



Agency of Human Services

State of Vermont



Vermont Health Services Enterprise Program Bi-Weekly Quality Assurance Status Report

April 24, 2013



GARTNER CONSULTING

Engagement: 330007970

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Program Health Checks and Project Milestone Reviews

Legend:

- ✓ **Complete**
- **Ongoing/In-progress**
- **Risk / Issue needs attention**
- **Risk / Issue**

HSE Program Health Checks

- ✓ Q2 2013 – 4/1/2013
- Q3 2013 – 7/1/2013
- Q4 2013 – 10/1/2013
- Q1 2014 – 1/1/2014

Milestone Reviews

■ HBE Milestone Reviews

- G Design Completion – 4/5/2013
- Development Completion– 5/23/2013
- System Testing– 7/22/2013
- Test Completion– 8/19/2013
- System Go-Live – 9/16/2013

- [REDACTED]
- TBD at DDI Initiation

HBE Deliverable Assessment Reviews

Legend:

- ✓ **Complete**
- **Ongoing/In-progress**
- **Risk / Issue needs attention**
- **Risk / Issue**

- ✓ Deliverable Expectations Documents
- ✓ (D-01) Baseline Schedule (WBS)
- ✓ (D-02) Project Management Plan
 - (D-03) State Interfaces Design Document
 - (D-04) Federal Interface Design Document
 - (D-11) Federal Hub Interface Test Results
- ✓ (D-14) Requirement Traceability Matrix (RTM)
 - (D-18) System Design Document
 - (D-19) Database Design Document
- (D-20) Data Management Plan
- (D-22) Training Materials
- (D-23) User Manuals
- (D-24) System Security Plan
- (D-25) Information Security Risk Assessment
- (D-26) Implementation Plan
- (D-27) Contingency/Recovery Plan
- (D-29) Test Reports
- (D-30) Go-Live Document
- (D-32) Training Plan
- Privacy Impact Assessment (PIA)

Completed Activities

- Deliverable Assessment Reviews
 - Delivered HBE D-14: RTM (Functional and Non-Functional)
 - Began review of HBE D-20: Data Management Plan
 - Began review of Privacy Impact Assessment (PIA)
- Quarterly / Baseline Health Checks
 - Delivered Draft Baseline Health Check Report
- Milestone Reviews
 - HBE Milestone Review under internal review
- Other Activities
 - HSE Program Integration Support
 - Submitted Integration Findings Document
 - Attended Vermont Weekly CMS HBE Call
 - Attended Integration Meetings
 - Meeting with Organizational Change Management Team

Planned Activities

■ Deliverable Assessment Reviews

- Complete review of Data Management Plan
- Complete review of Privacy Impact Assessment
- Receive and begin review of System Design Document (4/26)
- Receive and begin review of Database Design Document (4/26)
- Receive and begin review of State Interfaces Design Document (4/30)

■ Quarterly / Baseline Health Checks

- Revise and submit final Baseline Health Check Report




■ Milestone Reviews

- Completion of draft HBE Milestone Review

■ Other Activities

- PMO Development Support
- HSE Program Integration Support
 - Support ongoing integration discussions
- Attend Vermont Weekly CMS HBE Call

Issues / Risks List HSE Program

Risk Rating	Issues / Risks	Recommended Actions
Red 	<p>Hosting Contract - If representatives from CGI Hosting Services do not make themselves available to the State, legal representatives may not approve the hosting contract, precluding much of the pending CGI DDI work for HBE and [REDACTED]</p> <p>Result will be missed deadlines for HBE; inability to leverage all available Federal funding</p>	<ul style="list-style-type: none"> • Immediately escalate this risk to executive level - Vermont and CGI • Initiate discovery process for hosting alternatives
Yellow 	<p>Integration - If integration discussions are not started and completed in a timely manner deadlines with funding impacts will be at risk, and business alignment may be impacted.</p> <p>Failure to closely control this process may result in misaligned business objectives in the HSE solution; potential loss of Federal funding</p>	<ul style="list-style-type: none"> • Move forward with PMO decision to begin integration discussions immediately • Clearly define decision authority for integration issues • Ensure integration goals are clearly communicated and status/results distributed to all stakeholders
Yellow 	<p>Business Objective Alignment - If State and partner stakeholders continue to proceed with integration discussions without a complete understanding of the published Program objectives there is a risk of misalignment of business objectives and vision, resulting in misaligned business solutions in the HSE</p>	<ul style="list-style-type: none"> • Ensure that all State and partner stakeholders are familiar with all core written documentation supporting IE / HSEP and HBE efforts


Critical Issues / Risks

HBE Project

- The HBE project should be considered in **RED** status due to unresolved risks to meeting the October 1 deadline for Go-Live
- Gartner considers the following HBE risk areas most critical and recommends immediate steps be taken to address them:
 - **Release 1 Scope Definition:** Focus project efforts on identifying and implementing the minimum required functionality to meet CMS guidelines for a Health Benefits Exchange (HBE) on October 1st, 2013. Baseline the project schedule based on this limited scope before determining if additional functionality can be included in the October 1 release, [REDACTED]
 - **DDI Vendor Staffing:** Require a full project staffing plan from CGI and subcontractors clearly identifying unfilled positions, with frequent updates on status of key roles. Identify critical path tasks at risk due to staff limitations and immediately develop mitigation plans.
 - **Project Controls:** An effective and complete project schedule is required to maintain control of tasks and track project progress. The HBE schedule needs to be accurate and updated regularly – in accordance with the Project Management Plan. Clearly define the decision-making process, including decision authority, within the project, PMO, and governing bodies. Insist on strict adherence to PM processes: Risk; Schedule; Change Management.


Issues / Risks List

HBE Project

Risk Rating	Issues / Risks	Recommended Actions
Red 	<p>Requirements Management – There is a lack of granularity in CGI's scope of work regarding requirements validation, documentation, tracing to use cases/test cases, etc.</p> <p>Requirements are not documented in sufficient detail to ensure clarity.</p> <p>Ambiguity regarding the distinction between 1) validating that the transfer solution can fulfill a requirement, and 2) full requirements validation, linking requirements to work flow/ process management; use cases introduces a critical risk to the HBE meeting Federally-mandated 10/1 go-live timeline.</p> <p>The current listing of functional requirements are not tied to work flows or use cases – so there is a risk for how configuration/construction will go forward in integrating the functional requirements into a cohesive set of capabilities.</p>	<ul style="list-style-type: none"> • The State should require full-disclosure of the solution being transferred and conduct risk analysis to identify areas where significant gaps exist with Vermont requirements • The State should ensure that requirements are documented using industry best practice and in enough detail to ensure business needs are addressed • Requirements should be tied to business workflows and Use Cases • Require strict adherence to agreed processes for documentation and control of the requirements process • Functional requirements critical to the October 1 deadline should be clearly identified • Ensure changes required to meet Vermont requirements have an identified level of effort

Issues / Risks List


HBE Project

Risk Rating	Issues / Risks	Recommended Actions
<p>Red</p> 	<p>Release 1 Scope Definition – Gartner sees risks with the State moving forward with more than is actually needed for HBE October milestone by adding the Access remediation development work and complexity to the current HBE SOW.</p> <p>CGI / EXETER's solution stack is still unproven. There are a lot of unknowns in the core technology itself - [REDACTED]</p> <p>If the State had additional time to conduct a Proof of Concept to prove the solution stack, this step would help uncover some of the unknowns and risks with the core stack required for the [REDACTED]</p> <p>Without that understanding, it is a concern to add more risks on top of existing risk. Gartner understand it would be nice to have more functionality in October and that it would make the user interface for both HBE and Medicaid much better – but it would seem this is a time to think of “must haves” and not “nice to have.”</p> <p>Thus, a go forward decision for the Medicaid capabilities being requested and the [REDACTED] required are being made without really knowing all the risks - which is a real red flag to meeting the October date.</p>	<ul style="list-style-type: none"> • Create a clear prioritization of functional requirements to what is minimally needed for the October 2013 • An integrated enterprise approach needs to be pursued as the scope and requirements are finalized for October 2013 – namely the inclusion of foundational components for the HBE provided through the [REDACTED]

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Issues / Risks List

HBE Project

Risk Rating	Issues / Risks	Recommended Actions
Red 	Non-Functional Requirements – Gartner has had little visibility into the non-functional requirements process. We believe the intent is to move forward with a <i>big bang</i> approach to the infrastructure and are concerned that significant risk is introduced to the HBE release date if focus is not on identifying and prioritizing those requirements necessary to support the October 2013 milestone.	<ul style="list-style-type: none"> • The PMO should facilitate a discussion between State technical architecture team and business leads to address the Scope, Schedule and Functional Requirements issues raised by Gartner • Efforts should be focused on addressing the minimal non-functional requirements to support the October 2013 milestone


Issues / Risks List

HBE Project

Risk Rating	Issues / Risks	Recommended Actions
Red 	<p>Project Controls – There is a risk that a focus on project timelines will lead to loosening of adherence to project management processes, resulting in Schedule, Change, and Risk Management processes being abandoned or relaxed to the point that control of the project is lost.</p> <p>Changes in contracted and agreed upon approaches need to be directed through a formal change management process and documented throughout the HSE to ensure that all business needs are addressed during DDI.</p> <p>Project schedule updates are not consistently applied. The HBE team is updating the current schedule with an expected delivery date of 4/17 (date passed without new baseline schedule)</p>	<ul style="list-style-type: none"> • Maintain stringent adherence to project control processes • Ensure appropriate communication and documentation occurs and processes are followed • Require timely schedule updates – including resource assignment, percent complete, and dependencies • Distribute regular project status report which includes clear measures of project progress, risks/issues, and pending changes
Red 	<p>SoV Team Staffing - If the State cannot fill the following critical roles for the HBE there will be significant gaps in the ability of the State to successfully launch the new solution as planned. :</p> <ul style="list-style-type: none"> • Test Manager • Training Lead • Solution Architect • Technical Architect 	<ul style="list-style-type: none"> • Identify open positions in the SoV organization chart and establish a plan for filling those positions/roles • Continue efforts underway to fill vacant roles • Escalate staffing risk to executive leadership • Immediately initiate discovery process for alternative means to fill roles

Issues / Risks List

HBE Project

Risk Rating	Issues / Risks	Recommended Actions
Red 	<p>DDI Vendor Staffing - If CGI continues to be unable to fill the significant number of identified, unfilled positions (this number hovers around 20), the HBE work stream, and in turn the [REDACTED] will risk missing deadlines which could affect Federal funding. It is also unclear where these positions are located in the CGI project organization structure making a mitigation plan challenging.</p> <p>Inadequate staffing, combined with an unclear plan to resolve the staffing situation presents a serious schedule (10/1 go-live), budget (Federal funding), and quality (inability to develop and implement solution) risk.</p>	<ul style="list-style-type: none"> • Escalate staffing risk to executive leadership within Vermont and CGI • Require a full project staffing plan from CGI and subcontractors clearly identifying unfilled positions, with frequent updates on status of key roles • Require a resource-loaded project schedule be maintained, identifying tasks assigned to open positions. Track risks related to non-existent staff programmed to complete project tasks



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