

# Technology Services Board Portfolio/Policy Subcommittee Meeting

February 13, 2020

10:00 a.m. - Noon



WA • Office of the

**Chief Information Officer**

# AGENDA

TOPIC	LEAD	PURPOSE	TIME
Welcome and Introductions	Jim Weaver	Introductions	10:00
Approve Minutes from 11/11/19 and 01/09/2020 Subcommittee Meetings	Jim Weaver	Approval	10:04
Introduction to New Chief Privacy Officer – Kathryn Ruckle	Sue Langen	Introduction, privacy legislation update	10:05
Project Status – WaTech Mainframe as a Service Project <ul style="list-style-type: none"> <li>• Scott Barringer, Assistant Director &amp; Mainframe Service Owner, WaTech</li> <li>• Carolee Rogers, Business Sponsor, WaTech</li> <li>• Steve Zimmerman, Project Manager, Integrated Solutions Group</li> <li>• Jennifer Rosales, WaTech Transformation Office, Integrated Solutions Group</li> </ul>	Sue Langen Amy Pearson	Project Status	10:30
Project Status – Dept. of Retirement Systems CORE Mainframe Rehosting Project <ul style="list-style-type: none"> <li>• Jay Walsh, Executive Sponsor, DRS</li> <li>• Amy McMahan, Project Director, DRS</li> <li>• Sue Gordon, Project Manager, DRS</li> <li>• Jamie PoVey and Lorena Steele, Quality Assurance, Public Consulting Group</li> </ul>	Sue Langen Amy Pearson	Project Status	10:55
Project Status – Dept. of Social & Health Services Eligibility Services ACES Remediation (ESAR) Project <ul style="list-style-type: none"> <li>• David Stillman, Executive Sponsor, DSHS</li> <li>• Tom Hornburg, Business Sponsor, DSHS</li> <li>• Setty Duddu, Project Manager, DSHS</li> <li>• John Anderson, Quality Assurance, Integrated Solutions Group</li> </ul>	Sue Langen Laura Parma	Project Status	11:20
Public Comment			11:55

# Current TSB Members

## Industry Members

[Butch Leonardson – Retired CIO \(via WebEx\)](#)

Paul Moulton – Costco

## Legislative Members

[Rep. Matt Boehnke – House R \(via WebEx\)](#)

Rep. Zack Hudgins - House D

Sen. Patty Kuderer – Senate D

Sen. Ann Rivers – Senate R

## Executive Branch (Agency Directors)

[Jim Weaver – State CIO & Chair](#)

David Danner – UTC

[Tracy Guerin – DRS \(via WebEx\)](#)

Vikki Smith – DOR

## Other Government

[Viggo Forde – Snohomish County](#)

[Members present](#)

Members absent

# Welcome/Introductions/Approve 11/14/19 & 01/09/20 Minutes

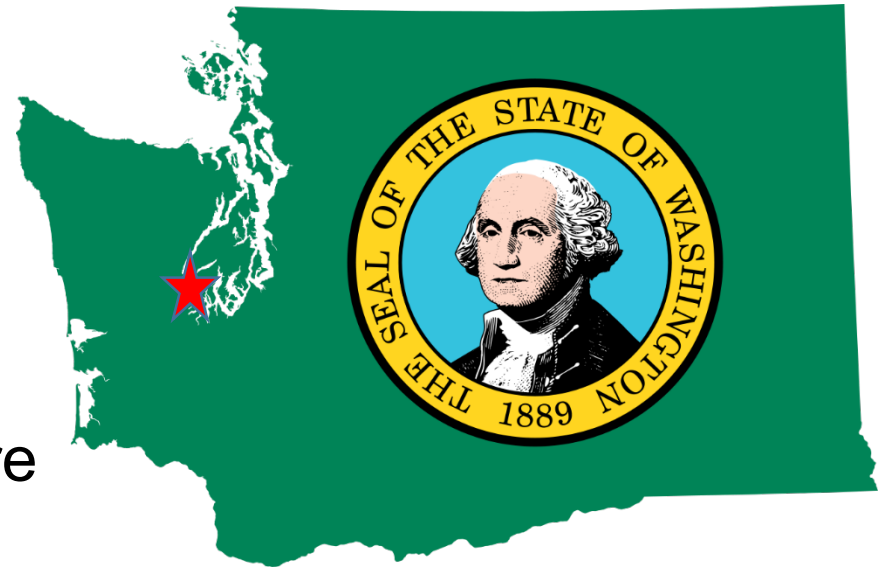
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# Chief Privacy Officer – Kathryn Ruckle

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# Katy's Background

- WWU/WUCL
- Admitted to WSBA 2005
- Started with state in 2006
  - Contracts/procurement and healthcare



# Office of Privacy and Data Protection

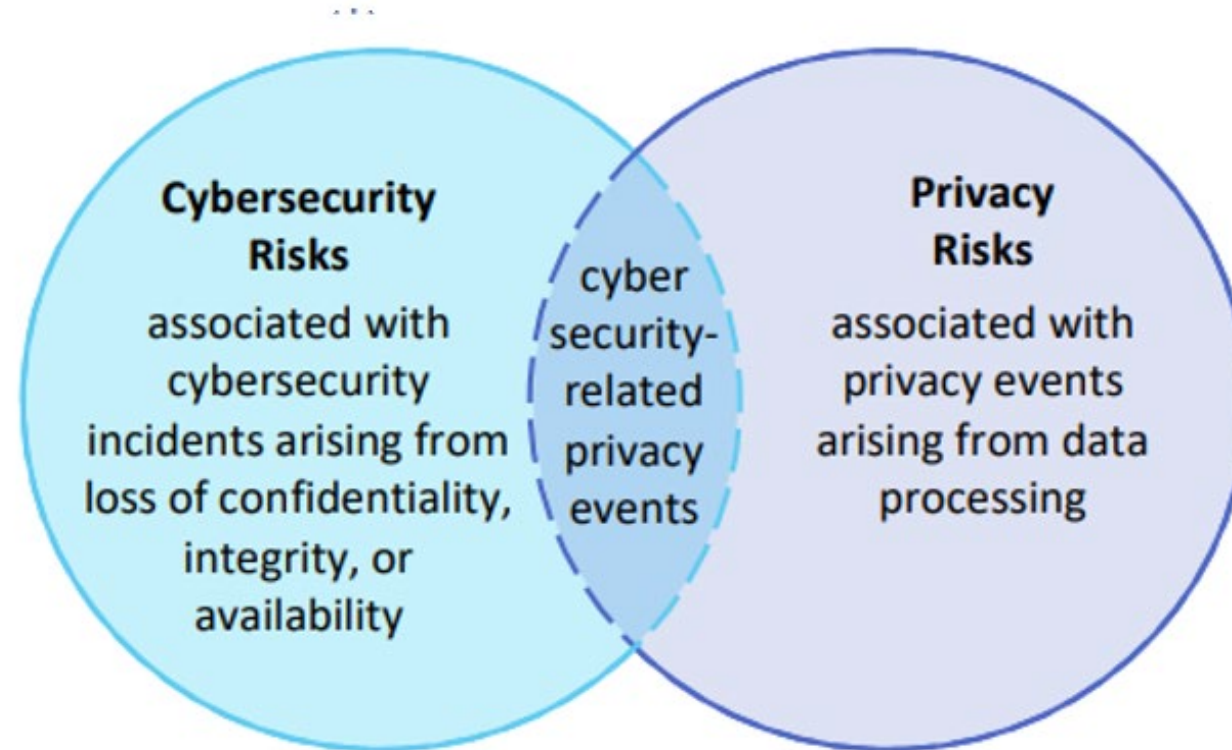
- Created in [RCW 43.105.369](#)
- Located in the Washington State Office of the Chief Information Officer



- Serve as a central point-of-contact for state agencies on policy matters involving data privacy and data protection
- Serve as a resource to local governments and the public on data privacy and protection concerns
- Conduct an annual state privacy review
- Conduct an annual privacy training for state agencies and employees
- Articulate privacy principles and best practices
- Coordinate data protection in cooperation with state agencies
- Review of major state agency projects involving PII
- Promote best practices for the collection and storage of PII
- Educating consumers about the use of PII on mobile and digital networks
- Submit to the legislature a report every four years measuring: Training, coordination, implementation of data protection measures, consumer education efforts



# Cybersecurity Relationship to Privacy



# 2020 Privacy Legislation

- **Privacy Rights bills**
- **Public Records related bills**
- **Consumer technology related bills**
- **Biometric related bills**
- **Facial Recognition**
- **Artificial Intelligence**
- **State agency impacts**



# Privacy Rights bills

- **SB 6281/ HB 2742** – Washington Privacy Act
- **HB 2364** – Charter of Personal Data Rights
- **HB 2759** – Data Bill of Rights
- **HB 1503** - Concerning registration and consumer protection obligations of data brokers



# Washington Privacy Act



- **SB 6281/ HB 2742 – Washington Privacy Act**
- Grants consumer rights:
  - Access, correction, deletion, data portability, and opt out to targeted advertising, sale of personal data, and profiling
- Provides exemptions for currently regulated information:
  - HIPAA, Common Rule, FCRA, Gramm-Leach-Bliley, Federal Driver's Privacy Protection Act, FERPA, Federal Farm Credit Act, employment records, COPPA

# Privacy Rights Bills

## Charter of personal data rights

### HB 2364

- Only applies to businesses
- Defines personal data
- “Answer” to WPA re:
  - Rights
  - Corporate Responsibility
  - Enforcement
  - Narrow exemptions

## Bill of data rights

### HB 2759

- Applies to business and government
- Does not define personal data
- States a consumer retains “ownership” rights in personal data
- Long list of rights re processing of data

# Public Records related bills



- **HB 1888/SB 6666** – DOB bill
- **SB 6187** – modifying data breach notification law (last four of SSN)
- **HB 2484** – Sunshine committee bill re juvenile records
- **SB 6431** – exempting personal demographic details of state employees from public disclosure
- **SB 5246** – Sunshine committee omnibus bill
- **SB 6070** – SUD treatment data disclosures
- **SB 6233** – E'ee personnel record release data
- **SB 6499** - Confidentiality of DRS records relating to health information

# Consumer technology related bills

- **HB 2365** – “Mr. Yuk” data transmission sticker bill
- **HB 2399** – connected devices with voice recognition feature
- **HB 2442** – Advertising on apps directed on at minors



# Biometric related bills

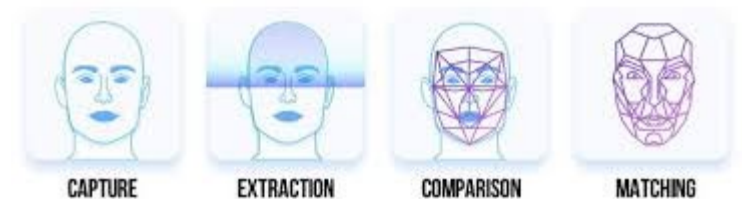


- **HB 2363** – Remedies for violations of biometric data ownership/privacy rights
- **HB 2485** – Concerning the collection, use, and disclosure of genetic data by direct-to-consumer genetic testing companies  
Regulates commercial bio firms (ancestry.com; 23&me, etc.)



# Facial Recognition

- **SB 6280** - Use of Facial Recognition – specific to public sector
- **HB 2856** – Moratorium on Facial Recognition



# Artificial Intelligence



- **HB 2644** – AI enabled profiling
- **HB 2401** – Use of AI in job applications
- **HB 2396** – bot communications on public internet sites

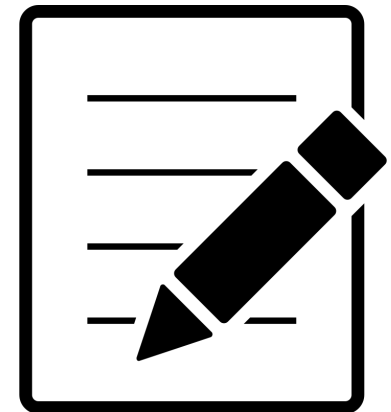
## Misc. Other –

- **HB 2366** – Chief Privacy Officer is an elected position [2024]
- **HB 2414** – Digital equity



# State agency impacts

- **HB 2400** - Privacy assessment surveys
- **SB 5377** Concerning sales and data governance



- Assist agencies without a privacy program with developing one
- Work with agencies with privacy programs to review what they have and what may be needed
- Develop and implement privacy training
  - SHB 1071 – 42.56.590 - effective March 1, 2020
  - ESSSB 5497 – Model Policies from AGO due in May 2020 – compliance by Dec 1, 2021
- Build capacity within the Office of Privacy and Data Protection

# Thank you

# Questions?

# Project Update – Mainframe as a Service (MFaaS)

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# Agenda

- Introductions
- Background
- Expected Outcomes
- Approach
- Governance
- Current Status
- Expected Benefits
- Lessons Learned

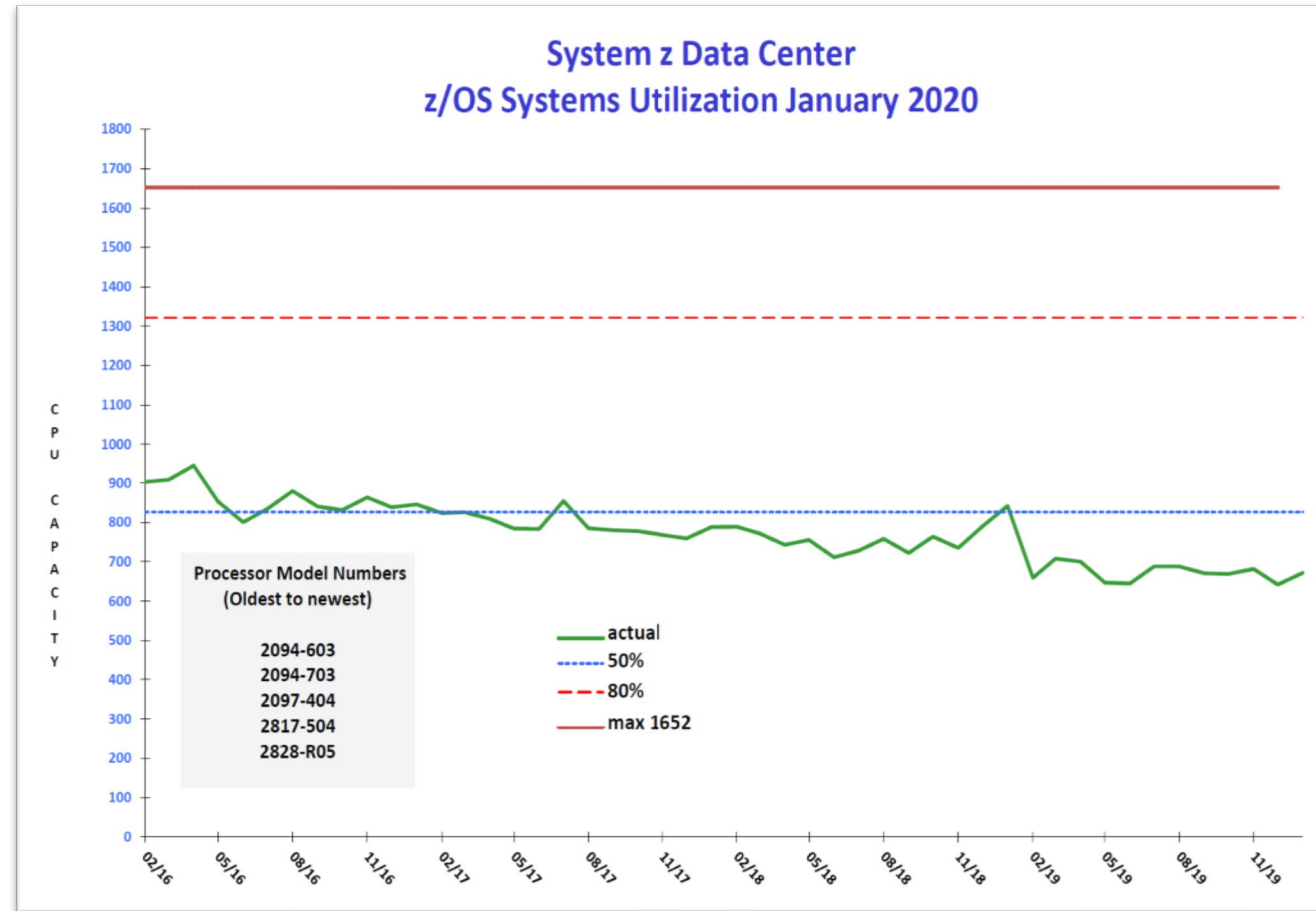


## Introductions

- Scott Barringer, Mainframe Service Owner
- Carolee Rogers, Project Business Sponsor
- Steve Zimmerman, Project Manager
- Jennifer Rosales, WaTech Transformation Office

# Background

- DCYF, DES, DNR, DRS, DSHS, HCA, ECY, ESD, LNI, OFM all leverage the WaTech Mainframe
  - State financials, State Workers comp; Provider payments
- HW is approaching End of Life; current OS cannot be upgraded
- Current MF is only 50% utilized and Agency demand is decreasing



## Expected Outcomes

- Expert vendor partner
- Stable, reliable environment for 7-10 years
- Infrastructure shift with minimal application impact
- Financially viable
- Broker model, consumption-based

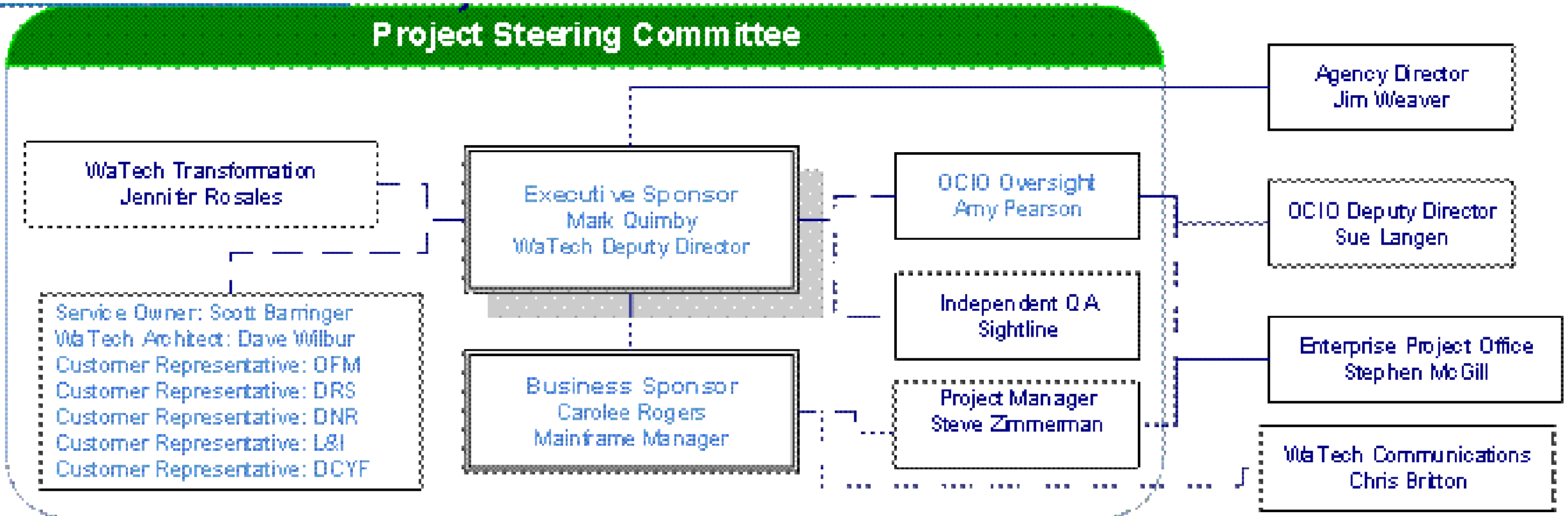
# Approach

- Competitively procure Mainframe as a Service solution
- Updated RFP was released December 23, 2019
- **Ensono Inc. was announced as ASV on January 28, 2020**

Major Milestones (Description)	Estimated Finish	Actual Finish
Charter Complete	12/10/2019	1/9/2020
ASV Announced	1/28/2020	1/28/2020
Vendor Engagement	2/10/2020	2/11/2020
Finalize contract	4/15/2020	
Craft and communicate High level project plan	4/30/2020	

# Governance

## Project Steering Committee



## Current Status

Priority	ITPA Score	Scope	Schedule	Budget	OCIO Assess.
HIGH	48	G	Y	Y	Y

- Investment Plan is in final draft with OCIO
- Monthly Steering Committee and Customer meetings
- Contract finalization in April 2020
- The first deliverable will be a High-Level project plan

## Expected Benefits

- Scale
- Maintenance and upgrades
- Continuity
- Predictable costs
- Support

RFP responses indicate objectives can be achieved

✓ Infrastructure shift with minimal impact

✓ Financially viable

## ▶ Lessons learned from 2013 move to Jefferson

- Mainframe configuration errors during IPL cutover
  - Validate configuration and test system thoroughly.
- System performance degraded
  - Ensure latest maintenance is applied to the system. Validate data paths are balanced.
- Acceptance Checklist
  - Well defined checklists for each state of testing. This provided clear evidence the test cycles were completed before moving to the next phase of testing. Similar checklist were used to move from the development to the production environment and then to the “Go Live” state.





# Questions

- Thank you

# Project Update – Mainframe Rehosting

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# Mainframe Rehosting Project

Technology Services Board  
Portfolio/Policy Subcommittee

Feb. 13, 2020

# INTRODUCTIONS

Jay Walsh

Project Sponsor

Amy  
McMahan

Project Director

Sue Gordon

Project Manager

Jamie PoVey  
Lorena Steele

External Quality Assurance  
Public Consulting Group

# PRESENTATION OVERVIEW

ABOUT DRS	MODERNIZATION: CORE PROGRAM	GOALS
STATUS	RISKS	ISSUE
LESSONS LEARNED	QUALITY ASSURANCE	QUESTIONS





# Promoting retirement security for Washington's public employees

**15** plans in 8 retirement systems serving state and local government employees

**\$5.6 Billion** in benefit payments, with almost 90% paid in-state

**\$4.6 Billion** in contributions from members and employers

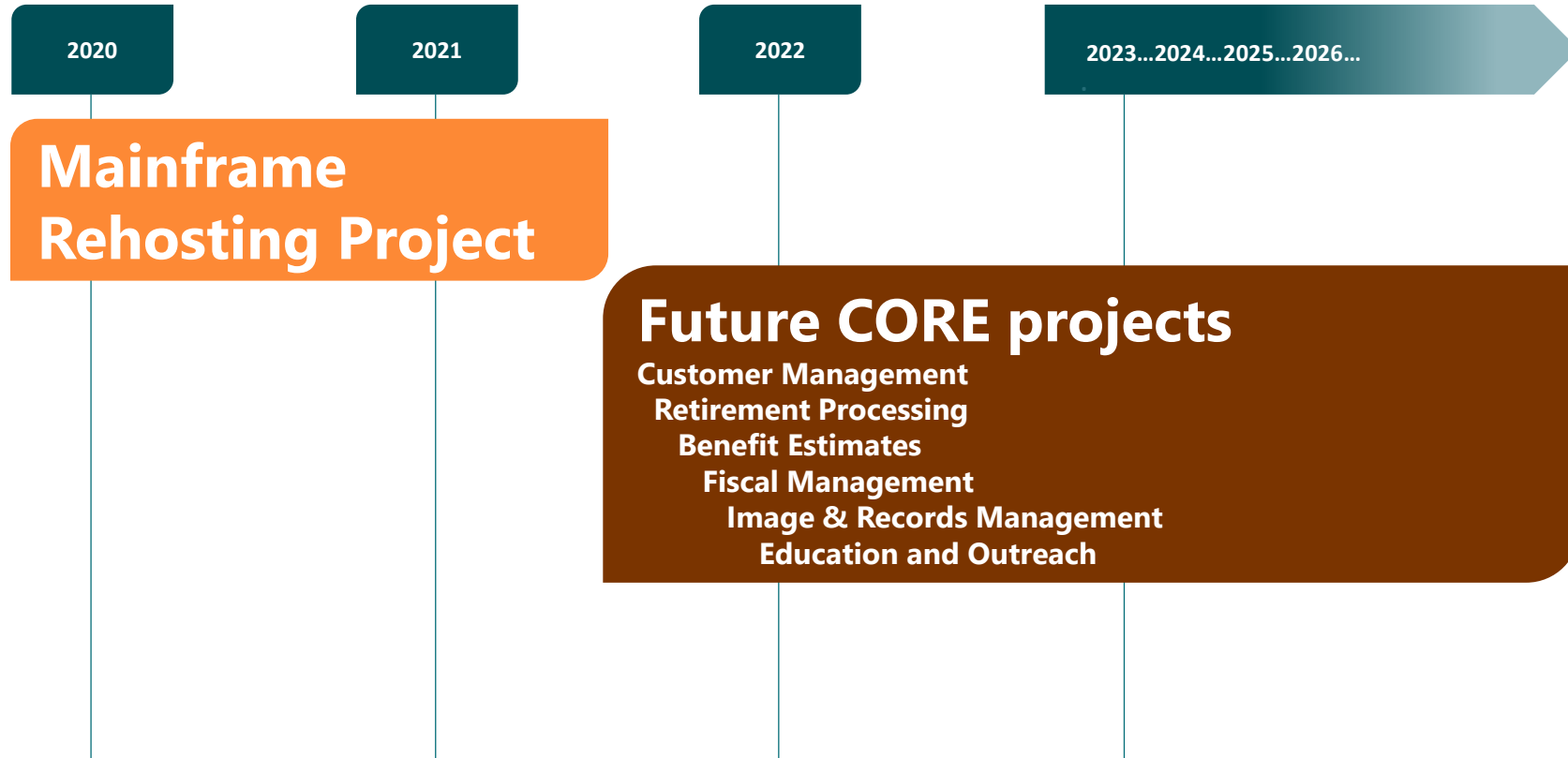
**197,000** retirees and beneficiaries receiving monthly benefit payments

**335,000** active members working and contributing to the plans

**5<sup>th</sup>** most complex retirement system in North America

# CORE

Creating an Outstanding Retirement Experience



# MAINFRAME REHOSTING GOALS

## **Migrate legacy systems to the cloud**

- Scalability and agility
- Disaster recovery
- Security tools

## **Prepare a hosting environment that supports service oriented, layered architecture**

- Reusable scalable components
- Increases portability to modern languages

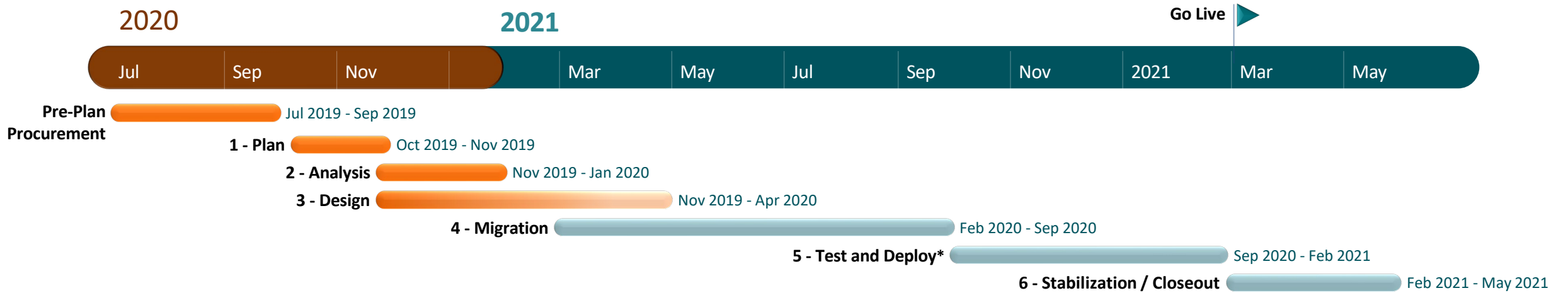
## **Eliminate dependency on multiple legacy languages**

## **Redirect mainframe costs to modern technology**





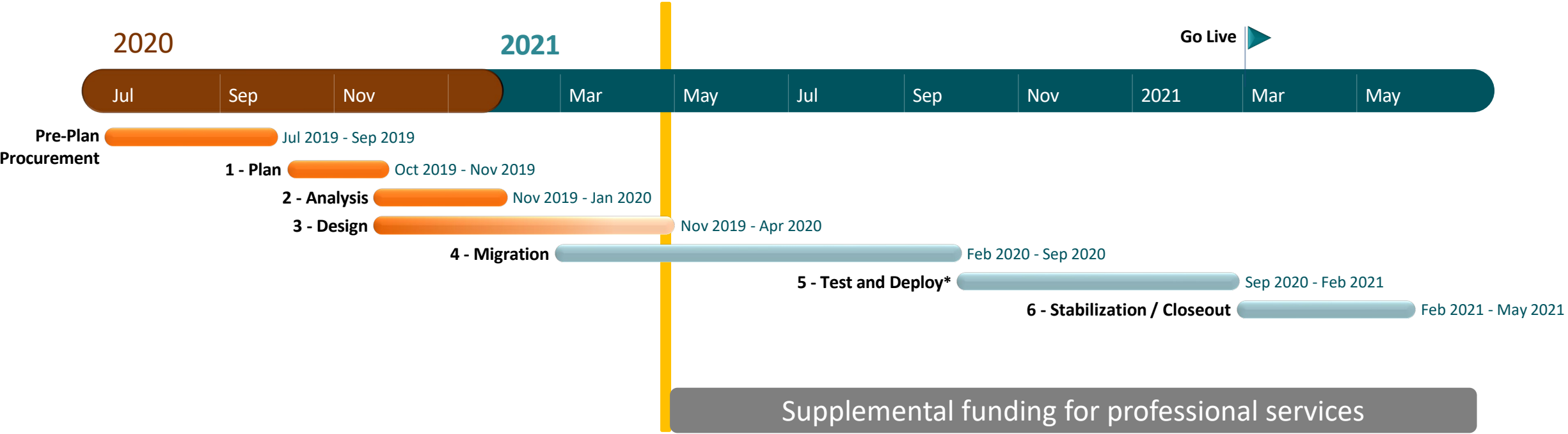
# STATUS



# RISKS

		Severity				
		<i>Insignificant</i>	<i>Minor</i>	<i>Moderate</i>	<i>Significant</i>	<i>Critical</i>
<b>Likelihood</b>	<i>Very Low</i>	Low 1		Low 2		
	<i>Low</i>	Low 1	Low 12	Medium 6	Medium 5	
	<i>Medium</i>		Medium 2	Medium 7		
	<i>High</i>		Medium 2	High 1		
	<i>Very High</i>					

# OPEN ISSUE: PROJECT BUDGET



## KEY LESSONS TO DATE


**Budget  
development**




**Conduct  
pre-assessments  
during procurement**

**Manage  
organizational  
change**

**Find  
great  
partners**

# Mainframe Rehosting Project – QA/TQR – Trending Status

Mainframe Rehosting Project Status	
Project status	<b>Medium</b> 
<p>PCG is tracking only 1 significant risk around the project's funding. Although \$6M was included for in the Governor's budget released on December 18, 2019, It's still pending Senate decision. If not passed by the Senate then the project may need to shut-down at the end of Phase 3.</p> <p><b>Total Findings</b></p> <ul style="list-style-type: none"> <li>Risks: 3                             <ul style="list-style-type: none"> <li>High = 1</li> <li>Low = 2</li> </ul> </li> <li>Preliminary Concerns: 2</li> </ul>	

QA Status Assessment Legend		
	Green - Poses the least risk to project success and can generally be considered near-free of risks to quality, scope, cost and/or schedule.	
	Yellow – Poses a moderate risk to project success with some products or processes that present risk resulting in deficient quality, scope, cost or schedule.	
	Red – Poses significant risk to project success with respect to the project quality, scope, cost, and/or schedule and should be given immediate attention.	
To easily track status changes between the current and former reporting periods, the following symbols will be added to the priority status rating.		
 Indicates the risk status has <b>increased</b> (worsened) since the last reporting period.	 Indicates the status has been <b>decreased</b> (in severity) since the last reporting period.	 Indicates the status has <b>not changed</b> since the last reporting period.

ID	Assessment Category	Monthly Trending Status			
		October 2019	November 2019	December 2019	January 2020
5.1	Integration Management	↔	↓	↔	↑
5.2	Scope Management	↔	↔	↓	↔
5.3	Schedule Management	↔	↓	↔	↔
5.4	Cost Management	↔	↔	↔	↔
5.5	Quality Management	↔	↔	↔	↑
5.6	Human Resource Management	↔	↔	↔	↑
5.7	Communications Management	↔	↓	↔	↔
5.8	Risk Management	↔	↓	↔	↔
5.9	Procurement Management	↓	↑	↓	↔
5.10	Stakeholder Management	↔	↔	↓	↔

QUESTIONS?



# Project Update – Mainframe Rehosting

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# ESAR Project Overview

Eligibility Service and ACES Remediation (ESAR)

Mainframe Re-hosting

02/13/2020



# Agenda

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Brief history of Automated Client Eligibility System (ACES)

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ACES by the numbers

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ESAR Project – tracks/timelines

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ESAR Mainframe Re-hosting Project

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Value of Re-hosting

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High-level Milestones

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Current Status

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Major Issues

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Major Risks

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Lessons Learned

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QA status review

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ACES provides:

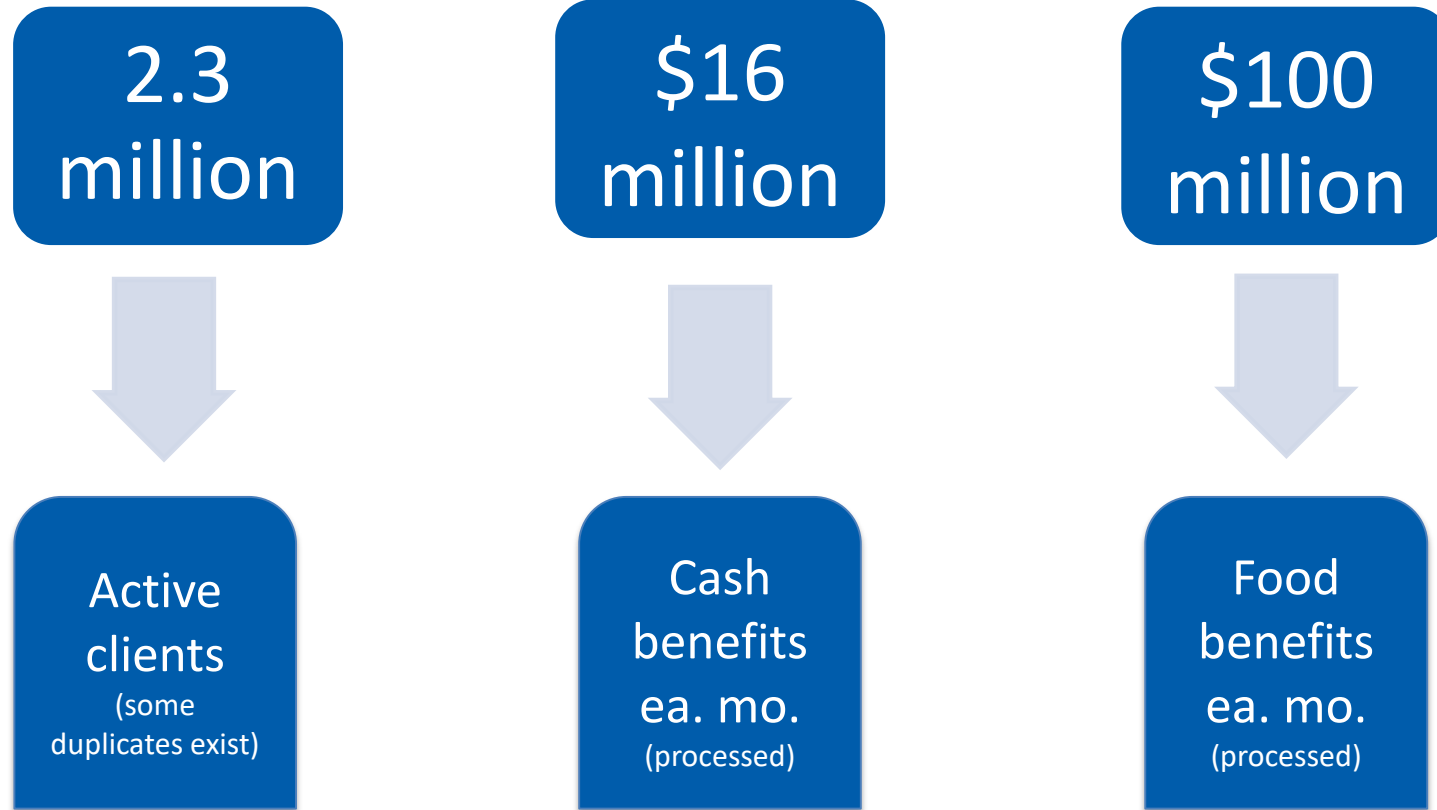
- Integrated risk and impact system
- Case management
- Payment processing
- Accounting
- Client correspondence
- Automated welfare eligibility determination for all cash, food, and medical programs.

ACES suite of applications is complex and is the basis for:

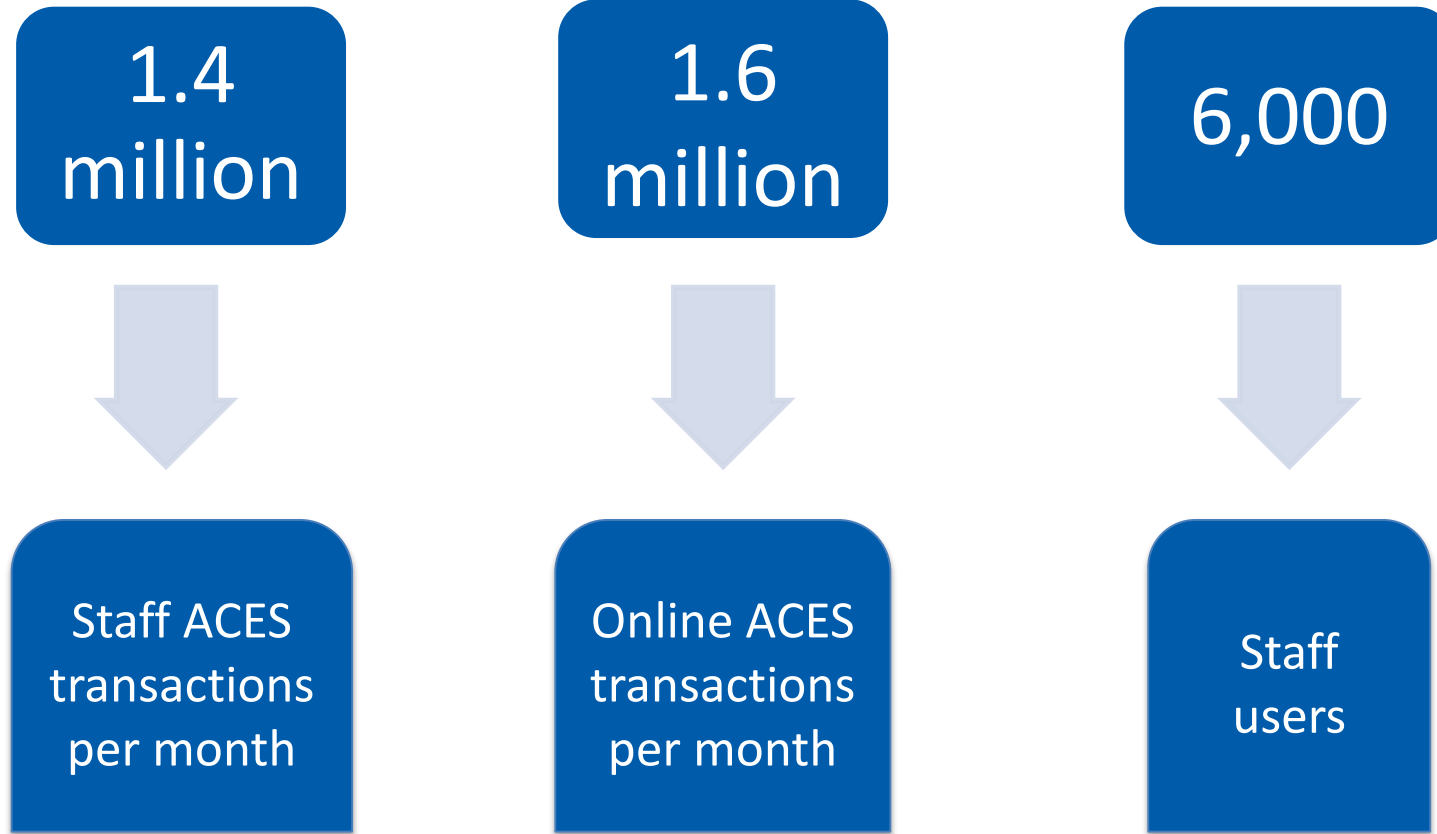
- ACES
- ACES Online
- ACES 3G
- Washington Connection
- the Eligibility Service

ACES interfaces with many state and federal agencies.

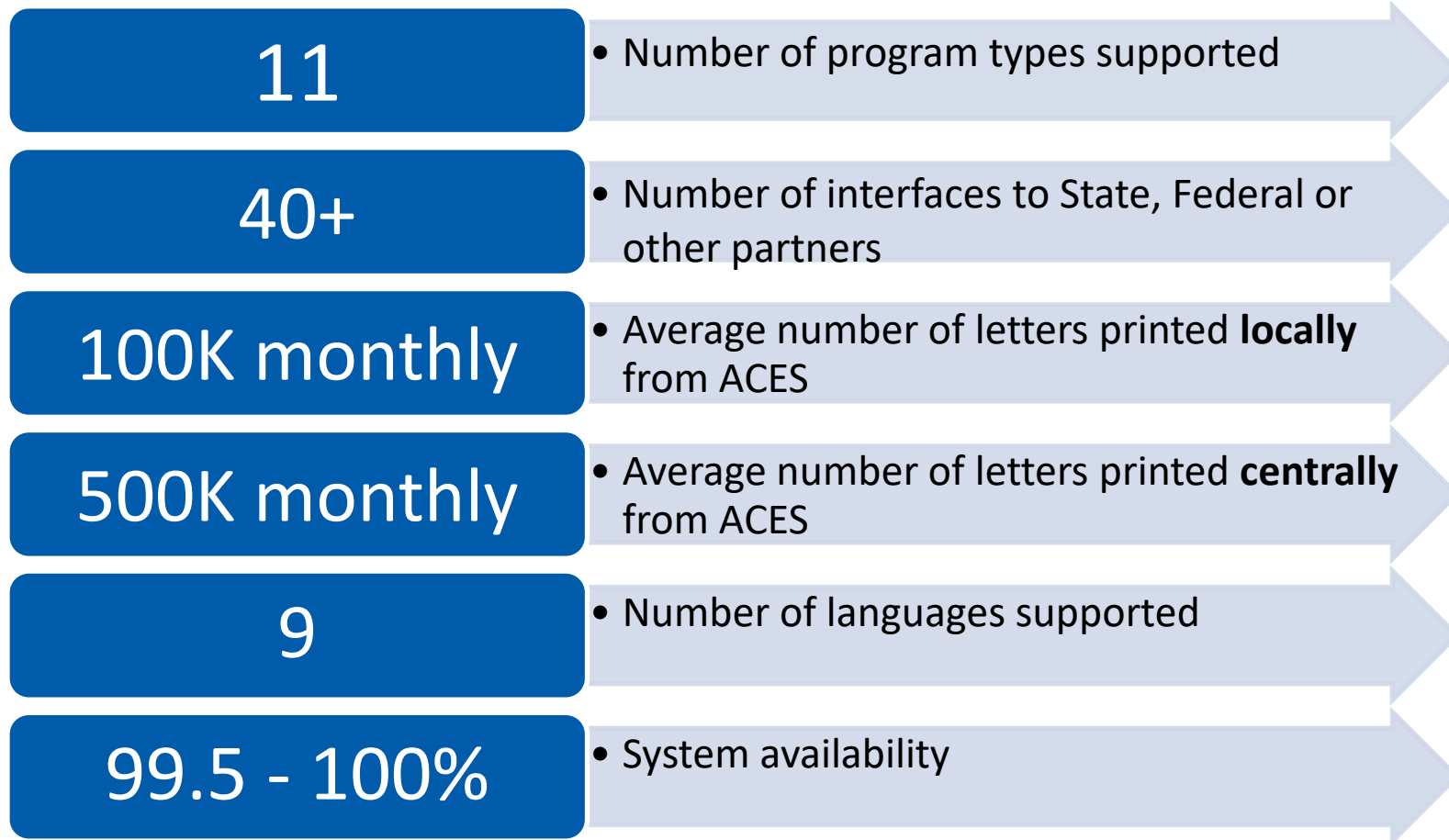
# ACES by Numbers



# ACES by Numbers



# ACES by Numbers



# ESAR Project Tracks & Timelines



**Application Lifecycle Management (ALM) | Feb 2017 – Jun 2018**  
Create reusable requirements with improved traceability.



**Data Reduction | May 2017 - Apr 2019**  
Reduce the inventory of reports and data to minimize potential security exposure as well as the effort for other ESAR project tracks.



**Mainframe Rehosting | Jan 2019 - Dec 2020**  
Reduce the dependency on legacy mainframe technologies; make the system more adaptable to future modernization.



**Database Modernization | Jul 2017 - Cancelled**  
Provide a new normalized relational database and related code changes to the ACES complex.



**Eligibility Rules Migration (ERM) | Not Started**  
Provide a single, integrated Business Rules Management System (BRMS) that includes all eligibility decisions allowing for faster and more accurate changes to the system.

# What is ESAR Mainframe Re-hosting?

A "lift and shift" from a mainframe to a modern, open platform hosting all components of ACES system

# Value of Re-hosting

- Business Value
  - Effectively and Efficiently provide products and services to the business, allowing multiple paths to production
- Resources
  - Expands the available technical resource pool
- Modernization
  - Delivers an established platform for evolving technologies such as cloud computing, mobility and virtualization



# High-level Milestones

## Current Baseline Schedule

\*Project end date could change based on resolutions for current issues

Milestone	Date
Vendor On-board	01/02/2019
Discovery sessions	03/01/2019
Technical Assessment	06/30/2019
Unit Testing	01/31/2020
Hardware installation and Configuration	02/10/2020
System and Parallel Testing	03/20/2020
Training the staff	04/28/2020
User Acceptance Testing	05/29/2020
DSHS certified production ready	06/19/2020
Go-Live	07/11/2020
Post Implementation support	01/19/2021

# Current Status

- Completed
  - Hardware installed and configured in the State Data Center (SDC)
  - 19 of 47 deliverables
  - 50% of unit testing in Re-hosted platform
- Not yet completed
  - System and Parallel testing slated to begin 12/16/2019 with a completion in March 2020 but has not started

# Major Issues

- Printing solution
  - Delays in vendor solutions in identifying a usable printing product
- Database migration
  - Technical challenges delaying start of system and parallel testing

## Major Risks

- Disaster Recovery plan
  - If not in place, business will not approve Go-Live
- Security plan
  - Office Cyber Security (OCS) approval of security plan
- Test information
  - Obtaining test information from interface partners

## Lessons Learned

- Use work stream level management
- Create deliverable management process
- Engage change management
- Perform regular project status review with vendor
- Have key vendor resources on-site

# Lessons Learned

- System documentation impacts timelines
- SME resources improves project success
- Deliverables tied to contract payments
- Address technical details early
- Vendor communication

# QA Status Review

Management Category	Impact Trending	July 2019 Assessment	Aug 2019 Assessment	Sept 2019 Assessment	Oct 2019 Assessment	Nov 2019 Assessment	Dec 2019 Assessment	Jan 2020 Assessment
Overall Score	↑	4.5	4.2	4.2	4.0	4.0	4.1	5.6
1.0 Integration	↑	6.0	5.0	5.0	4.0	3.0	3.0	4.0
2.0 Scope	↑	5.0	5.0	5.0	5.0	5.0	4.0	6.0
3.0 Schedule	↑	5.0	5.0	5.0	4.0	5.0	7.0	9.0
4.0 Cost	↑	5.0	5.0	4.0	3.0	3.0	3.0	5.0
5.0 Quality	=	4.0	4.0	5.0	5.0	6.0	6.0	6.0
6.0 Resource	↑	5.0	4.0	4.0	4.0	5.0	5.0	6.0
7.0 Communication	↑	4.0	4.0	4.0	5.0	4.0	4.0	5.0
8.0 Risk	=	4.0	3.0	3.0	3.0	3.0	3.0	3.0
9.0 Procurement	↑	4.0	4.0	4.0	4.0	3.0	3.0	4.0
10.0 Stakeholder	↑	3.0	3.0	3.0	3.0	3.0	3.0	4.0

Transforming  
Lives

# Questions?



# Public Comment

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