverage, scenarios, data) for each scope item will be the responsibility of the individual testers.
Centrally Coordinated	✓ The State UAT lead will be responsible for planning release capacity, monitoring execution, identifying/mitigating/escalating risks, and reporting overall status. ✓ The State UAT Lead will have expanded responsibilities to oversee UAT preparedness with the goal of ensuring test plans and coverage meets current industry standards/best practices.
M&O Focused	✓ The UAT strategy has evolved as the system has stabilized and Quality Scorecards have shown fewer defects are being found in UAT as a result of strong SIT practices and robust automated regression testing. ✓ Risk-based frameworks are being leveraged to determine how to best leverage UAT capacity for current releases planned through November 2022.

As part of the plan, the State onboarded eight senior testers who worked alongside KPMG throughout the transition. As part of Phase I, the State assumed sole responsibility for UAT as of July 1, 2022. This new model represents a more cost-effective solution for the State while maintaining a commitment to quality across both Major and Patch releases. More details regarding the model and the timeline for Phase I and Phase II can be found in the tables below.

Table 2i. In-House UAT Model

Phase I - "In-House" UAT Model

The first phase of the transition allows for a seamless "handoff" from single source vendor model to State managed team. Senior Testers were added to the existing team to replace KPMG resources.

UHIP Executive Committee	RI Bridges Bus. Exec. Sponsor Yvette Mendez

RI Bridges Program Lead Lori Rota

Agency RI Bridges & IT Leads

DHS Saurabh Gosai	EOHHS Brian Tichenor	HSRI Matt Goupil

Application Management Testing
Avinash Kumar

Sherri Kennedy (Lead)	Anthony Salvo (Lead)	Preethi Nair (Lead)
Purnachandra Lingareddy	Manoi Tirumani	Shwetha Methuku
Kranthi Doodi	Phani Mikkilineni	Arpitha Polu
Siva Chava	Shiva Yerramilli	

Other Agency Staff (7) – additional capacity through rotational assignments

Staff Aug – can be leveraged if needed

Key Highlights

- The State's Knowledge Services platform was leveraged for sourcing staff aug positions; leads are State employees

- Team comprised of Senior IT Testers who can independently create and execute test cases with minimal support

- General oversight continues to be provided by Agency Staff

- Additional UAT support is provided when needed by Agency Resources

4

Table 2j. Phase I UAT Transition Timeline

Phase I – Transition Timeline

The transition from KPMG continues to progress with the State assuming <u>full</u> responsibility for UAT in July. We extended KPMG support to assist with the June Release due to some staffing delays.

	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug

2021 — Planning Phase — Staffing Phase

Recommendation Phase
Implementation Phase
Post Implementation Phase
Over-the-Shoulder Support

2022 — Phase I Ongoing Monitoring

◆ Monthly Check In

UAT coverage during transition

	Dec-2021	Jan-2022	Feb-2022	Mar-2022	Apr-2022	May-2022	June-2022
Release Runway	R7.37.1	R7.37.2	R7.38 / R7.37.3	R7.38.1	R7.38.2	R7.39 / R7.38.3	
Release Coverage	Existing Model	State & KPMG	State & KPMG	State & KPMG	State	State	State
COVID Recovery		KPMG	KPMG	KPMG	KPMG	KPMG	KPMG

Risk Mitigation Levers
— The January and February Releases had an extra week of contingency
— KPMG will continue to support COVID Recovery work & Medicaid through June Release
— The State team was delayed from the original plan; team is fully staffed beyond June Release
— Scope will be closely aligned to testing capacity

Table 2k. Phase II – Projected Timeline

Phase II – Projected Timeline

Once the transition from KPMG is complete, the State will continue to monitor release quality and will further refine the model based on continued process improvements and further reductions in required release capacity.

	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep

2022 — State "In-House" UAT — 2023

◆ Monthly Check In

UAT coverage during transition

	Sep-2022	Oct-2022	Nov-2022	Dec-2022	Jan-2023	Feb-2023	Mar-2023
Release Runway	R7.40 / R7.40.1	R7.40.2	R7.41 / R7.41.1	R&.41.2	Release Runway not yet approved		
Release Coverage	State	State	State	State	State	State	State
PHE Unwinding	State	State	State	State	State	State	State

Risk Mitigation Levers
— KPMG contract extension drafted as back up plan for Sep & Nov Major Releases; should not be required as we will be fully staffed; we will monitor for a few additional weeks to ensure risk to the PHE Unwinding scope has been mitigated
— Continue to expand Automated Regression Testing
— Other State resources will be leveraged for flexing capacity if needed
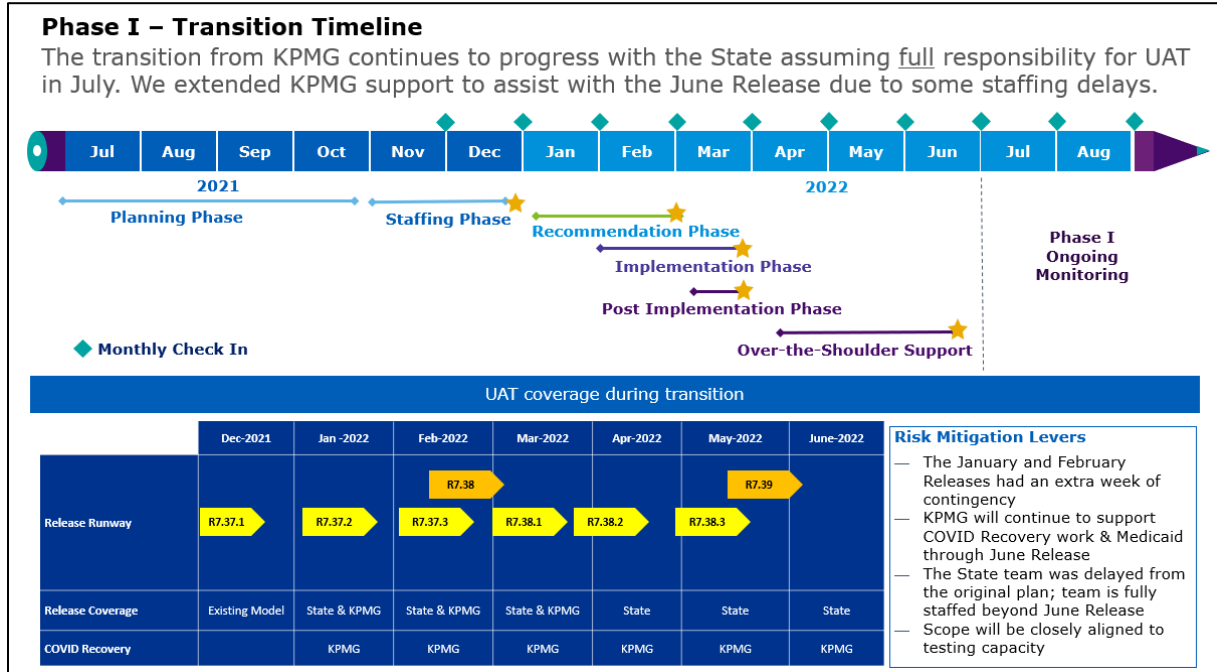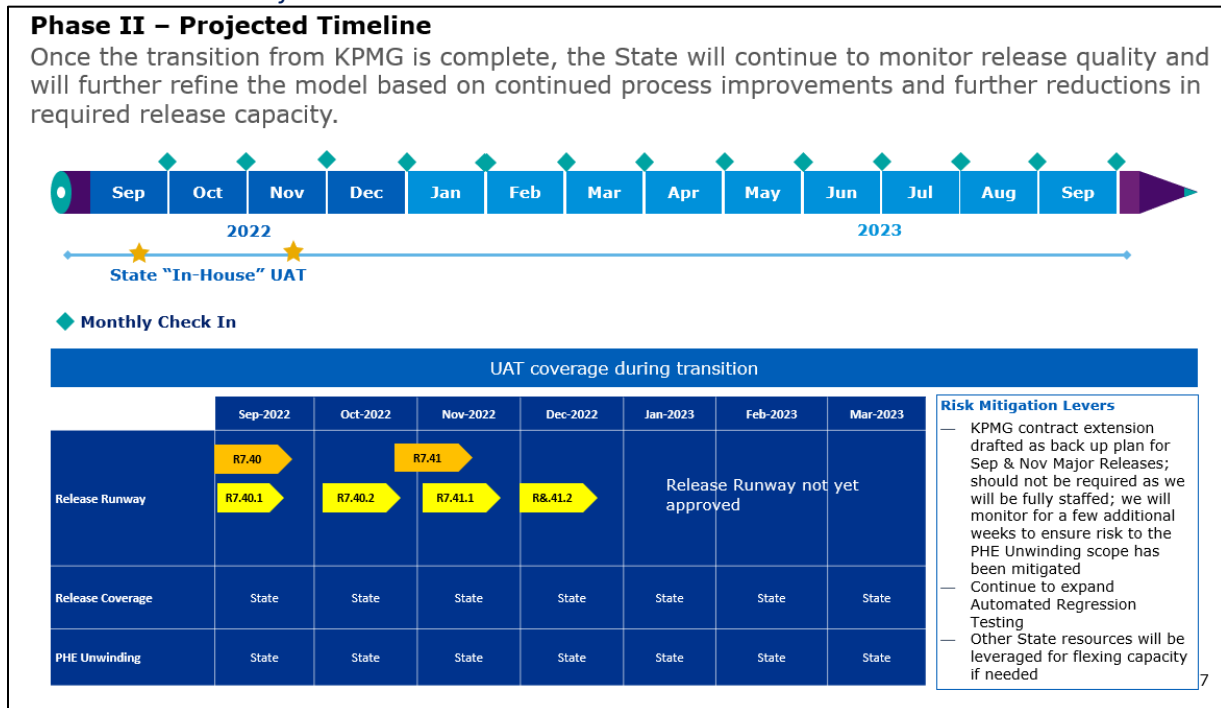
Online Dashboards

The Joint PMO Team continues to evaluate the reporting needs across the program in order to retire reports that no longer provide value while also replacing critical reports with online dashboards when possible. This effort supports the teams' focus on applying "Lean" concepts to running the program which include reducing time spent on non-value activities, eliminating redundancies and building quality into all aspects of the governance framework.   At this point, all governance meetings are run leveraging online dashboards and real-time collaboration in terms of content and meeting notes.

Continuous Improvements through CPE

As mentioned above, the Center for Process Excellence (CPE) continued to manage the continuous improvement initiatives from ideation through implementation. The CPE maintained the list of initiatives and managed the inflight work to be sure progress is made and items ultimately get completed in a reasonable timeframe. The CPE reports on these initiatives through MPR and Executive Steer Co to ensure there is transparency and visibility to these important initiatives.

In addition to the CI work, the CPE team conducted release retrospections for the Major Releases. In addition, the team performed root cause analysis for specific issues likely associated with PMOCs.

The structure and framework of the CPE allows the joint teams to balance the day-to-day normal activities along with these important improvement initiatives. The CPE was a very important addition to our overall governance framework and this team will continue to play a key role throughout FFY 2023.

Governance Updates

The Joint PMO continued to review our robust governance model and implemented some key improvements in 2022. We updated our document workflow to address a series of "pain points" which were identified by the business. These changes have already greatly improved the flow of documents and have reduced the effort required by the State in reviewing and approving changes.

The team also redefined the Leaderboard Process for prioritizing BRRs and SRs. By leveraging additional features in JIRA, we were able to deliver a customer friendly "drag and drop" functionality to the business. In addition, we have also simplified and reduced the unnecessary overhead associated with promoting service requests (SRs) through the prioritization process.

In addition, we structured our Executive meetings including introducing a new format for our Executive-level Steering Committee and merging other key meetings to better streamline decision-making. The updated governance framework is shown below in table 2l. More information can also be found in Appendix A. Per the new contract, all other governance artifacts are maintained by Deloitte in a central repository in SharePoint. Updates take place at least monthly.

Table 2l. Current Governance Structure
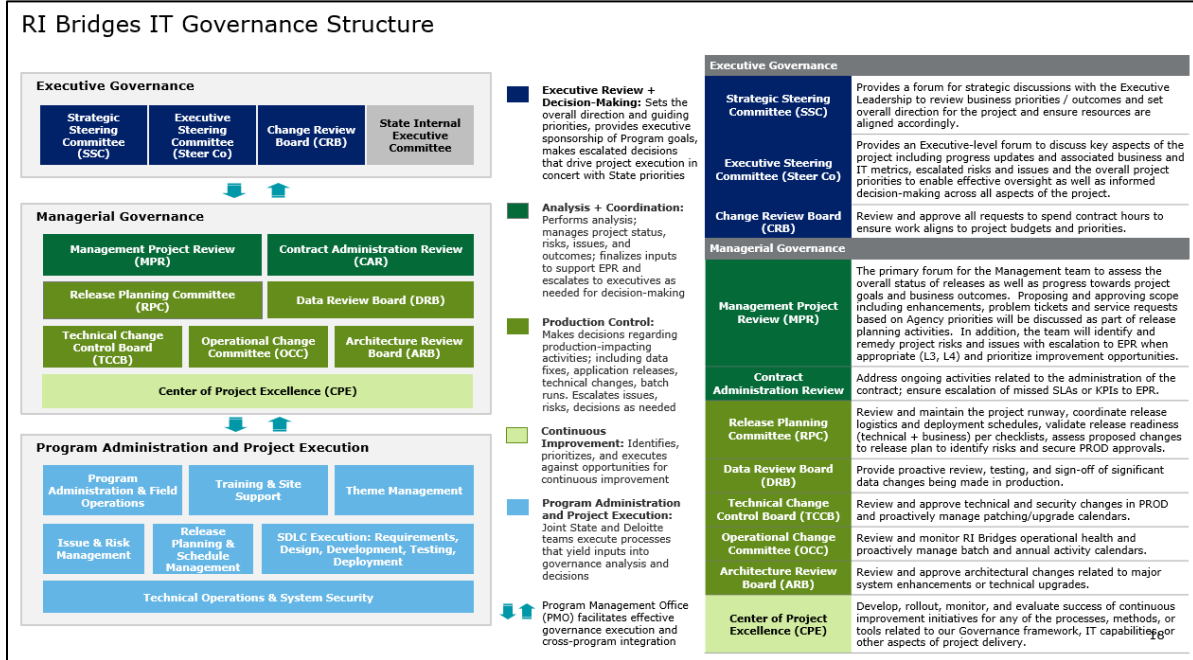
Lastly, our 3rd party IV&V vendor continues to be actively involved in the project. They produced a monthly report which assesses the project against a set of key project health indicators. A high-level summary of the report is shown in table 2m. The monthly report is reviewed with project leadership and action plans are developed to address any risks highlighted by the IV&V team.

Table 2m. IV&V Report

RI Bridges SFY 2022 IV&V Report

Overall project health remains at low risk, as measured in June, and has been on a low-risk path for calendar year 2022. Risks are accurately assessed and addressed as a normal course of governance. The project team has managed the increased risk related to the PHE very well. The PHE unwinding is likely to occur during the upcoming fiscal year and will increase risk. Of note, the Project Team has been planning their approach from the start of the PHE. For every action taken, the unwinding action was considered and planned. This applied to risks as well with the team aggressively identifying and managing risks accordingly. IV&V will continue to proactively work with the Project Team during this period.

Project Health Indicators	Jul-21	Aug-21	Sep-21	Oct-21	Nov-21	Dec-21	Jan-22	Feb-22	Mar-22	Apr-22	May-22	Jun-22
Overall Project Health	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low
Business Outcomes	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low
System Health	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low
Scope & Schedule Management	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low
Program Management	Low	Low	Low	Medium	Low	Low	Low	Low	Low	Low	Low	Low
Security	Low	Low	Low	Low	Low	Medium	Low	Low	Low	Low	Low	Low
Technical/Architectural	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low	Low

3 FFY 2022 M&O PERFORMANCE MANAGEMENT

General Background

As described above, more robust performance management guidelines were implemented as part of the new M&O contract including SLAs, Key Measures and Key Performance Indicators as described below:

- **SLAs:** Describes the expected Information Technology (IT) service specification, service level targets, and penalties if any targets are missed. Some penalties include an earn-back clause.
- **Key Measures:** Describes the expected IT service specification and service level targets. However, there are no penalties if any targets are missed.
- **Key Performance Indicators (KPI):** Describes a business operations metric specification and service level that measures the efficiency and effectiveness of the vendor's performance over time to achieve the State's business outcomes.

To facilitate the transition to the new performance standards, we continued to report on existing measures through October 2021. As a result, we have included reporting of both sets of metrics in this report for the initial contract year. Going forward, we will only report on the **new** contract measures. The full list of performance measures and descriptions can be found in Attachment H.

Service Level Agreements (SLAs)

Service Level Agreements (SLAs) continue to be used to track performance and to hold the Vendor accountable for meeting the required service levels.   The SLAs are reviewed on a monthly basis at the Contract Management Meeting (CAR) and at the Executive Steering Committee (Steer Co) meeting. They are also included in the monthly Contract Management Report which is submitted to the State for review and approval each month. The Contract Manager monitors performance to the SLAs and for handling any associated corrective action plans or penalties. Table 3a contains the results of the prior contract (CA-47) SLAs while table 3b include the results for the new SLAs.

Table 3a. Service Level Descriptions and Monthly Results (Prior Contract – CA47)

SLA	SLA Description	Target	Jun 2021	Jul 2021	Aug 2021	Sep 2021
5.1.1	Production Environment Hours of System Availability for Citizen facing – Business	99.90%	100%	100%	100%	100%
5.1.2	Production Environment Hours of System Availability for Citizen facing - Non-Business	98.00%	100%	100%	100%	100%
5.1.3	Production Environment Hours of System Availability for Worker facing – Business	99.90%	100%	100%	100%	100%
5.1.4	Production Environment Hours of System Availability for Worker facing - Non-Business	98.00%	100%	100%	100%	100%
5.1.5	Electronic Log Files (Maintenance)	99.5% Critical	100%	100%	100%	100%
5.1.6	Electronic Log Files (Maintenance)	95.0% Important	100%	100%	100%	100%
5.1.7	Electronic Log Files (Maintenance)	90.0% Normal	100%	100%	100%	100%
5.1.8	Electronic Log Files (Processing)	99.5% processed	100%	100%	100%	100%
5.1.9	Inbound Files	100% Processed	100%	100%	100%	100%
5.1.10	Outbound File to Data Services Hub	Less than 2 %	0.24%	0.17%	0.21%	0.22%
5.1.11	Transactions involving the user interface, business tier, or database tier	1.0 seconds	0.58 seconds	0.61 seconds	0.64 seconds	0.75 seconds
5.1.12	Back-up and Recovery Backups	100% Processed	100%	100%	100%	100%
5.1.13	Failover and Fallback Failover	Failure over will occur < 20 mins	N/A	N/A	N/A	N/A
5.1.14	Disaster Recovery refers to major disruptions to the production environment	Site must be operational	100%	100%	100%	100%
5.1.15	Severity 1 - Fatal	<=12 Hours	0 Sev 1s	0 Sev 1s	0 Sev 1s	0 Sev 1s
5.1.16	Severity 2 - Serious	<=4 Day Average	0 Sev 2s	0 Sev 2s	0 Sev 2s	0 Sev 2s

5.1.17	Severity 3 – Normal	Next Scheduled Release	Within agreed upon timeline	Within agreed upon timeline	Within agreed upon timeline	Within agreed upon timeline
5.1.18	Severity 4 – Minor	By agreement on release schedule	N/A	N/A	N/A	N/A

Table 3b. Service Level Monthly Results (New Contract)

Contract & System Performance – SLAs

Service Level Agreement	Oct 2021	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	Apr 2022	May 2022
1) Production System Availability	Met	Met	Met	Met	Met	Met	Met	Met
2) Incident Resolution Time	Met	Met	Met	Missed	Met	Met	Met	Met
3) Business Continuity & Disaster Recovery (BC&DR)	Met	Met	Met	Met	Met	Met	Met	Met
4) "Time to Market" for problem tickets	Met	Met	Met	Met	Met	Met	Met	Met
5) Application Performance	Met	Met	Met	Met	Met	Met	Missed	Met
6) Recon Discrepancies - HSRI and MMIS	N/A	N/A	N/A	Met	N/A	N/A	Met	N/A
7) Defects Detected in User Acceptance Testing	Met	Met	Met	Met	Met	Met	Met	Met
8) Security SLA – Defect Injection, Controls, Patching, and Exploits	Met	Met	Met	Met	Met	Met	Met	Met
9) Batch Jobs Success Rate	Met	Met	Met	Met	Met	Met	Met	Met
10) Interface Success Rate	Met	Met	Met	Met	Met	Met	Met	Met

Key Highlights

➢ Jan '22 missed due to a sev-2 incident which required a code fix

➢ Apr '22 missed due to a code change that caused a performance issue

➢ In both cases, the issues were addressed quickly, and additional mitigations were put in place to prevent future incidents

Status Key: ● Met ● Missed ● Not Measured (N/A)

Overall, the SLAs in FFY 2022 have continued to be met each month. There was one miss in January related to a Sev-2 incident and a second in April related to a code fix. Both were managed through the corrective action process to ensure a root cause was identified, a remediation was established and the "lessons learned" were incorporated into ongoing processes and procedures. In both cases, the issues were promptly addressed to mitigate any impact to the business.

Key Measures (KMs)

A set of key measures were also added to the new M&O contract. The purpose of these measures is to encourage continuous process improvement within many of our major processes. Although there are no penalties if a monthly KM is missed, these measures are monitored just as closely as the SLAs. The KMs are reviewed on a monthly basis at the Contract Management Meeting (CAR) and at the Executive Steering Committee (Steer Co) meeting. They are also included in the monthly Contract Management Report which is submitted to the State for review and approval each month. The Contract Manager monitors performance to the KMs and for handling any associated corrective action plans. Table 3c contains the results of the Key Measures since they were instituted in October 2021.

Table 3c. Key Measures Monthly Results (New Contract <u>only</u>)

Contract & System Performance – KMs

Key Measure	Oct 2021	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	Apr 2022	May 2022
Incident Response Time	Missed	Missed	Met	Missed	Met	Met	Met	Missed
Adherence to Release Schedule and Scope	Met	Met	Met	Met	Met	Met	Met	Met
Accuracy of Rough Order of Magnitude (ROM) Estimates	Met	Met	Missed	Missed	Met	Missed	Missed	Met
Staffing Attrition Rate	Requires 12 months of baseline data to measure							
Production Infrastructure Utilization Rates	Met	Met	Met	Met	Met	Met	Met	Met
Level of Test Automation			Met			Met		
Incident Inflow Volume	Met	Met	Met	Missed	Met	Met	Met	Met
Problem Ticket Backlog	Met	Met	Met	Met	Met	Met	Met	Met
Root Cause Analysis Delivered On-Time	Met	Met	Met	Met	Met	Met	Met	Met

Status Key: ● Met ● Missed ● Not Measured

Key Highlights

➢ Misses for Incident Response Time were due to tickets raised over the weekend. Additional staffing cycles have been added to mitigate the issue.

➢ Several projects were delivered for less hours than the ROM estimates. ROM procedures have been adjusted accordingly.

➢ Incident Inflow Volume spiked in January due to two issues that caused a higher number of incidents to be reported. Since then, the inflow has returned to normal levels.

Key Performance Indicators (KPIs)

The key business operations metrics were also revisited during the RFP process and some slight revisions were made to the KPIs. However, the process for measuring and reviewing the KPIs remained relatively unchanged although improvements have been made by introducing more automation and tracking through JIRA.

The KPIs are reviewed on a monthly basis at the Contract Management Meeting. They are also included in the monthly Contract Management Report which is submitted to the State for review and approval each month. Monitoring the KPIs and other performance metrics will continue to be one of the primary responsibilities for the contract manager.

With the new contract, there will be minor changes to a few of the KPIs. However, the process for measuring and reviewing the KPIs will remain unchanged. Table 3d contains the results of the prior contract (CA-47) KPIs while table 3e include the results for the revised KPIs under the new contract.

Table 3d. Monthly KPI Metric Summary (Prior CA-47 Contract)

KPI Metric Summary

	Target	Frequency	Measurement Method	June 2021	July 2021	Aug 2021	Sep 2021
1a DHS SNAP and Cash Benefits Timeliness	<= 2	Monthly	Deloitte	0	2	0	0
1b Medical Benefits Timeliness	<= 2	Monthly	Deloitte	0	1	0	0
1c Cash Benefit Accuracy	95%	Quarterly	State	96.5%			96.5%
1c SNAP Benefit Accuracy		Quarterly	State		98%		
1d Medical Benefits Accuracy (1/2)	97%	One-time	Deloitte	100%	100%	100%	100%
1e Medical Benefits Accuracy (2/2)	95%	Monthly	Deloitte	99.20%	99.06%	98.60%	99.5%
1f QHP Eligibility and Enrollment Accuracy	97%	Bi-Monthly	State	100%		100%	
2a Worker Portal Application Processing	98%	Monthly	Deloitte	100%	99.98%	99.97%	100%
2b Self Service Portal Application Processing	98%	Monthly	Deloitte	99.98%	100%	99.97%	100%
3.1 Client Notice - Accuracy	98%	Quarterly	State			99.2%	
3.2 Client Notice - Timeliness	98%	Monthly	Deloitte	99.66%	99.89%	99.17%	98.10%
4 Legal and Regulatory Requirements	98%	N/A	Deloitte	Met	Met	Met	Met

Key Highlights

➤ This report represents the KPI metrics being tracked from Jun '21 – Sep '21 prior to the new M&O contract metrics being fully implemented in October 2021

➤ During this timeframe, Deloitte met or exceeded the KPI targets

➤ Any issues identified in the sampling process were addressed by the M&O team

Table 3e. KPIs Monthly Results (new Contract)

Contract & System Performance – KPIs

Key Performance Indicator	Oct 2021	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	Apr 2022	May 2022
1) DHS SNAP and Cash Benefits Timeliness	Met	Met	Met	Met	Met	Met	Met	Met
2) Medical Benefits Timeliness	Met	Met	Met	Met	Met	Met	Met	Met
3) SNAP and Cash Benefit Accuracy	Met		Met		Met	TBD		TBD
4) Medical Benefits Accuracy-1	On Hold							
5) Medical Benefits Accuracy-2	Met	Met	Met	Met	Met	Met	Met	Met
6) QHP Eligibility and Enrollment Accuracy			Met		Met		TBD	
7) Worker Portal Application Processing	Met	Met	Met	Met	Met	Met	Met	Met
8) Self-Service Portal Application Processing	Met	Met	Met	Met	Met	Met	Met	Met
9) Client Notice Accuracy and Timeliness	Met	Met	Met	Met	Met	Met	Met	Met

Key Highlights

➤ Measurement of KPIs 3 and 6 will be reported upon closure of the QC process.

➤ KPI 4 sampling is currently on hold due to the PHE

Status Key: ● Met ● Missed ● Not Measured

Overall, the KPIs continue to meet or exceed the specified targets. The State Contract Manager is working with Deloitte to streamline the QC process to improve the timeliness of the monthly reporting.

One major improvement that was implemented involved the tracking of each sample in JIRA which has enabled the use of online dashboards and facilitated more effective communication across the team.

4 FFY 2023 PLANNED M&O ACTIVITIES

The planned M&O activities by vendor are shown in table 4a below.

Table 4a M&O Service Areas by Vendor

Service Description	Expected Vendor(s)
Program Management Services	Deloitte
Application Maintenance Services	Deloitte
Technical Operations Maintenance Services	Deloitte
Technical Operations Enhancement Services	Deloitte
Information Management Services	Deloitte
Professional Services	Deloitte
Security Operations Services	Deloitte
Health Coverage Operations Services	Deloitte
IT Program Management Services	Knowledge Services
UAT Testing Services	Knowledge Services
Release Management Services	Knowledge Services
IT Production, Batch, and Interface Services	Knowledge Services
IT Infrastructure and Architecture	Knowledge Services
IT Data Services (DRB)	Knowledge Services
Finance and Budget Services	Knowledge Services
Contact Center	AHS
Data Management/Contact Center Support Services	FCG Ops
Health Coverage Data and Reporting Support Services	FCG Strategy
Security Services	CSG
Training Support for PHE system enhancements	TBD
Staff augmentation support for PHE Unwinding	TBD

Deloitte

Deloitte's M&O activities planned for FFY 2023 align directly to the services outlined in the new M&O contract. These include the following service areas:

- Program Management Services
- Application Maintenance Services
- Technical Operations Maintenance Services
- Technical Operations Enhancement Services
- Information Management Enhancement Services
- Professional Services
- Security Operations Services
- Health Coverage Operations Services

Each of these M&O services are described in more detail below.

Program Management Services

Deloitte will continue to be responsible for supporting the overall RIBridges program management function including the following activities:

- Defining, operating and maintaining the overall project governance in accordance with the model that has been approved by the State
- Maintaining the overall project schedule and release runway
- Enabling effective decision-making by the State's Executive Committee regarding scope and ensure alignment to budgets
- Supporting business programs to enable release planning and scope prioritization
- Helping the State plan and facilitate annual portfolio planning
- Supporting Program Leads in achieving business outcomes
- Preparing and delivering regular executive status reporting
- Providing metrics to monitor performance
- Maintaining and updating all project and system documentation
- Performing contract management
- Providing support for audits

Application Maintenance Services

Deloitte is also responsible for maintaining, operating, and improving the RIBridges system including the following items:

- Operating, in collaboration with the state, the RIBridges incident management process including the operation of a command center process for priority issues and the ongoing management of the Production Operations Daily Stand-Up meeting (PODs)
- Operating the RIBridges problem management process
- Completing minor application enhancements for the RIBridges system
- Completing annual maintenance activities (batch job updates, reference tables updates, etc.
- Maintaining, operating, and improving all release management processes
- Maintaining, operating, and improving the information management/business intelligence platform with a focus on improving ease of use of reporting functionality to allow for self-service and "on-demand" reporting by the business.
- Maintaining and operating robotic process automation

The plan is to continue ongoing patch releases to deliver problem tickets and small changes which are prioritized through the existing Leaderboard process. All scope is reviewed and approved at our weekly Management Project Review (MPR) meeting. In addition, Service Requests will continue to be prioritized at MPR and will be delivered as part of the M&O services. In addition, the Data Review Board will continue to manage the execution of the ongoing data requests.

Technical Operations Maintenance Services

Deloitte continues to be responsible for maintaining, operating, and improving the RIBridges system infrastructure and technology (hardware/software), including the following:

- Database Management
- Application Operations
- Disaster Planning & Recovery
- Hosting and Infrastructure Management
- System Health Check and Monitoring
- Application Architecture Management
- System Patch and Upgrades Management
- Hardware and Software Upgrades

Technical Operations Enhancement Services

Deloitte is also responsible for performing RIBridges technical operations enhancements (major hardware/software upgrades) based on business priority and in accordance with the technical operations and planning services described above. Technical enhancements may follow modified timelines based on purchasing, the business need and release governance processes. The State plans to focus on implementing the following technical upgrades in FFY 2023:

TIBCO Pattern Search Upgrade

The Master Client Index uses TIBCO Pattern Search in-memory search for rapid lookups. This product reaches EOL in July 2022 and will be upgraded in FFY 2023.

Content Management Upgrade

The current content management platform, Hyland ImageNow, reached end of life on 12/31/2017. This product is used for the scanning, indexing, and viewing of customer records and is tightly integrated with our applications in order to provide a seamless workflow for workers. The State has been under extended support from the vendor on the agreement that we will be moving to the latest solution in 2022. To manage this complex upgrade through the many versions that were release between the current version used and the new version, the team has engaged the vendor to provide the professional services of experienced resources.
Timeline currently under review. Originally scheduled for September 2022, now tentatively scheduled for early 2023.

Enterprise Service Bus Upgrade

The upgrade of Mule ESB (see FFY22 accomplishments) is being done in three phases with the final phase scheduled to complete in FFY23.

Phase 1: (platform upgrade plus 6 API upgrades) **completed June 2022**

Phase 2: (25 API upgrades) **scheduled for September 2022**

Phase 3: (final 7 API upgrades & the upgrade of database connections to TCPS from TCP) **planned for Q1 2023**

Pentaho Upgrade

Pentaho Kettle is used for ETL workloads in the RIBridges environment. The current version of Pentaho reached end of life in January 2018. The product is also on a version of Java and Linux that have reached EOL. The upgrade is planned for FFY23 to attain patch compliance across the application, framework, and platform.

TrendMicro Upgrade

RIBridges uses TrendMicro Deep Security for host anti-malware scanning, Host-based Intrusion Prevention, and Application Whitelisting. The product has received a new long-term release which includes features to reduce the overhead of managing these critical security capabilities.

Tableau Upgrade

RIBridges uses Tableau as the data visualization platform for dynamic and customized analytics to prioritize and target cases for worker action. RIBridges will upgrade the platform to maintain vendor security patches and incident support in production.

QRadar Replacement

QRadar is currently utilized as the SIEM and vulnerability management (QVM) tool. IBM has announced the end of support for QVM, effective April 30, 2023. The Operations team is exploring options to migrate from QVM to another vulnerability management tool. Nessus is currently being used for quarterly scanning. A transition plan is being developed to migrate from automated QVM monthly scanning to Nessus monthly scanning. Additionally, QRadar is currently on version 7.4.5 Fix Pack 5 and is planned to be upgraded to n-1 version.

IBM Security Access Manager Upgrade

IBM Security Access Manager (ISAM) is a complete authorization and security policy management solution for various internal resources and enterprise applications. It provides authentication, authorization, data security, and centralized resource management capabilities. The current version of ISAM is 9.0.7.2IF3 and is out of support as of April 30, 2022. State has procured an extended support while the upgrade is being planned and executed. This major upgrade schedule is yet to be determined, and upgrade will be to the IBM Security Verify Access (ISVA – rebranded ISAM) version 10.0.3.1.

IBM Security Identity Manager Upgrade

IBM Security Identity Manager (ISIM) is the centralized identity management solution which manages the identity Lifecyle for internal and external user population.

The current version of ISIM is 6.0.2 and will be out of support on September 30, 2022. State has procured an extended support while the upgrade is being planned and executed. The major upgrade schedule is yet to be determined, and upgrade will be to the IBM Security Verify Governance (ISVG – rebranded ISIM) virtual appliance. We expect to begin this upgrade in FFY 23 however, the release plan is likely to extend into FFY 2024.

Leverage Splunk's Alert Action hooks to enable Self-healing infrastructure capabilities
The operations team is planning on enhancing the RIBridges monitoring strategy with automated responses to service crashes and disruptions to better maintain system health and availability. This approach will augment existing monitoring, triage, and resolution steps by initiating self-healing of major application components upon specified alerts/triggers.

Database Continuous Improvements
The operations team will continue to look for opportunities to implement ongoing improvements to Database Operations. A few examples of improvements being considered include the following:

- Automating database configuration management for predictability
- Leveraging new Oracle 19c features for accelerating system efficiency and performance
- Developing a data archive, purge, and partition strategy

Information Management Enhancement Services

Deloitte continues to be responsible for performing RIBridges information management enhancements and ad hoc reporting based on business priority and in accordance with the standard software development lifecycle and the release management process. The State prioritizes the IM enhancements through the existing governance model including approval of all scope by the Change Review Board (CRB). Deloitte continues to work with the State to enable self-service capabilities within the business units while supporting the larger more complex reporting efforts.

Professional Services

Deloitte will be responsible for providing various professional services related to the RIBridges program on an as needed basis. These services may include but are not limited to:

- Providing support services to state operations teams (DHS, HSRI, EOHHS)
- Completing ad-hoc executive reporting or support regarding program health, progress, or status
- Providing audit support services for audits not listed in program management services

In FFY 2023, the State plans to utilize professional services to support the PHE Unwinding Integrated Project Team (IPT). The IPT team will support the following:

- Monitoring, managing, and measuring progress against business outcomes and the implementation timeline

- Serving as a point of escalation for resolving issues and risks, escalating to Executive Leadership when additional guidance or executive-level direction/decision is needed
- Providing direction and guidance to work stream teams
- Facilitating weekly IPT Meeting and attending Executive Meetings to provide updates
- Producing IPT status and executive reporting
- Sending minutes of meeting, following up on action items/parking lot items
- Tracking risk/issues in JIRA and updating metrics
- Reviewing and analyzing data available to determine trends and outcomes
- Modeling the workload and determining task volumes by worker group
- Projecting worker task assignments needed to complete the work
- Determining CSDL needs/QRGs needed to prepare workers for upcoming changes
- Facilitating the IPT operations workstream meetings
- Reviewing the State operations plan as it is developed/refined over time and providing feedback/suggestions within the budgeted hours
- Assisting in anticipating training needs and answering questions on new material creation/material refresh

Security Operations Services

Deloitte will be responsible for maintaining security of the RIBridges system with an objective to provide confidentiality, integrity and availability of the sensitive data within the system.

The following activities will continue to be performed in FFY 2023:

- Preventing cybersecurity threats and detect incidents and threats
- Maintaining compliance with state and federal security and privacy standards
- Maintaining security servers and access control
- Providing system security audit support
- Performing security testing and scanning and support the RIBridges Secure Software Development Life Cycle (SSDLC)

Health Coverage Operations Services

Deloitte is responsible for completing health coverage operations services as described below:

- Completing the reconciliation between the RIBridges system and its health coverage partner systems (financial management system, carriers, CMS, MMIS)
- Providing billing and enrollment support services to correct billing and enrollment related issues for QHP customers
- Maintaining, operating, and improving the financial management system which supports the exchange billing and invoice generation processes (currently performed by NFP Health)

Continuous Process Improvements (CPIs)

As part of our extensive governance framework deployed across the project, we continuously identify opportunities for process improvement. These initiatives are managed by our Center for Project Excellence (CPE) Team. This team prioritizes the list of improvements and oversees the implementation of any associated process changes. A few of the CPIs being planned for FFY 2023 include the following:

- Automation of Notice QC activities
- Moving information from PowerPoint into online software to further streamline governance meetings
- Reducing false positives in security testing suite
- Automating component-specific technical validation suite
- Developing a data archive, purge, and partition strategy

Knowledge Services

The State continues to leverage Knowledge Services as a Managed Service Provider (MSP) for securing contract resources to augment the State's staff in support of several key M&O services including:

- IT Program Management Services
- UAT Testing Services
- Release Management Services
- IT Production, Batch and Interface Services
- Data Management Services
- IT Infrastructure and Architecture (??)
- Finance and Budget Services

IT Program Management Services

Due to the size and complexity of the UHIP Program, the State has established an Enterprise Project Management Office which is primarily staffed through Knowledge Services. There are four key program management roles in the EPMO including:

- Enterprise PMO Lead
- IT Program Lead
- Project Managers
- Contract Manager
- Quality Control Analyst

Enterprise PMO Lead

The Enterprise PMO Lead has responsibility for directing, organizing and controlling the PMO related activities across IT, Finance and Operations in support of the UHIP Project. This includes overseeing

business case development and prioritization, ensuring accountability to budgets and maintaining governance procedures and standards.   In addition, the EPMO Lead coordinates status updates, tracks priority risks and issues and defines requirements for project metrics and reporting. The Enterprise PMO Lead reports directly to the overall UHIP Project Sponsor and facilitates the UHIP Executive Committee which is responsible for all key project decisions for the State. Some of the key responsibilities of the EPMO Lead include:

- Directs all activities and functions of the UHIP Enterprise Project Management Office
- Serves as the primary manager/point of contact to the UHIP Project Sponsor and Executive Committee regarding business prioritization, project decisions and risk / issue escalation. This includes gathering all relevant status updates and developing metrics and KPIs to enable informed decision making by the UHIP Executive Committee.
- Directs the following day-to-day activities of the Project Managers, Contract Manager and Quality Control Analyst
- Provides tools, templates and dashboards to assist the business in prioritization and planning activities
- Helps drive release planning activities in order to achieve the top priority business outcomes in support of the overall UHIP project goals
- Recommends options to adjust project priorities to optimize resources and budgets and to manage project portfolio risk
- Conducts formal portfolio management reviews of all IT projects assessing risk to timeline, budget and quality
- Analyzes and communicates project status and risks while recommending corrective action plans
- Provides guidance and oversight of the governance model for the UHIP project including:
    o Ensuring standards are well-documented and communicated
    o Defining and approving proposed process changes
    o Tracking adherence to standards
    o Developing and managing the rollout of changes
- Helps to define project metrics, dashboards and reporting to manage all aspects of the UHIP project
- Leads all relevant senior level meetings in support of the defined governance processes
- Provides leadership and guidance to continuously improve the EPMO function by encouraging process improvement including the implementation and updating of methodologies and best practices were appropriate

IT Program Lead
The IT Program Lead has responsibility for all IT related aspects of the UHIP Project and the RIBridges application. This includes overseeing the RIBridges systems integration vendor, leading the State IT team that maintains and operates RIBridges and serving as the primary point of contact to HSRI, DHS, and Medicaid agency Directors. Some of the key responsibilities of the IT Program Lead include:

- Acting as the primary manager/point of contact to RIBridges systems integration vendor which includes oversight for the following:
  - o RIBridges application release planning and execution (incident and problem management, development, systems integration testing, user acceptance testing support, application deployment, post-deployment monitoring)
  - o Maintenance and operations of the RIBridges application and infrastructure (Hardware/software patching and upgrades, batch execution, production operations, application security, application architecture)
  - o Information management (data analytics and reporting)
- Primary point of contact to business (HSRI, DHS, and Medicaid agency directors) for all UHIP IT related matters including:
  - o Communication and oversight of RIBridges production incidents
  - o Facilitation of decision making for RIBridges application maintenance (release planning)
  - o Support and oversight of business/agency IT staff that support UHIP
  - o Oversight of UHIP IT related vendor contracts
  - o Strategic advisor to business on UHIP program management including reporting to federal partners

Project Managers
Project Managers in the EPMO are aligned to support the most critical themes and programs by partnering closely with the IT Agency Leads and the Deloitte Track Leads. The primary M&O responsibilities of the project managers (PMs) include the following:
- Leading Theme Team meetings including planning agendas and coordinating content and tracking decisions and actions
- Monitoring the inflow of new problem tickets
- Assessing patch scope and providing feedback based on timelines
- Ensuring all solutions are reviewed and approved in JIRA
- Maintaining workplans to be sure tickets are solutioned according to key deadlines
- Managing the review of proposed ticket cancellations
- Tracking and ensuring the timely review and approval of requirements for small BRRs allocated to Patch Releases
- Identifying and escalating risks and issues when required
- Supporting the Agency Leads as needed
- Ensuring all governance requirements are followed

In addition, a limited amount of PM support is being leveraged across the PMO to assist in the day-to-day activities in partnership with Deloitte's PMO.

Contract Manager
The State Contract Manager / Program Manager ensures compliance with the terms and conditions of all vendor contracts associated with the maintenance and operations of RIBridges integrated eligibility system.   This role is instrumental in driving vendor performance through active and ongoing management and proactively addressing issues when performance standards are not achieved. In addition, this role provides additional project management support to the Enterprise PMO for related

continuous process improvement initiatives and other strategic projects. The primary responsibilities of the Contract Manager / Program Manager (CM/PM) include the following:

- Provides a detailed understanding of the terms & conditions of all related vendor contracts
- Drives vendor performance by monitoring performance metrics including SLAs, KPIs and other Key Measures and ensuring any required corrective action plans are established and tracked until performance standards are met
- Facilitates any ongoing contract amendments and renewals including assisting with any necessary negotiations to vendor contracts in support of the State's budget goals
- Obtains legal guidance if required to respond to questions or to gain legal interpretations of contracts when required
- Assists with any related procurement activities required to maintain the required vendor support for RIBridges in accordance with State and Federal purchasing guidelines
- Reviews and facilitates approvals for vendor invoices and any associated contract reporting
- Brings best practices and tools (including dashboards and scorecards) to conduct effective vendor performance reviews on a regular basis
- Builds strategic partnerships with vendors and across the business to perform all related contract management functions
- Analyzes contract requirements, special provisions, terms and conditions to ensure legal compliance with regulations, corporate policies and business unit procedures
- Leads continuous process improvement initiatives and other strategic projects for the Enterprise PMO
- Provides thought leadership to the RIBridges Program Lead, the Executive Committee and other State Agencies regarding contract management and other strategic initiatives

Quality Control Analyst
The Quality Control Analyst has overall responsibility for performing quality control checks on behalf of the State to ensure that critical performance standards and KPIs and consistently met. This includes coordination between all UHIP-related State agencies (business and IT) as well as vendors involved in identifying and resolving system defects.

UAT Testing Services
While the State relies on Deloitte as the system integrator for development, the State continues to maintain rigorous UAT testing practices to ensure high quality code is deployed into production. As noted above, these processes have allowed the system to remain stable and releases to become more predictable and routine.

Based on the significant progress that has been made in improving the quality of development and SIT, the Executive Committee approved a new model for UAT which involved transitioning responsibility for UAT from KPMG to the State in multiple phases as detailed in Section 2 above.

The State "In-House" Model is led by the UAT Lead and staffed with a combination of KS resources and State staff. The UAT Lead has responsibility for overseeing the UAT effort for each release. This includes assessing the release scope and working with the Agencies and UAT Senior Testers to align the capacity to ensure the test coverage is adequate for the release. The UAT Lead also coordinates the test environment planning and facilitates all status reporting. In addition, the UAT Lead ensures issues are appropriately escalated to mitigate delays to the release schedule.

The State has also leveraged KS in staffing eight Senior Testers to operationalize the new model. The Senior Testers are responsible for the following:

- Assisting in the evaluation and management of project scope (Business Requirements Documents BRDs/Functional Design Documents FDDs) with the UAT Lead
- Working with the State Agency Leads, Program Managers and designated UAT representatives to understand business requirements/processes and act as a liaison between State Agencies and State Vendors as needed (also, to work on cross-agency UAT as and when needed based on release scope mix).
- Working closely with the project and development team to understand the project roadmap, features, user stories, and acceptance criteria; thoroughly review requirements to develop UAT test prep schedule, applicable test plans and test cases to ensure adequate test coverage
- Preparing the execution calendar and account/environment requests
- Consolidating and reviewing all scripts and scenarios to ensure they align with scope (BRDs/FDDs) and business processes
- Performing SQL queries as required to gather and validate data in support of UAT testing
- Reviewing and managing test scripts and defects in JIRA and JAMA (logging tickets, testing, etc.).
- Managing the defect identification and logging process
- Collaborating with both technical and business-oriented project team members to resolve defects and ensure the Quality Assurance effort is meeting expectations and on schedule
- Attending all UAT-related meetings; providing UAT status updates and report testing metrics to the UAT Lead

Release Management Services

Release management is also provided by a contract resource through Knowledge Services. The M&O Release Manager is focused primarily on activities related to release planning, preparation and execution including the following:
- Participating in all aspects of release planning and developing the release runway
- Developing release checklists and deployment playbooks
- Conducting Executive Go-No/go Meetings prior to all releases
- Providing oversight of deployments and post-release validations
- Ensuring business readiness for release deployment through existing governance committees
- Managing release scope approvals through the Management Project Review (MPR) and the Release Planning Committee (RPC) to ensure all decisions regarding scope and the release runway are governed in alignment with established processes

In addition to overseeing the Release Management activities, this role also has responsibility for the Incident Management Process including the leadership of the daily PODs (Production Operations Daily Stand Up).

IT Production, Batch and Interface Services

The Batch Operations Lead has also been staffed through Knowledge Services. This role is responsible for ensuring the correct batches are run daily and all job dependencies are met satisfactorily. In addition, the lead follows up on the results of these production batches and ensures interfaces with federal, state and private entities are working properly. The lead also helps manage the Operational Control Committee (OCC) which reviews and maintains the annual calendar of operational events that need to be scheduled, planned and executed in support of the business.

Data Management (DRB)

In addition to providing release management, the Release Manager from Knowledge Services also leads the Data Review Board which has oversight and approval authority across data scripts in the system, as well as script review and testing. This lead role ensures data requests continue to receive the appropriate reviews and approvals in order to maintain high quality standards.

Finance and Budget Management

EOHHS provides staffing for UHIP Finance that is accountable for contract oversight, procurement, budget and finance for UHIP. This internal staffing is supported by a small group from Knowledge Services that provides direct support for UHIP Finance in terms of report development and budget tracking. In addition, this group will continue to support UHIP Finance and the EPMO in further improving the operating model including improving financial forecasting tools and reporting as well as other related financial processes.

Attachment C provides a summary table of the Knowledge Services support.

Automated Health Systems (AHS)

Contact Center Services

Automated Health Systems (AHS) provides call and walk-in center services, providing telecom and Customer Relationship Management (CRM) technology to fully support the contact center activities. This includes logging escalations for system related issues and supporting issue resolution efforts, including higher volumes and longer call times related to issues with RIBridges and UAT.

CSG Government Solutions (CSG)

Security Services

CSG's security services assist the State with the continued maintenance of MARS-E controls and NIST standards, the maturation of the continuous monitoring program, and provision of robust vulnerability assessments, web application penetration testing, and network/infrastructure monitoring.

Faulkner Consulting Group - Ops (FCG-Ops)

Call Center Support

The M&O portion of this work involves day-to-day contact center support and oversight, including research and resolution of eligibility and systems issues, training for users and business partners, quality control checks.

Faulkner Consulting Group - Strategy (FCG-Strategy)

Data Support and Reporting

The M&O portion of this work involves data query generation and report implementation for ongoing production of notices and reports.

Vendor To Be Determined - RFP

Training Support

Training support will be required to train staff related to system enhancements, particularly those related to the Public Health Unwinding.

Staff Augmentation

In anticipation of the redetermination of Medicaid benefits for over 350,000 Rhode Islanders, that state is including funding for staff augmentation to provide back-office support such as data entry to facilitate the timely redetermination of benefits along with the continued processing of new applications for benefits for public benefit programs. Note that only state employees, merit staff, will determine eligibility.

5 PERSONNEL RESOURCE STATEMENT

The State is providing an estimate of total staffing requirements and personnel costs in Attachment D. Included are all State staff, their organization and job title, the percent allocation to UHIP, whether they are DDI or M&O, their salary, the cost-allocation applied, and total UHIP allocation. Included in this is a complete list of DHS field staff with an allocation to UHIP based on the Random Moment in Time Study (RMTS) as detailed in section 10.

Please see the table below for a listing of key personnel on the project.

Table 5a. Key Project Personnel Listing

Key Personnel	Agency	Title	Responsibilities
Ana Novais	EOHHS	Acting Secretary	Leadership
Yvette Mendez	DHS	Acting Director	Project Sponsor
Lindsay Lang	HSRI	Director	Leadership
Kristin Sousa	EOHHS	Medicaid Director	Leadership
Phil Silva	DOIT	Sr. Information Technology Project Manager	Tech Ops Lead
Beth Tyler	DOIT	Information Technology Project Manager	UHIP IT Oversight and Leadership Management
Matt Stark	EOHHS	CAO	Finance and Admin Advisor
Maureen Wu	EOHHS	UHIP CFO	Budget, APD
Lisa Martinelli	EOHHS	In House UHIP Counsel	Legal
Bijay Kumar	DOIT	Chief Digital Officer	Oversight of IT Leadership
Lori Rota	DOIT	UHIP Program Lead/EPMO Lead, Contracted	Lead IT Program Life Cycle, IT Project Execution and Enterprise PMO Lead
Jose Garcia	DHS	Chief of Information and Public Relations	Communications
Jamie Weinstein	DOIT	IT Executive Contracted	Contract Management, PMO Support

6 PROPOSED M&O BUDGET

For this OAPD update, Rhode Island is asking for federal approval for the project budget and related cost allocations. The State understands that this budget request and subsequent approval does not constitute contract or contract amendment approval. Federal funds will not be expended on individual contracts until federal approval is received.

The State affirms that the requested amounts are solely for salaries, benefits, and direct costs listed below. Indirect costs are not included in this budget request. Postage and other non-admissible items are also excluded from this budget request.

Table 9a below shows the overall project M&O budget for federal and State shares requested as of July 29, 2022. The total budget shown is for FFY 23 – FFY 27.

Table 6a. July 29, 2022 Submission OAPD Budget Summary

OAPD Budget					
	FFY 23	**FFY 24**	**FFY 25**	**FFY 26**	**FFY 27**
State Funds	25,722,149	24,755,649	23,480,327	23,480,327	23,480,327
Federal Funds	43,582,480	42,113,084	40,253,876	40,253,876	40,253,876
Proposed Budget	**69,304,629**	**66,868,733**	**63,734,203**	**63,734,203**	**63,734,203**

The overall project budget for FFY 2023 thru FFY 2027 is estimated to be $327,375,971, of which $206,457,192 is the expected federal share, and $120,918,779 is the expected State share. Please see Attachment D for details on personnel, and Attachment E for a breakdown of total budget by quarter for FFY 2023 and FFY 2024.

The following table provides details of the FFY 2023 budget by service area and category of service:

Table 6b. FFY 2023 and FFY 2024 Budget by Service Area

Rhode Island UHIP Project Budget for FFY 2023					
	RIBridges		Project Management		
Sub Components	Business Functions	Technical Functions	Administration	Process	
Service Areas	Agency Support	UHIP IT Management	Finance & Administration	EPMO	Total
Deloitte	-	29,537,081	-	-	29,537,081
Hardware / Software	-	357,583	-	-	357,583
Personnel	11,664,130	375,448	247,433	-	12,287,011
Vendor	15,254,729	10,937,228	246,710	684,288	27,122,955
Grand Total	26,918,859	41,207,340	494,143	684,288	69,304,630

Rhode Island UHIP Project Budget for FFY 2024					
	RIBridges		Project Management		
Sub Components	Business Functions	Technical Functions	Administration	Process	
Service Areas	Agency Support	UHIP IT Management	Finance & Administration	EPMO	Total
Deloitte	-	30,188,876	-	-	30,188,876
Hardware / Software	-	393,341	-	-	393,341
Personnel	12,925,060	384,459	253,371	-	13,562,890
Vendor	14,654,729	7,137,899	246,710	684,288	22,723,625
Grand Total	27,579,789	38,104,575	500,081	684,288	66,868,733

The following table provides a view of the FFY 2023 – FFY 2027budget organized by total contractor dollars:

Table 6c. FFY 2023 Budget by Personnel and Contractor Dollars

Vendor Name	FFY 23	FFY 24	FFY 25	FFY 26	FFY 27
AHS	12,231,153	11,631,153	11,631,153	11,631,153	11,631,153
CSG	317,826	317,826	317,826	317,826	317,826
Deloitte	29,537,081	30,188,876	31,071,637	31,071,637	31,071,637
Faulkner (FCG) Ops	1,989,312	1,989,312	1,989,312	1,989,312	1,989,312
Faulkner (FCG) Strategy	656,032	656,032	656,032	656,032	656,032
Knowledge Services	2,142,298	2,142,298	2,142,298	2,142,298	2,142,298
Non-Deloitte Hw/Sw	357,583	393,341	429,100	429,100	429,100
Notice Production	1,313,534	1,339,805	1,366,075	1,366,075	1,366,075
Other M&O	250,000	250,000	250,000	250,000	250,000
State Personnel	12,287,011	13,562,890	13,880,770	13,880,770	13,880,770
TBD	8,222,800	4,397,200	-	-	-
Grand Total	69,304,630	66,868,733	63,734,203	63,734,203	63,734,203

7 COST ALLOCATION PLAN FOR IMPLEMENTATION AND MAINTENANCE ACTIVITIES

Overview of Cost Allocation

Rhode Island's overarching UHIP Cost Allocation Plan to support the maintenance and operations of RIBridges includes the following cost allocation methodology components:

1. Duplicated Recipient Count
2. Medicaid/HSRI/CHIP methodology
3. All excluding HSRI allocation methodology
4. DHS field staff methodology (Random Moment Time Study (RMTS) methodology)
5. AHS Call Action methodology

All of these methodologies will be applied on a federal fiscal year basis.

Duplicated Recipient Count

Beginning Oct 1, 2022, the M&O allocation will be based on the duplicated recipient count seen in the table below, which is based on enrollment counts as of April 30, 2022. Vendors allocated in accordance with this allocation are listed in Attachment E. Note that with only 176 recipients for General Public Assistance and 52 for Refugee Cash Assistance, these programs are not statistically relevant and are at zero percent.

Table 7a. Duplicated Recipient Count Allocation

	FFY2023 - % Allocation					
	Q1	Q2	Q3	Q4		
Duplicate Recipient Count	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep		Enrollment
Medicaid	63.0%	63.0%	63.0%	63.0%		369,718
CHIP	0.6%	0.6%	0.6%	0.6%		3,394
HSRI	5.3%	5.3%	5.3%	5.3%		31,329
SNAP	23.4%	23.4%	23.4%	23.4%		137,409
Childcare	1.0%	1.0%	1.0%	1.0%		5,591
RI Works	1.2%	1.2%	1.2%	1.2%		6,913
General Public Assistance	0.0%	0.0%	0.0%	0.0%		176
SSP- State Supplemental Payment	5.5%	5.5%	5.5%	5.5%		32,483
Refugee Cash Asst.	0.0%	0.0%	0.0%	0.0%		52
Total	100%	100%	100%	100%		587,065

Medicaid/HSRI/CHIP Allocation

The budget for Medicaid/HSRI/CHIP Allocation is for costs assigned to Medicaid, including both CHIP and Non-CHIP Medicaid, and to HSRI for the QHP population. Vendors allocated in accordance with this allocation are listed in Attachment E.

Table 7b. Medicaid/CHIP/HSRI Allocation

| Medicaid/CHIP/HSRI Allocation | FFY2023 - % Allocation | | | | | Enrollment |
	Q1 Oct-Dec	Q2 Jan-Mar	Q3 Apr-Jun	Q4 Jul-Sep		
Medicaid	91.4%	91.4%	91.4%	91.4%		369,718
CHIP	0.8%	0.8%	0.8%	0.8%		3,394
HSRI	7.8%	7.8%	7.8%	7.8%		31,329
Total	100%	100%	100%	100%		404,441

All Excluding HSRI Allocation

This allocation is used for DHS specific work that does not impact HSRI. Vendors allocated in accordance with this allocation are listed in Attachment E.

Table 7c. All Excluding HSRI Allocation

| All Excluding HSRI Allocation | FFY2023 - % Allocation | | | | | Enrollment |
	Q1 Oct-Dec	Q2 Jan-Mar	Q3 Apr-Jun	Q4 Jul-Sep		
Medicaid	66.6%	66.6%	66.6%	66.6%		369,718
CHIP	0.6%	0.6%	0.6%	0.6%		3,394
SNAP	24.7%	24.7%	24.7%	24.7%		137,409
Childcare	1.0%	1.0%	1.0%	1.0%		5,591
RI Works	1.2%	1.2%	1.2%	1.2%		6,913
SSP-State Supplemental Payment	5.9%	5.9%	5.9%	5.9%		32,483
Total	100%	100%	100%	100%		555,508

DHS Field Staff

Prior to considering DHS field staff time for enhanced funding for inclusion in the IAPD-U budget, an assessment is done to determine how staff are spending their time. For staff that work 100 percent on a program such as Medicaid or SNAP, staff will sign attestations to confirm that 100 percent of their work has been dedicated to that program. For staff that work on multiple programs, the State is tracking time and working to identify staff who need to time track as work priorities shift to multiple programs. DHS staff who work with clients within the field offices (Economic Services Division) will participate in a Random Moment Time Study (RMTS) as described below. These values are used for cost allocation of

field staff.

The purpose of this RMTS is to measure the level of effort spent on various activities performed by the Eligibility Technicians (ETs), Social Caseworkers and other DHS field staff included in Attachment D. These staff, who are all State employees, perform program eligibility determination activities on behalf of customers served by the Department of Human Services (DHS). Organizationally, ETs and Social Caseworkers work within the Economic Services Division of DHS. The RMTS allocation is applied to all DHS Field Staff employees including supervisors, clerical and interpreters who do not work 100 percent for a specific program. Field staff hours reported as Medicaid or CHIP are then claimed at 75 percent federal Medicaid and the current CHIP federal administrative rate.

The RMTS is administered using EasyRMTS^{TM}, which is a tool developed by Public Consulting Group, Inc. (PCG). The automated RMTS application was developed to comply with all federal rules and regulations related to cost allocation practices and claiming for reimbursement of federal dollars. The software supports accurate reporting of reimbursable administrative activities, which are generally required by federal approving agencies to be measured through a time study. EasyRMTS^{TM} puts the least administrative burden on staff as possible while allowing users to measure their time and claim appropriately for Federal Financial Participation (FFP). The system allows participants to indicate directly, via a series of survey questions in the software, the activities and programs they are supporting.

Below is the proposed allocation for FFY 2023. Enhanced Medicaid match activities claimed at 75 percent federal share include the following: eligibility determination or redetermination, case updates or changes, case closures or terminations, follow up on conflicts with self-declaration, and performing an *ex-parte* Medicaid determination for those no longer eligible for MAGI Medicaid.

DHS works with PCG on a continuing basis to review and refine the RMTS process to most accurately assign field staff costs to all DHS programs.

Table 7d. DHS Eligibility Support Allocation - October 1, 2022 – September 30, 2023

Program	CCAP	GPA	RIW	SNAP	SSP	Medicaid Enhanced	CHIP	Medicaid Admin	Total
RMTS %	4.66%	3.95%	4.54%	51.40%	1.45%	27.38%	2.29%	4.33%	100.00%

Only the DHS work identified by the RMT study as Medicaid Enhanced and CHIP is considered as part of this OAPD as that is only a portion of the DHS workers time that is eligible for enhanced match.

AHS – Call Action Methodology

The budget for AHS, which is contracted to operate the contact center, is allocated by the previously approved call-action methodology.

Calls (and visits) to the contact center are categorized by Customer Service Representatives (CSRs) through a "call action"-based reporting system. The CSRs report the major activities they conducted on the call/visit. A call/visit may have more than one activity reported.

To allocate calls to Medicaid vs. HSRI that accurately represent level of effort, Rhode Island groups calls into three major categories:
- Primarily Medicaid level of effort: These will be cost allocated to Medicaid

- Equally Split level of effort between Medicaid and QHP: These will be cost allocated 50 percent to Medicaid and 50 percent to QHP
- Primarily QHP level of effort: These will be cost allocated to QHP

Calls that are unable to be classified will not be cost allocated.

Rhode Island will use call activities in the previous time period May 1, 2021 through April 30, 2022 to develop the allocation. Please see the tables below for the proposed allocation methodology and data for FFY 2023.

Table 7e. Call Action Methodology

	FFY2023 - % Allocation			
	Q1	Q2	Q3	Q4
AHS - Call Action	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep
HSRI	17.1%	17.1%	17.1%	17.1%
Medicaid 75%	75.3%	75.3%	75.3%	75.3%
Medicaid 50%	6.9%	6.9%	6.9%	6.9%
CHIP	0.7%	0.7%	0.7%	0.7%
Total	100%	100%	100%	100%

Table 7f. Call Action Data
The Medicaid allocated calls will be allocated to the 50 percent and 75 percent match rates according to the previously approved methodology which is based on call action details are provided in Table 10k.

Year	Month	Equally Split Appeal, Benefits, Plan Selection	Primarily Medicaid Medicaid Application /Eligibility	Primarily QHP Payment and SHOP	Unclassified	TOTAL	Month	Medicaid/QHP Call Allocation Medicaid	QHP	Total Medicaid /QHP	Contact Center BASE Cost Allocation by Medicaid/QHP based on May 2018-April 2019 Calls % Medicaid	% QHP
2021	May-21	3710	16148	2715	3788	26,361	May-21	18,003	4,570	22,573	79.8%	20.2%
2021	Jun-21	3596	16742	2526	4018	26,882	Jun-21	18,540	4,324	22,864	81.1%	18.9%
2021	Jul-21	3646	16280	2734	4631	27,291	Jul-21	18,103	4,557	22,660	79.9%	20.1%
2021	Aug-21	3259	17907	2511	4557	28,234	Aug-21	19,537	4,141	23,677	82.5%	17.5%
2021	Sep-21	2951	18802	2200	4413	28,366	Sep-21	20,278	3,676	23,953	84.7%	15.3%
2021	Oct-21	2678	17196	2173	4245	26,292	Oct-21	18,535	3,512	22,047	84.1%	15.9%
2021	Nov-21	3612	18536	2822	3894	28,864	Nov-21	20,342	4,628	24,970	81.5%	18.5%
2021	Dec-21	4497	19722	2896	4061	31,176	Dec-21	21,971	5,145	27,115	81.0%	19.0%
2022	Jan-22	3938	19064	2361	4585	29,948	Jan-22	21,033	4,330	25,363	82.9%	17.1%
2022	Feb-22	2578	18473	1986	4132	27,169	Feb-22	19,762	3,275	23,037	85.8%	14.2%
2022	Mar-22	2128	19250	2000	3925	27,303	Mar-22	20,314	3,064	23,378	86.9%	13.1%
2022	Apr-22	2306	17014	2054	3946	25,320	Apr-22	18,167	3,207	21,374	85.0%	15.0%
	May 2021-Apr 2022 Average						May 2021-Apr 2022 Average				82.9%	17.1%

Table 7g. Medicaid Matching

Medicaid Matching for Medicaid Allocated Calls				Contact Center BASE Claiming Rate by 75% vs 50% based on May 2021-April 2022 Calls	
	Primarily Medicaid	**Medicaid portion of Equally Split**	**Total Medicaid Allocated**		
Month	**75% Match**	**50% Match**	**Allocated**	**% at 75%**	**% at 50%**
May-21	16,148	1,855	18,003	89.7%	10.3%
Jun-21	16,742	1,798	18,540	90.3%	9.7%
Jul-21	16,280	1,823	18,103	89.9%	10.1%
Aug-21	17,907	1,630	19,537	91.7%	8.3%
Sep-21	18,802	1,476	20,278	92.7%	7.3%
Oct-21	17,196	1,339	18,535	92.8%	7.2%
Nov-21	18,536	1,806	20,342	91.1%	8.9%
Dec-21	19,722	2,249	21,971	89.8%	10.2%
Jan-22	19,064	1,969	21,033	90.6%	9.4%
Feb-22	18,473	1,289	19,762	93.5%	6.5%
Mar-22	19,250	1,064	20,314	94.8%	5.2%
Apr-22	17,014	1,153	18,167	93.7%	6.3%
May 2021-Apr 2022 Average				**91.7%**	**8.3%**

Attachment E provides a breakdown of every FFY 2023 budget line item attributed to one of the allocation methodologies described above.

8 SECURITY, INTERFACE, DISASTER RECOVERY, AND BUSINESS CONTINUITY PLANNING

The State is continuing efforts to advance the UHIP security maturity model in FFY 2022. Security operations support has been transitioned to the Deloitte Security Operations team to partner with the State's oversight team with the start of the 2021 M&O contract. The state has a dedicated ISSO to oversee RIBridges Security Operations.

The enhanced team will continue to leverage industry knowledge of system security components to prevent cybersecurity threats and detect incidents. TrendMicro Deep Security has been implemented and the QRadar SIEM will continue to be enhanced with expanded event detection, new network flows and effectively tuned use cases for high fidelity alerting. In addition, Splunk continues to be leveraged to audit logs of user access to the system.

The Continuous Monitoring Program includes ongoing assessments to scan and test the application, network, and source code with automated software tools and manual testing techniques to identify vulnerabilities. These assessments are performed in production as well as the pre-release environments to prevent security defects released into production.

The State's security policies are in alignment with the NIST Risk Management Framework. Compliance with federal security and privacy guidelines is continuously assessed and corrective action plans are actively tracked for resolution through technical change or process improvement. The deliverables for the 2022 ATC package have been submitted to the CMS portal in July 2022.

RIBridges has a Disaster Recovery site in Sacramento, California. The RIBridges team successfully completed its annual disaster recovery test in September 2021. The test results demonstrated a Recovery Point Objective (RPO) of 5 minutes and Recovery Time Objective (RTO) of 8 hours, far below the respective targets of 15 minutes and 48 hours respectively. Additionally, for this year's test, the scope was expanded to include more realistic business operations including access to the system (hosted on the disaster recovery (DR) environment) via laptop over the internet and including Electronic Benefits Transfer (EBT) card printing. The annual disaster recovery test for this year is currently being planned and is scheduled to be complete by September 2022.

We continuously improve processes to enhance the reporting of interface data discrepancies and to provide relevant diagnostics. This prevents the consumption of incorrect data prior to processing to ensure data integrity. Interfaces are continuously monitored for exceptions. Processes are in place to maintain the key interface partner contacts and procedures to communicate exceptions and assure mitigation of discrepancies before they impact customers. Interface data security is maintained thru secure transport layer security, signed trusted certificates and secure storage.