**NOTE TAKEN BY: DANIEL BENNER**

**Meeting Title:**Specialty Pharmacy Accounts Receivable System (SPARCS) Modernization Audit - Introductions

**Meeting Date:**3/9/2021 9:00 AM

**Location:**WebEx

**Link to Outlook Item:**[*click here*](onenote:outlook?folder=Calendar&entryid=000000005E04322D29A3A84197CA53A4C39454ED0700EAE4D0696F1FC04492BD575495C7744B00000000010D0000EAE4D0696F1FC04492BD575495C7744B000000018F500000)

**Invitation Message**

**Participants**

 [Vazquez, Sol](mailto:VazquezS2@AETNA.com)(Meeting Organizer) - attended

 [Schlater, Todd J.](mailto:Todd.Schlater@CVSHealth.com" \t "_blank)(Accepted in Outlook) - attended

 [Iyke, Bennita](mailto:Abhadebennita.Iyke@CVSHealth.com" \t "_blank) – did not attend

 [Secemski, Cynthia](mailto:Cynthia.Secemski@CVSHealth.com" \t "_blank)(Accepted in Outlook) - attended

 [Bavasso, Michael Herbert](mailto:BavassoM@aetna.com" \t "_blank)(Accepted in Outlook) - attended

 [Braun, Maria](mailto:BraunM2@aetna.com)(Accepted in Outlook) - attended

 [Mafi, oluwaseyi E](mailto:oluwaseyi.Mafi@CVSHealth.com)(Accepted in Outlook) - attended

 [Benner, Daniel](mailto:Daniel.Benner@CVSHealth.com) - attended

 [Godfrey, Joshua L.](mailto:Joshua.Godfrey@CVSHealth.com)(Accepted in Outlook) – did not attend

 [Atkin, Lynn](mailto:AtkinL@aetna.com)(Accepted in Outlook) - attended

 [Dasilva, Bolaji G](mailto:Bolaji.Dasilva@CVSHealth.com)(Accepted in Outlook) - attended

 + Matthew Heck - attended

Introduction:

* Need Matthew Heck on call - manager of SPARCS application
* SPARCS modernization targeted to be completed mid-March 2022
* Modernization effort to OracleRAC 19C - Todd Schlater
* No roadmap to replace the SPARCS UI- so it will upgrade the current version to 19C
* Introduce both teams
* Todd Schlater (not the project owner)
* Cynthia- VPPOC for compliance activity - add as additional preparer to all data requests
* Bolaji- VPPOC for the PBM space
* Matthew Heck- development manager, A/R specialty
* Bennita Lyke - Director
* High-level audit strategy
* Review back end technology supporting the SPARCS system to determine if a strategy is in place to manage aging IT infrastructure and accelerate modernization efforts
* They are building out the OracleRAC right now
* Failovers will happen once its fully built out
* Currently building out OracleRAC to update the database from a single instance 12c to a 19c database
* Minimizes downtime
* Better product for the customers
* Go live March/ April 2022
* Initial Request
* Aging infrastructure strategy relative to SPARCS
* Data flow diagram (via AuditBoard)

**NOTE TAKEN BY: SEUN MAFI**

**SPECIALITY PHARMACY ACCOUNTS RECEIVABLE SYSTEM (SPARCS MODERNIZATION AUDIT)**

**Meeting Held** on 03/09/2021

**Meeting Location**: WebEx

**Meeting Participants**: Vazquez Sol, Schlater Todd, Iyke Bennita, Secemski Cynthia, Bavasso Michael, Braun Maria, Mafi Oluwaseyi, Benner Daniel, Godfrey Joshua, Atkin Lynn, Dasilva Bolaji

AGENDA

* Is SPARCS going to be upgraded? What is the business planning to do?
* Matt: They will be looking to do an upgrade to the current version. V19c
* Sol: Key activities, updating the UI, and change management? Who are our key players, individuals we (IT) will be working with? These are the reasons for our first introductory meeting. Note: Lynn is our senior director who will all report to.

* What are your responsibilities as it relates to modernization efforts?
* Todd: I am a high level senior on the project. We are moving SPARCS from a single instance to an oracle rack base. Testing out the application to see how it works. Projecting to have SPARCS up and running by end of Q1 beginning or Q2. Looking to have the racks up and running as well.
* Sol: What are the polices around Sunsetting application?
* Todd: HPSF application ill be sunsetted. The current version is not compatible with v19C or the oracle rack. Goal is to move the dependency of HPSF

POINTS OF CONTACT

* **Cynthia:**Point of contact, and asked to be an additional preparer.
* **Bolaji:** VP-POC for the PBM space. Reports directly to Godfrey. Asked to be included in emails and Auditboard request. Covers all 4 towers of PBM and also for escalation.
* **Matt Heck**: One of the Application Developers. Accounts receivable side of specialty.

NEXT STEPS

* Sol: Information gathering session will be all through the month of March. We are looking to end this Audit sometime in Mid-June. Any concerns around this timing?
* Todd: He will be on PTO Last week of June.

According to business, they are building out the oracle rack now. Once the rack is completed, progress will begin for testing process to spill over.

* Michael: At this point, is there an architecture design in place for the oracle rack build out.
* Todd: Yes, we have one. We can get people involved with the conversations etc.
* Todd: The current estimated release is March/April 2022. Building PSC environment to oracle rack from 12c database to 19c database to make them much HA higher process to grow vertically over time. Once it is up and running, a post-production effort will take place. We are looking at what tables we can partition and also looking at tables we do not need anymore;  hence making the overall footprint smaller.
* Todd: The goal is to have Oracle v19c fully build out. More of a Mar timeframe release for the update. Overall, it is switching from a single instance database to an Oracle rack database.

IMPACT

* The overall product will be a better experience for customers, making updates and downtown a lot less than currently in operation.

**NOTE TAKEN BY: MARIA BRAUN**

Specialty Pharmacy Accounts Receivable Collection System (SPARCS) – Audit   #21122

Preliminary Strategy = “*Review back end technology supporting the SPARCS system to determine if a strategy is in place to manage aging IT infrastructure and accelerate modernization efforts.*“

During this meeting we will discuss the materials that are available to us review as part of background due diligence, and we will discuss and assign current tasks in preparation for our information gathering meetings and kick-off.

\*\*\*\*  Questions:

Who will be the SMEs and POCs?

Was SPARCS internally or externally (with vendor) built?

* What type of system or technology is this built on?
* When was the system initially implemented?   November 2013?
* Provide us with a data flow diagram or architectural design.
* If vendor built, do vendors still have access to this system?
* Do vendors support this system today?

Can data be processed manually in SPARCS?

* Are there any validation checks if so?

What are the business expectations for SPARCS?

Are there any “modernization efforts” as it pertains to SPARCS?

* Are there any concerns with the applications functionality?
* Are there any major changes currently being discussed for SPARCS?
* Is there a sunset date for SPARCS?
* If applicable, does this modernization include hardware and/or software?
* Why does SPARCS need to be updated?
* Is there a risk plan or operational plan driving this project?

What is the volume of transaction for SPARCS?

What is a typical cost of a specialty pharmacy med?

Security:

What is the patching cadence?

Patch and software security reporting???

Currency of software???

What type of security with upstream and downstream movement?

Does any data go external to CVS Health (ie… SPRx)?

API usage?

Access approvals.

Data integrity controls?

Sunset considerations?

If they are planning to go the cloud route - Cloud governance? Is there a process for migrating to the cloud

Change Management:

Is there any batch processing of claims?

How many upgrades were made to the system?

**NOTE TAKEN BY: MICHAEL H. BAVASSO**

Specialty Pharmacy Accounts Receivable Collection System (SPARCS) – Audit   #21122

Preliminary Strategy = “*Review back end technology supporting the SPARCS system to determine if a strategy is in place to manage aging IT infrastructure and accelerate modernization efforts.*“

IA is currently underway with planning activities for the SPARCS Modernization Audit and would like to connect with you to discuss the following:

* Introduce both teams:
* **Sol Vasquez** introduced herself as the oversight. This audit will be on SPARCS and not SPRx.  This audit was based on Risk Monitoring. IA is looking to discuss what modernization is taking place.  The initial request will come from AuditBoard.
* **Michael Bavasso** will be the Audit Project lead.
* **Lynn Atkin** is the Audit Director responsible for communicating with senior leadership. Lynn – Todd came from Roselin and Ajoy to lead the effort. Right now we are planning.  Todd = can be discussed now but RAC is being brought on over the next few weeks.  Roselin is a proponent of IA reviewing design.
* **Todd Schlater** – The project owner taking a single instance to a multiple instance OracleRAC.  Looking to have a deployment going thru 2022.  HPS is being sunset while this happens. HPS is used for dispensing because it is not compatible with RAC 19.  Will request a Dataflow diagram via AuditBoard.  Todd, currently in the process of taking SPARCS modernization of Oracle forms.  The database will be put in OracleRAC 19c.
* **Cynthia Secemski** is the POC for Specialty Pharmacy. Include on requests.
* **Bolaji Dasilva** is a POC for the PBM space.  Please include on e-mails and AB requests.
* **Matt Heck** is one of the development Managers and owner of SPARCS focusing on the Accounts Receivable side.
* **Bennita lyke** - is the Director and boss for Todd and Matt.

* High-level audit strategy Review back end technology supporting the SPARCS system to determine if a strategy is in place to manage aging IT infrastructure and accelerate modernization efforts.
* **Todd** – the Modernization is a 2021 to March/April 2022 to build out OracleRAC which is an update to the database from a single instance (12c) to a 19c database for a better long term growth and to minimize downtime, etc.  Team will look to transition over to the OracleRAC.  Right now will be partitioning.  This is to sunset the HPS application as it is not compatible with the OracleRAC.  Once the project is stable in QA/Dev then end to end tests will be complete.  This will be scalable.  Multiple databases will be in place.

* Confirmed any other key point of contacts and audit liaison:
* Those on this meeting with Bennita and the POCs
* Audit estimate start and end time
* Kickoff will begin the first or second week of April.  IA will share the scope which will be shared with the VPs.  By mid June the audit will be concluded.
* Any concerns on timing.  Todd will be on PTO the end of June.  All findings will be communicated be the end of the audit.

* Align on high-level risks and any concerns that you might have
* **Matt**= There is no roadmap to replace SPARCS.  It will be an upgrade.
* There are upgrades for change management.
* **Todd** = Documentation forthcoming.  This meeting is just an introduction.
* There is a plan to get the risk from the SPARCS team. Share:  The amount of documentation put together will be helpful.  The OracleRAC now is being built out.  When completed, then testing and failovers will begin.  The end date for this team will be March 2022.  The Project team will be overseeing documentation.  There is a high-level design in place but it is a draft.
* Remaining planning/scope activities
* Initial Request
* Aging infrastructure strategy relative to SPARCS

**Governance & Process**

Is there a Governance Process?

Was SPARCS built inhouse or by a vendor?

* If a vendor, are there any vendors assisting with this project?

What risks or concerns are currently noted during this effort?

* If so, how are they being addressed?

Are there resource concerns with moving this project forward?

* Project Mgmt.
* Is there a framework for this migration?
* Is there a documented Project Plan for the upgrade activities?
* Issue escalation
* Is there a “backout” strategy?
* Is there a long term solution to go into the cloud?
* If so, is the Cloud Framework being used?
* Measure what controls are being implemented.
* Steering Committee
* PMO
* Are there any Regulatory and/or contractual reasons why this upgrade is taking place?
* Policies and Procedures
* User input
* System Architecture
* SPARCS database:
* Are there data retention implications?
* Is data being deleted or migrating?
* What are the policies/procedures being referenced?
* How is the partitioning taking place?
* What environment?
* SOD
* Which team is responsible for sunsetting HBS?
* What process/policy is being used for sunsetting?
* Monitoring

**Change Management**

Are there any single points of dependencies?

* Who will own the changes?

Is there a centralized change manager?  IT ServiceNow, Rally, SharePoint, Archer??

* Data Migration
* Completeness and Accuracy
* Alert and remediation steps
* Testing
* UAT
* QA
* Business signoff – where will this occur (PAL)
* Regression Testing
* Vulnerability Scans:   is having something wrong with the hardware/software
* Are there APIs being used? If so, are scans taking place (if applicable?)
* Defect Mgmt: What is wrong with the design, code, process?
* Who owns the process? (WT)
* Release Mgmt.
* Who owns the process? (WT)
* Post implementation
* Hot fixes?

Who owns HBS?

Who will be sunsetting application?

Will HBS staff be involved with signoff on functionality?

What framework is being used for testing and implementation?

**Data Integrity:**

* What processes are in place to ensure data and its accuracy is not lost during this modernization effort?
* Who is responsible for deleting data or removing data sources?
* Data testing
* **Constituents if any:**Third party data matching rules?????
* Input validation:
* Testing over data integrity.
* Completeness and accuracy validation tests
* Data Retention Policies

**Security:**

* SOD
* Type of encryption:

1. Access mgmt.; how is access managed amongst the several different teams involved this implementation?
2. What access models are being used?  The same as with SPARCS? HBS?
3. Is the enterprise Access Management System being used?
4. Is there Role Based Access Controls (RBAC)?
5. What is done to ensure that data is not being shared with those without the “Need to Know”?
6. Is data being encrypted or unencrypted?
7. If it is being encrypted, what is the encryption process? If not, what is the unencrypting process?
8. Data in Motion
9. Data at Rest
10. What policies are being used?
11. How is data authorized and authenticated to avoid data from ending up with the wrong person?
12. How do you ensure privacy and regulatory considerations for patients to avoid mismatch of PHI?
13. What classification types of data are being stored?