



Agency of Human Services

State of Vermont



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

May 22, 2013



GARTNER CONSULTING

Engagement: 330007970

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Completed Activities

■ Deliverable Assessment Reviews

- Reviewed and provided feedback on updated Project Schedule
- Received and began review of D-39: SERFF Interface Control Document

■ HBE Testing

- Participated in UAT Planning Meeting
- Participated in CMS Review of Wave 3 Testing

■ Other Activities

- Participated in Integration Meetings
- Participated in Daily Rapid Action Meetings

Planned Activities

- **Deliverable Assessment Reviews**
 - Detailed review and mapping of CGI's revised schedule, milestone, deliverables
 - Reset the deliverable and milestone reviews based on the above review
 - Complete review of D-39: SERFF Interface Control Document
- **Milestone Reviews**
 - Review feedback and finalize HBE Milestone Review
- **HBE Testing**
 - Review Blueprint Test Cases
 - Participate in UAT Planning Meeting
- **Other Activities**
 - PMO Development Support
 - HBE Testing Validation
 - HSE Program Integration Support
 - Support ongoing integration discussions
 - Participate in Vermont Weekly CMS HBE Call
 - Participate in Daily Rapid Action Meetings
 - Participate in Weekly HBE Project Meeting

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 an 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.

Intensive sessions were held to define scope, but still no finalized requirement list is approved.

Finalize a decision on whether MAGI Medicaid and CHIP enrollment will be occur in R1 or R2.
 - **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 change and decision-making process, including decision authority, within the project, PMO, and governing bodies.Insist on strict adherence to PM processes, including risk, schedule and change management.

Issues / Risks List

HBE Project

Risk	Recommended Actions	State of Vermont Response
<p>Release 1 Scope Definition – There is not a well-defined, focused scope for Release 1 that clearly identifies the bare minimum components essential to meet the functional capabilities needed for October 2013.</p> <p>The State has not finalized a decision on whether MAGI Medicaid and CHIP enrollment will be occur in R1 or R2. This additional functionality will significantly increase QHP deployment risk (a workgroup led by [REDACTED] DII, CGI is working on this issue).</p> <p>Decisions have been made about inclusion of functionality in HBE R1 – only to be re-discussed and changed. The decision process is unclear and not enforced.</p> <p>Risk Level: HIGH Impact: High Probability: Med</p>	<ul style="list-style-type: none"> • Create a clear prioritization of functional requirements to what is minimally needed for the October 2013 • Define the decision-making process and strictly enforce adherence • Pursue an integrated enterprise approach to finalize scope and requirements for October 2013 and formally document the decisions made accordingly – namely the inclusion of MAGI Medicaid, CHIP, and foundational components for the HBE provided through the [REDACTED] 	

HIGH

Medium

Low

- Definite material impact on project success if this area is not addressed immediately
- Potential material impact on project success that needs to be addressed proactively
- No immediate action required. Continue to monitor risk

Issues / Risks List

HBE Project

Risk	Recommended Actions	State of Vermont Response
<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> <p>Risk Level: HIGH</p> <p>Impact: High</p> <p>Probability: Medium</p>	<ul style="list-style-type: none"> • Require full-disclosure of the solution being transferred and conduct risk analysis to identify areas where significant gaps exist with Vermont requirements • Ensure that requirements are documented using industry best practice and in enough detail to ensure business needs are addressed • Tie requirements to business workflows and Use Cases • Require strict adherence to agreed processes for documentation and control of requirements • Clearly identify functional requirements critical to the October 1 deadline • Ensure changes required to meet Vermont requirements have an identified level of effort 	
<p>HIGH - Definite material impact on project success if this area is not addressed immediately</p> <p>Medium - Potential material impact on project success that needs to be addressed proactively</p> <p>Low - No immediate action required. Continue to monitor risk</p>		

Issues / Risks List

HBE Project

Issue	Recommended Actions	State of Vermont Response
<p><i>Unchanged since last report</i></p> <p>Change Management – There appears to be very little control over changes in the HBE project schedule, deliverables, or scope. Potential impact to other project areas – both internal and external – are not analyzed or alternatives presented.</p> <p>This presents a critical risk to the HBE project meeting the current schedule, which may place Federal funding at risk as well.</p> <p>Issue Level: HIGH Impact: High Probability: High (Issue)</p>	<ul style="list-style-type: none"> • Ensure all changes to the project schedule, deliverables, or delivery scope are evaluated for overall impact and presented for approval • Formalize and document decision authority for approval of requested changes • Implement and adhere to the approved change control process 	

HIGH	- Definite material impact on project success if this area is not addressed immediately
Medium	- Potential material impact on project success that needs to be addressed proactively
Low	- No immediate action required. Continue to monitor risk

Issues / Risks List

HBE Project

Risk	Recommended Actions	State of Vermont Response
<p>Schedule Delays – In recent project schedule updates from CGI, a number of project deliverables have been shifted out to the future without having gone through a Change Management process.</p> <p>Potential impacts are not known or agreed to.</p> <p>There is a risk that shifts in delivery will affect the HBE team's ability to complete all required activities prior to the mandated go-live date.</p> <p>Deliverables currently behind schedule (D-16, D-17, D-34, Development Environment) without plan to address or impact of delays known.</p> <p>Risk Level: HIGH Impact: High Probability: Medium</p>	<ul style="list-style-type: none"> • Escalate missed deliverable dates or milestones to highest levels within the State and CGI • Require adherence to change control principles • Obtain input from all stakeholders regarding impacts of schedule changes • Review and evaluate changes for potential impacts, including cost, schedule, scope, and integration • Review vendor contract for delivery requirements and potential financial recourse 	

HIGH

Medium

Low

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Issues / Risks List

HBE Project

Issue	Recommended Actions	State of Vermont Response
<p>Environment Availability – The HBE development environment was scheduled to be completed and readiness validated on 5/13. There are indications that the environment is not yet fully configured or available.</p> <p>A delay in any environment being made available presents a risk to the project timeline, which has very little or no slack available.</p> <p>Issue Level: HIGH Impact: High Probability: High (Issue)</p>	<ul style="list-style-type: none"> Evaluate status of environment development and any potential impacts to the HBE schedule. 	

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Issues / Risks List

HBE Project

Risk	Recommended Actions	State of Vermont Response
<p><i>Unchanged since last report</i></p> <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. For example:</p> <ul style="list-style-type: none"> • Project schedule updates are not consistently applied. • There is a lack of clarity whether current informal testing activities should be considered as conclusive <p>Risk Level: HIGH Impact: Medium Probability: High</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 • Implement agreed-upon change management process to identify, approve, and document changes in contracted and agreed upon approaches 	

HIGH

Medium

Low

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Issues / Risks List

HBE Project

Risk	Recommended Actions	State of Vermont Response
<p><i>Unchanged since last report</i></p> <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"> • Solution Architect • Technical Architect • Business Analyst x 5 <p>Risk Level: HIGH Impact: High Probability: Medium</p>	<ul style="list-style-type: none"> • Continue efforts underway to fill vacant roles • Escalate staffing risk to executive leadership • Conduct discovery process for alternative means to fill roles 	

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Issues / Risks List

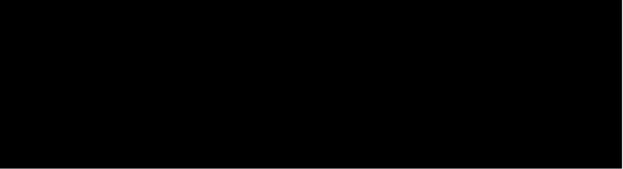
HBE Project

Risk	Recommended Actions	State of Vermont Response
<p>Project Reporting – Current weekly Status Report for the HBE cites high-level accomplishments and planned activities with little detail on dependencies, issues, or risks.</p> <p>A large-scale, highly-integrated and complex project such as the HBE demands constant coordination and communication between stakeholders – not accomplished with the current CGI Status Report.</p> <p>There is a risk that project changes are not fully communicated, risks are not properly addressed, and dependencies not fully understood or planned for – causing negative schedule and/or quality impact.</p> <p>Risk Level: Medium Impact: Medium Probability: Medium</p>	<ul style="list-style-type: none"> • Include pending changes, issues/risks, and dependencies in Status Reporting • Determine communication needs of stakeholders and ensure they are being met • Review and update project Communication Plan and RACI 	

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Issues / Risks List

HBE Project

Issue	Recommended Actions	State of Vermont Response
<p><i>Unchanged since last report</i></p> <p>DDI Vendor Staffing – CGI continues to be unable to fill a significant number of identified positions.</p> <p>The resource loaded plan for HBE confirms the need for additional resources for the HBE.</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> <p>Issue Level: HIGH Impact: High Probability: High (Issue)</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. Flag and report task at high risk of delay due to staffing • Identify tasks assigned to open positions. Track risks related to open position. 	

HIGH

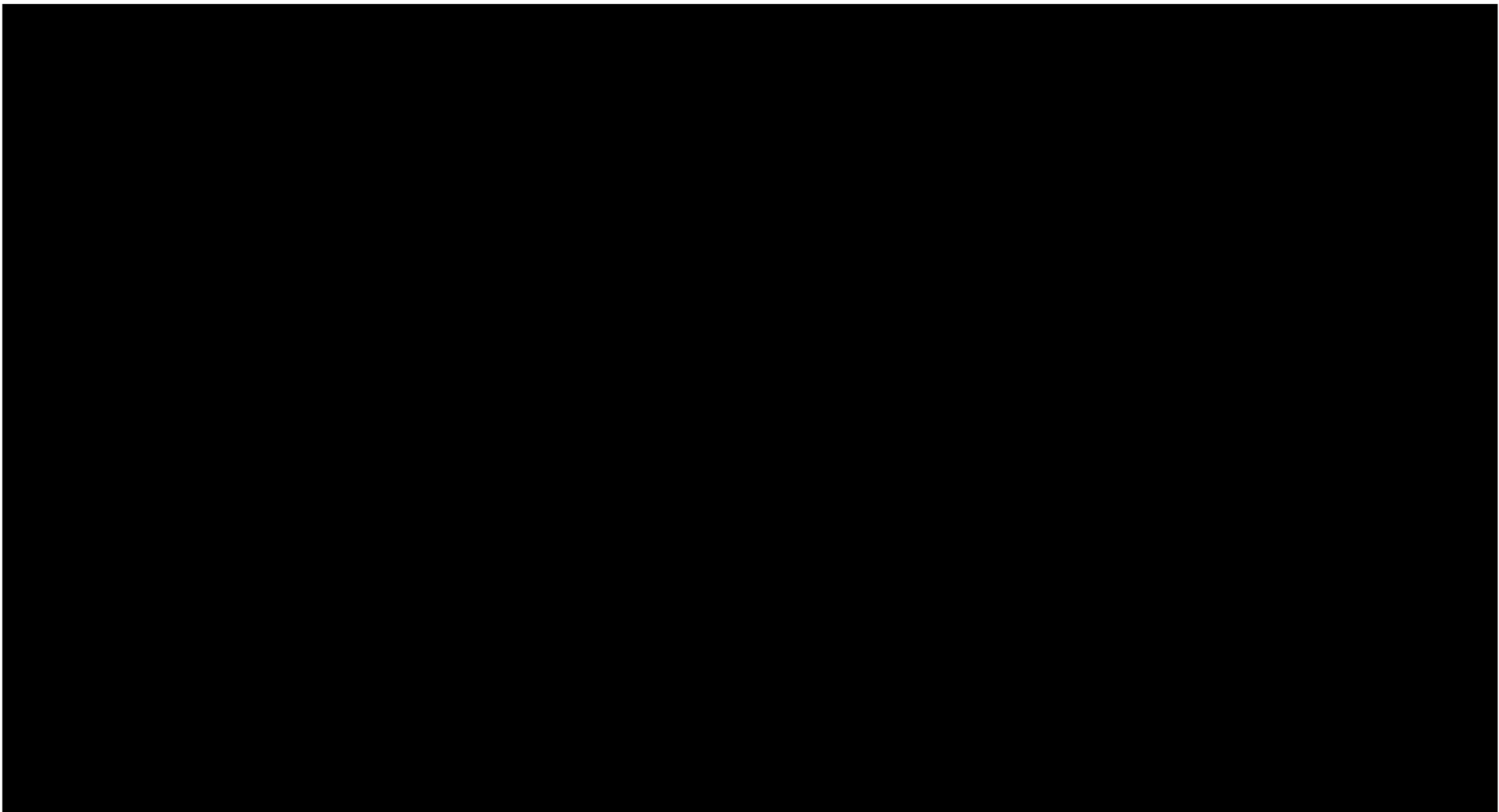
Medium

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Issues / Risks List

HSE Program

Issue	Recommended Actions	State of Vermont Response
<p>Integration Requirements - There are no HBE representative in discussions of what the MDM and integration requirements should be for R1 in 10/1/13 or R2 in 12/31/13. This makes it difficult to finalize the scope of integration requirement between HBE and ACCESS.</p> <p>Adding complexity to the HBE project by including MDM and integration creates a risk that the HBE will be delayed and will not meet the 10/1 deadline.</p> <p>Issue Level: HIGH Impact: Medium Probability: High (Issue)</p>	<ul style="list-style-type: none"> HBE team should assign a representative to attend all meetings and take back any action items and respond back within 24 hours 	

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Issues / Risks List

HSE Program

Risk	Recommended Actions	State of Vermont Response
<p><i>Unchanged since last report</i></p> <p>Hosting Contract - If representatives from CGI Hosting Services do not make themselves available to the State, hosting services will not be available, precluding much of the pending CGI DDI work for HBE and IE / HSEP.</p> <p>Result will be missed deadlines for HBE; inability to leverage all available Federal funding</p> <p>Risk Level: Medium Impact: High Probability: Low</p>	<ul style="list-style-type: none"> • Conclude ongoing conversation • Initiate discovery process for hosting alternatives 	

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Issues / Risks List HSE Program

Risk	Recommended Actions	State of Vermont Response
<p>Organizational Change Management - Organizational Change Management (OCM) processes are uncoordinated. The overall HSE OCM plan is just being developed and is being developed independent of the HBE plan. There is a risk of rework and suboptimal adoption.</p> <p>Risk Level: Medium Impact: High Probability: Low</p>	<ul style="list-style-type: none"> • Expedite the development of an overall HSE OCM plan. • Ensure that HBE plans for such OCM issues as training, communication, models of practice, role statements, union interactions inform the HSE OCM plan. • Inform the HBE OCM team of HSE OCM decisions, and to the extent possible, given the schedule, modify the HBE OCM activities to reinforce overall HSE requirements. 	

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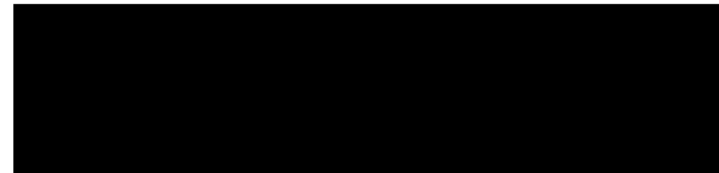
Program Health Checks and Project Milestone Reviews

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
 - ✓ Design Completion – 5/8/2013
 - Development Completion– 6/6/2013
 - System Testing– 8/2/2013
 - Test Completion– 8/30/2013
 - System Go-Live – 9/27/2013



Legend

✓ Complete G Ongoing/In-progress Y Risk/Issue – needs attention R Serious Risk/Issue

HBE Deliverable Assessment Reviews

- ✓ Deliverable Expectations Documents
- ✓ (D-01) Baseline Schedule (WBS)
- ✓ (D-02) Project Management Plan
- (D-03) State Interfaces Design Document
- G** (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)

Legend

✓ Complete **G** Ongoing/In-progress **Y** Risk/Issue – needs attention **R** Serious Risk/Issue



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