



**STATE OF RHODE
ISLAND
UNIFIED
INFRASTRUCTURE
PROJECT**

**MONTHLY IV&V ASSESSMENT
AUGUST 2016**

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1. OVERVIEW

1.1 Purpose

The purpose of this report is to provide the Independent Verification and Validation (IV&V) Monthly Assessment for the Rhode Island Unified Health Infrastructure Project (RI UHIP). CSG Government Solutions' (CSG) IV&V services provide an independent perspective of project activities, plans, and processes to identify risks and make actionable recommendations on how those risks can be addressed or planned for and managed.

This Monthly IV&V Assessment is an end of the month assessment and establishes a baseline for ongoing monthly assessments. This assessment provides a snapshot of project health, observations, and actionable recommendations to address risks identified during the month.

The CSG IV&V team analyzed the governance practices, current activities, processes, procedures, project documents, completed deliverables, and other project artifacts, as well as conducted interviews with some of Deloitte's team members and observed project meetings. This document contains information collected from August 1, 2016 through August 31, 2016.

The Monthly IV&V Assessment for the RI UHIP is expected to provide the following benefits:

- A high-level management review of the RI UHIP processes and product risk
- Early identification, planning, and resolution of risks and issues
- Increased likelihood of project success
- Increased overall project quality

1.2 Background

The RI UHIP was launched on January 22, 2013. The goals of the RI UHIP focused on implementing an Affordable Care Act (ACA)-compliant health insurance marketplace and an integrated eligibility system solution via two phases.

- **Phase 1:** Implemented a fully compliant ACA health insurance marketplace by October 1, 2013. Phase 1 officially ended after the implementation of Enhancement Release 6.6 on February 1, 2016.
- **Phase 2:** Implement an integrated eligibility system that includes programs such as TANF, SNAP, and other human services programs on September 13, 2016.

CSG has been engaged to provide IV&V services to the RI UHIP. The CSG approach to IV&V for the RI UHIP is tailored to meet the specific requirements of this project. Currently, the RI UHIP is in Phase 2.

2. PROJECT HEALTH DASHBOARD: AUGUST 2016

The summary dashboard of the RI UHIP Project as of August 31, 2016 is provided in Table 1. Overall, the Release 7 Risk is Moderate, trending Low. This has improved from the July status of High risk, trending Moderate, due to the resolution of many key risks in preparation for Go-Live. The State should continue to implement required corrective actions on functionality critical to Go-Live, as well as ensure Maintenance and Operations readiness. Key activities in September should include the planning, development, and implementation of functionality not included in the initial Go-Live, but required to support future operations (e.g. Open Enrollment). See Section 4.3 for supporting detailed observations and recommendations.

Table 1 – Project Health Dashboard

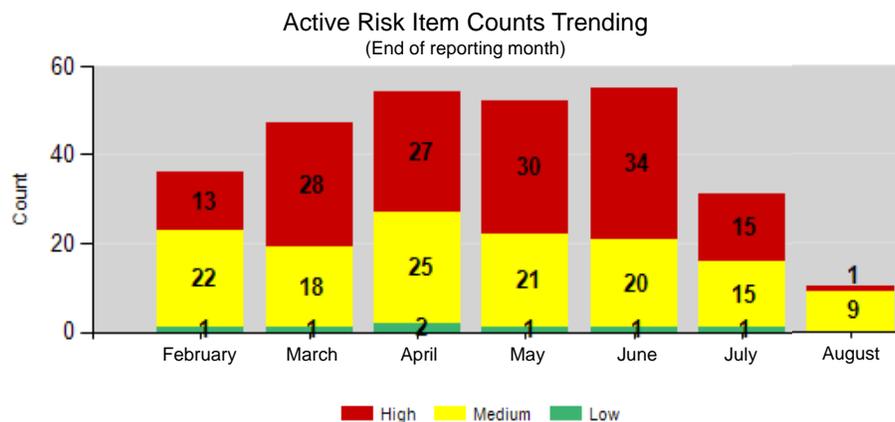
Rhode Island Unified Health Infrastructure Project											
Phase 2 – Release 7											
PROJECT STATUS INDICATORS ¹											
SCOPE			COST			SCHEDULE/RESOURCES			QUALITY		
Previous	Current	Trend	Previous	Current	Trend	Previous	Current	Trend	Previous	Current	Trend
Moderate	Moderate	+	Low	Low	N/C	High	Low	+	Moderate	Low	+

¹Reference

Project Status Indicators		Trend Indicators
LOW	On-track, only minor issues	+ = Improving
Moderate	One or more areas of concern.	- = Declining
High	Significant issues that limit the success of the project.	N/C = No change
N/A	Not applicable	

Figure 1 provides the risk trend, based on the IV&V observations, for the period of February through August 2016. A significant number of risks were mitigated and the related observations closed due to the extension of the Go-Live date, as well as overall progress on completing project activities.

Figure 1 – Risk Trend Dashboard



3. KEY OBSERVATIONS AND RECOMMENDATIONS

Key observations and recommendations identify those areas that need immediate attention and focus to improve or maintain the health of the project. The following sections summarize our observations and recommendations for those categories that received a status of high risk and some key observations and recommendations for categories that received a status of medium risk during this assessment period.

The detailed observations in Section 4.3, for which the risk rank is rated as high risk or medium risk, should be carefully reviewed and risk response strategies and plans developed. For those observations rated with a low or none risk rank, the State should continue to monitor these areas to assure controls and processes remain effective.

The key observations and key recommendations are divided into the following Risk Assessment Areas of Focus from the Project Health Dashboard:

- Scope – Are project activities properly defined and managed throughout UHIP?
- Cost – Are budget/funding requirements defined and managed?
- Schedule/Resources – Is the schedule defined, managed, and properly resourced?
- Quality – Are quality processes (System Development Life Cycles and Project Management Processes) defined and followed resulting in quality deliverables?

3.1 Scope

The scope category measures progress against requirements to assure existing requirements are delivered and new or changed requirements are addressed. Change Control impacting the project's schedule, resources requirements, and budget are considered.

3.1.1 Progress Since Last Report

The **Phase 2 scope remains a moderate risk**, but the risk trend is improving. A key reason for the improvement is due to the State's decision to limit scope increases for Go-Live. CSG recommends continuing to manage scope and continue implementation of corrective actions, as well as applicable risk mitigation.

3.1.2 Observations and Recommendations

➤ Release 7 Extension Scope Control

✓ Observation 198

- IV&V understands State Leadership is reconsidering the decisions to defer functionality from the initial implementation since there is a 60-day extension for Go-Live. Bringing back deferred functionality results in expanding the scope of the system implementation for the new Go-Live date will increase the risk to meet the extended implementation schedule. The current scope considered for the July 12 Go-Live, with the deferred scope, was determined to be too high and required an extension. Adding scope back into the implementation with minimal time to analyze and evaluate the impact may result in additional delays or impact system operations.

✓ Recommendation

- Avoid any scope increase beyond that planned for the July 12 Go-Live. The State should focus on the required scope and not try to increase scope during the short extension period.
- ✓ **Current Status**
 - The State has considered the risk of increasing the scope and only minor functionality will be introduced into the September release. The addition of Release 7.1, deferring selected functionality for implementation after initial Go-Live, may provide some relief to the Release 7 Go-Live on September 13. The State accepts the risk of only minor functionality added into the September release. This Observation is closed.
- **Safeguarding Sensitive Personally Identifiable Information (PII) During Testing**
 - ✓ **Observation 208**
 - IV&V has observed instances of PII information being included in a screen print as part of the problem description entered in the defect management tool (JIRA) for supporting Hybrid Pilot activities. Deloitte is planning to resolve this observation by removing PII from the JIRA tickets.
 - ✓ **Recommendation**
 - Deloitte should eliminate storing PII information in JIRA for all testing activities. As recommended, Deloitte is taking action to remove PII from the JIRA tickets and assuring it is not added in the future.
 - ✓ **Current Status**
 - This Observation is closed based on Deloitte's action and the State's acceptance of the risk.
- **Hybrid Pilot - Defect Priority Level Degraded**
 - ✓ **Observation 206**
 - Several defects have been degraded from P2 to P3, seemingly without specific “documented” agreement with the State (e.g. State signoff or a specific note on the JIRA tickets/defects). Revising a defect level from P2 to P3, effectively changes the priority level for the defect resolution. As such, the State should require its approval of all classification and reclassification of defects. If it does not, the defects in key functionality, and the pending resolution, may be reprioritized without State knowledge.
 - ✓ **Recommendation**
 - Require Deloitte to revisit all the defects that have been degraded and going forward State should require appropriate documented approval prior to changing any priority level. Any such defects that require changes on the priority level should be discussed during the daily triage call, so that all agencies can come to a collective decision and agreement.
 - ✓ **Current Status**
 - Deloitte and State agreed on a process where priority changes on incidents that were reported by state pilot workers will be coordinated by Deloitte to assure state agreement. However, incidents that are logged by Deloitte will not be coordinated if the state is not

involved in these incidents. This Observation is closed based the State's acceptance of the process.

3.2 Cost

The cost category measures progress against approved and planned budget allocations.

3.2.1 Progress Since Last Report

Since the last reporting period, the **Phase 2 cost remains a low risk**. The State has mitigated risks related to project expenditures. State should continue to consider actions to control cost and mitigate financial risk.

3.2.2 Observations and Recommendations

- **No key Observations in this period**

3.3 Schedule/Resources

The schedule/resources category measures the quality and validity of the project schedule. It also measures progress against a valid, baselined work plan and verifies the project team is meeting the timeframes documented within that plan.

3.3.1 Progress Since Last Report

The **Phase 2 schedule and resources is a low risk**. This risk has improved from a high-level risk reported last month. Major reasons for the improvement include the completion of planned implementation and development tasks to support the schedule, as well as the successful completion of the extended regression testing and Pilot activities to support Go-Live and operations. The State should continue to focus on expediting critical activities to support the overall schedule for post Go-Live activities.

3.3.2 Observations and Recommendations

- **Release 7 Extension Planning and Communication**

- ✓ **Observation 199**

- On June 21, an announcement was made to extend Go-Live to September 13, 2016. IV&V opened this observation since no specific planning for the Go-Live to September 13, 2016 was available for the IV&V team to review.

- ✓ **Recommendation**

- Continue to work with Deloitte to develop comprehensive planning and communicate the details throughout the project team and applicable stakeholders.

- ✓ **Current Status**

- The State and Deloitte continue to follow the process established for the planning and communication, and progress continues to be coordinated in the various implementation threads. IV&V closed this observation on Release 7.

- **Extended Regression Testing Schedule Risk**

- ✓ **Observation 213**

- Due to the number of ‘open’ critical and high defects (8 Critical and 138 High as of 8/15), as well as the cases on-hold and deferred resulting in some functionality not being fully tested, there is a high risk that Extended Regression Testing (ERT) will not be completed as planned on August 19. IV&V is aware that the State has requested Deloitte to extend of the deadline to complete ERT. If an extension is not granted, it does not seem possible to complete ERT on time considering the current progress and results.
- ✓ **Recommendation**
 - Extend the deadline to allow for testing and retesting of defects as well as executing the test cases.
- ✓ **Current Status**
 - ERT was extended through August 31 for additional testing. This Observation is closed.

3.4 Quality

The quality category measures compliance with design including defect levels identified during testing, production defect identification, and the ability to quickly resolve quality issues. It also serves to evaluate the adherence to project management processes outlined within the project management plan, system development life cycle processes, and via the quality of all deliverables.

3.4.1 Progress Since Last Report

The **Phase 2 project quality is a low risk**, reduced from moderate risk since the last reporting period. A number of Quality related observations and risks were resolved during August as a result of progress made in many areas to support Go-Live. The State should continue the required corrective actions to assure qualitative performance during maintenance and operations, as well as post Go-Live activities.

3.4.2 Observations and Recommendations

- **Roll Back Plan Not Technically Defined**
 - ✓ **Observation 202**
 - A Roll Back Plan has been created and published to the State and federal agencies. Per the plan, there is only a one-day window to roll back after going live on 09/13. To support roll back in one-day could be challenging for the external sources as they could fail to support the configuration, IP, or SFTP folder location changes.
 - ✓ **Recommendation**
 - Assure an acceptable plan, including the required technical details and contingency plans, is available to support execution in the timeframe available. The plan should be reviewed and approved by the State and trading partners.
 - ✓ **Current Status**
 - The State informed IV&V that an acceptable plan has been finalized and submitted to CMS. This Observation is closed based on acceptance of the plan by State.
- **Hybrid Pilot Defect Management**
 - ✓ **Observation 210**

- Defect tickets are being closed/cancelled without documenting a defined resolution onto each JIRA ticket. The majority of defects reviewed have been closed/cancelled/deferred without the acknowledgment by the State (e.g. note or comments from the tester on the resolution to justify closure) being entered on the Hybrid Pilot Work Request dashboard. Closing or cancelling defects without State's acknowledgement could result in future confusion or disagreements in the tracking and resolution of defects.
- ✓ **Recommendation**
 - Deloitte should inform the State Pilot staff to include their closure comments in JIRA, before Deloitte closes/defers/cancels a defect. This process should be defined and implemented immediately. Existing closed, cancelled or deferred defects should be re-reviewed by the State and the applicable State comments should be added for audit purposes.
- ✓ **Current Status**
 - Based on an agreed process for Hybrid Pilot, Deloitte will work with the State to add closure or resolution comments on all JIRAs. Deloitte noted that the process for closure differs based on incidents logged by the Hybrid Pilot sites vs. Deloitte operations staff. This observation is closed based on the agreed process and State's acceptance of the risk.
- **Application Error Page Issues**
 - ✓ **Observation 205**
 - A significant number of application errors have occurred in the Hybrid Pilot that result in halting the application process. Additionally, the worker is not automatically taken back to the screen where the error was introduced and is required to initiate the case from the start.
 - ✓ **Recommendation**
 - Deloitte should perform a manual and automated code review prior to deploying code into production as required. Application Error Page exceptions should be prioritized and fixed. The State should require Deloitte to provide detailed root cause analysis with a long-term fix solution prior to Go-Live.
 - ✓ **Current Status**
 - Deloitte reported that most of the application error page issues resulted from data issues. These errors have been reviewed to identify if they are application defects or errors caused by bad data. Deloitte has triaged and corrected data issues via conversion updates or post conversion data scripts. Most related application defects were reportedly fixed in Pilot, however application errors continued related to data. The Pilot has ended and State accepts risk that the application error issues will be fixed as required prior to Go-Live. This observation is closed.
- **Quality of Code**
 - ✓ **Observation 212**
 - The number of defect fixes rejected and/or reopened during ERT continues and hinders the planned completion of the testing effort. Additionally, new defects are being found in cases that are being tested that were not previously tested or are being tested as part of

the regression test. There have also been a number of defects found in new releases, which had been fixed previously. Overall, the issues being found with the software quality suggest potential problems with the SIT, regression testing, and configuration control processes being implemented prior to the software delivery.

✓ **Recommendation**

- Deloitte should thoroughly smoke test code releases and provide results for validation. The State should audit Deloitte's SIT, Regression testing and configuration control process to assure they are employing acceptable best practices.

✓ **Current Status**

- The Release 7 software is stabilizing through UAT/ERT and the resulting fixes. Deloitte reported that with each UAT build, a regression testing is performed and post each UAT deployment a smoke test is done before handing over the environment. These processes will continue through the end of ERT. Deloitte and the State have a plan to address the critical and high defects and plan for any interim business processes needed for unresolved items found late in the test cycle. This observation is closed based on the process agreement and the State's acceptance of the risk.

➤ **Conversion Issues**

✓ **Observation 204**

- Several issues have been found in Hybrid Pilot resulting from incorrectly converted data. If the conversion issues are not addressed prior to Go-Live, they may significantly impact producing correct eligibility results and/or unexpected results during operations.

✓ **Recommendation**

- Deloitte should evaluate the reasons for the conversion problems being found in the Pilot and perform thorough conversion testing prior to Go-Live to assure the same problems do not occur. The testing should be conducted before establishing/finalizing Phase 2 Production environment with production data. These issues should be addressed during last Mock conversion.

✓ **Current Status**

- Deloitte reported that during Pilot operations, there were additional changes to the mapping logic as the users started using the system with converted cases. The data mapping that was provided continued to change during the testing activities. Deloitte is working with the State to accommodate and apply required data fixes. All data fixes will be applied after final conversion for Go-Live. The State accepts risk that majority of the conversion issues discovered during pilot will be fixed through the data fixes as required. The pilot has ended and this observation is closed.

➤ **Issues Related to Worker Inbox**

✓ **Observation 209**

- Several issues have been observed related to the worker inbox during testing in Hybrid Pilot environment. These issues require workers to perform extraneous efforts while searching for their lobby tasks, or any tasks that they are supposed to work on.

✓ **Recommendation**

- Deloitte should perform a detailed root cause analysis on all the issues related to worker inbox that are observed during Hybrid Pilot testing. If required, worker inbox design should be revisited to examine if any change is required which can address and/or provide a long-term resolution.
- ✓ **Current Status**
- Deloitte reported that during the initial days of using the worker inbox as part of lobby management, several assumptions regarding the process were reconsidered. Deloitte and the State identified and prioritized design changes for development. In addition, there were a few issues encountered that required system fixes. IV&V has observed improvements in the process. Pilot has ended and State accepts risk that remaining issues pertaining to worker inbox will be fixed prior to Go-Live. This observation is closed.

4. DETAILED MONTHLY IV&V ASSESSMENT

4.1 Approach

The CSG IV&V team's approach to the Monthly IV&V Assessment is to assess the RI UHIP to understand the environment, project goals and objectives, and the critical project success factors so project risks and actionable recommendations are documented. In areas of the assessment where the project has minimal activity (due to the current phase of the project), we offer proactive advice where appropriate. For items in which we gain early insight, the team has taken an approach to err on the side of caution and to raise any perceived risk in this Monthly IV&V Assessment. This enables those risks to be reviewed and addressed in a timely manner, if needed.

All information received by August 31, 2016 is included in this report. Information received after this date will be included in the next monthly assessment scheduled for September 2016. The Monthly IV&V Assessment documents current observations and recommendations and establishes the baseline for future Monthly IV&V Assessments.

4.1.1 Interviews

The IV&V team schedules interviews with key personnel. Follow up interviews are conducted as needed so that the IV&V team maintains a complete understanding of the project risks.

4.1.2 Project Meetings

IV&V team members attend project meetings and review formal meeting minutes produced from these meetings to assure that summaries are complete and accurate and all decisions, action items, risks, and issues are appropriately noted. Observing project meetings enables the IV&V team to maintain a full understanding of project processes, current activities, and status and to gain additional insight and understanding of project risks.

4.1.3 Document Review

Formal deliverable reviews are a fundamental validation activity provided by the IV&V team. For each deliverable, the IV&V team conducts a review that is tailored to the subject matter presented. Since the content and purpose of each deliverable varies, the type of review also varies. The IV&V team uses the appropriate industry standards and guidelines in the review of the deliverables. In some cases, the standard may have been specified via contractual documents, while in other cases it may be a best practice for the specific subject matter. In any event, prior to its review, we determine what standards are applicable to the deliverable and whether or not compliance is required. For every deliverable, we verify its correctness, accuracy, completeness, and readability. We also participate in a walkthrough of the deliverable, as appropriate. This walkthrough allows the IV&V team to become familiar with the deliverable and ask specific questions about the deliverable's content.

For subsequent resubmission of DDI vendor deliverables, the IV&V team conducts a review and provides the UHIP stakeholders with a relevant observation of the changes found between the last and most current submission of the deliverable. Any relevant observations are logged in the TeamCSG™ tool and then reported in the next Weekly Status Report.

4.2 Tools

4.2.1 *TeamCSGSMTracker*: Risk Assessment Model

***TeamCSGSM Tracker*: Risk Assessment Model guides the IV&V team through identifying and evaluating the type and level of risk (low, medium, high) a project may encounter.** This allows for a snapshot of level of risk in the project. The risk level helps the RI UHIP and vendor project teams focus their efforts on planning for and responding to key risk areas. The Risk Assessment Model encompasses industry standards for project management and system engineering, such as PMBOK and IEEE standards.

The Risk Assessment Model is used to prioritize and assess the impact of items according to business functions and specific risks. These risk assessment items can be tracked from one review period to the next to determine increasing or decreasing risk levels and project health, not only at an item level but also within a category or subcategory.

The Risk Assessment Model is broken down into three major risk domains: 1) Project Management, 2) IT (information technology) Infrastructure, and 3) SDLC - System Development Life Cycle.

4.3 Detailed Observations and Recommendations

Below is a detailed listing of the observations and recommendations completed by the CSG IV&V team. The following status tables of observations and recommendations are included.

- **Table 2 – New Observations and Recommendations**
- **Table 3 – Closed Observations and Recommendations**
- **Table 4 – Observations and Recommendations Monitored**

Each table is developed from the information captured in the *TeamCSGSM Risk Assessment Tracking* tool and *TeamCSGSM Risk Assessment Model* categories for reporting, tracking, and follow-up. Information provided represents the status as of the last day of the reporting period. The CSG IV&V team migrated from a legacy observation tracking tool to the *TeamCSGSM Risk Assessment Tracking* tool in February 2016. As required for tracking legacy observations, an identification number (ID) referenced within the title of an observation, under the Title column, denote the original ID assigned by the legacy observation tracking tool.

4.3.1 New Observations and Recommendations

The nine observations and recommendations listed in Table 2 were new in August. However, they were all resolved by the end of the month and their specific details are provided in Table 3 - Closed Observations and Recommendations.

Table 3 – New Observations and Recommendations

ID #	Title
208	Safeguarding Sensitive Personally Identifiable Information (PII) During Testing
210	Hybrid Pilot Defect Management
213	Extended Regression Testing Schedule Risk
212	Quality of Code
206	Hybrid Pilot - Defect Priority Level Degraded
205	Application Error Page Issues
209	Issues Related to Worker Inbox
211	Entering Pilot with Existing UAT Defects
204	Hybrid Pilot - Conversion Issues

4.3.2 Closed Observations and Recommendations

Table 3 – Closed Observations and Recommendations

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
196	Bill Riippi	Technical	Quality	Software Release Process Quality	<p>08/05/16 Bill R - UAT Cycle 4 Exit Report was released on 08/04/16. This observation is closed.</p> <p>07/29/16 Bill R – This observation is closed upon completion of the formal exit report of UAT Cycle 4.</p> <p>07/15/16 Bill R – IV&V has monitored this observation since it was initiated in May. Problems in the software quality continue to impact the UAT schedule even with recent System Integration Testing (SIT) being completed prior to the code being released into UAT. The impacts include defects resulting in blocked test cases, delays for fixes, retests, or other related delays. Based on software builds for UAT, IV&V recommends improvement is required in the SIT and the overall release process. The State should work with</p>	<p>Recent releases of software builds have shown that the software processes on the project may not be following best practices. The SIT planned for the Build 5 Code was not completed (approximately 350 of 500 test cases were performed) prior to the code being released into UAT on 5/2/2016. The build included many defects, including the reoccurrence of defects that were resolved and tested in the previous software. Additionally, the Build 5 Code did not include all the planned functionality (e.g., APTC calculations and Medicaid Renewal were not included). A decision was made to release the partially tested code on 5/2/2016 for UAT, while the remaining functionality and SIT was completed. These updates were delivered early in the week of 5/16/2016. Early UAT results showed the presence of many defects, including the reoccurrence of defects that were previously resolved and tested. The release of software for UAT without SIT being completed results in UAT finding and reporting many defects that should have been resolved in SIT. Additionally, UAT is required to perform retest of each case after the defects are fixed.</p>	<p>The State should ensure Deloitte’s software release policies and processes follow best practices and include acceptable development and schedule management, SIT processes and regression testing. The State should review the related software release requirements in the Deloitte contract to confirm they are acceptable and ensure that Deloitte’s operations are in compliance. If the current contract requirements are not acceptable, the State should consider updating the current contract requirements and ensure any future contracts (e.g. M&O, applicable Change Requests) include acceptable requirements.</p> <p>The State should require Deloitte to provide detailed reporting documentation to show that they are following the policies and processes. Related service level agreements may be considered to monitor compliance.</p>	High

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					Deloitte to expedite improved software releases and consistent quality. This observation is planned for closure upon completion of the formal exit report of UAT Cycle 4.	The number of defects being found in UAT, including the reoccurrence of defects that were resolved and tested in the previous versions, suggest incomplete regression testing and the lack of a configuration control process. While these problems currently negatively impact the UAT and Pilot testing prior to Go-Live, the continuation of low quality releases during maintenance and operation (M&O) may have an overall greater impact to RI UHIP clients.		
201	Bill Riippi	Testing	Schedule/Re source	Release 7 Extension UAT Schedule	08/05/16 Bill R - UAT Cycle 4 Exit Report was released on 08/04/16. This observation is closed. 07/29/16 Bill R - This observation is planned for closure upon completion of the formal exit report for UAT Cycle 4. 07/15/16 Bill R – Due to delays in UAT, mostly related to continued testing of critical and high software defects and waiting for the related fixes to be available for retesting, the UAT schedule has been revised. As of 07/13/16, the updated plan and schedule draft includes:	The new date for completing all Cycle 4 UAT test cases and resolving all high and critical defects has been set for 7/8/2016. Regression testing is set to be performed the following week and completed by 7/15/2016. A pilot is planned to begin 7/25/2016 that has apparently been mandated by CMS and FNS prior to gaining their approval for Go-Live. In initial planning sessions to meet these deadlines, UAT managers stated concerns regarding the limited time to complete some of the long-term test cases (e.g. those requiring significant time-travel) and related risks associated with the identification of new defects and time for the vendor to implement the fixes. The three agencies are analyzing the required work requests and cases for retest to determine their	It is recommended that the State develop alternative plans to mitigate the risk of completing UAT and to support the start of the Pilot. Suggested considerations include focused UAT retesting in dedicated UAT environments and resources, performing selected regression testing on the pilot during non-conflicting timeframes (e.g. weekends or after hours), and establishing additional UAT environments and resources to allow increased testing capacity.	High

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					<ul style="list-style-type: none"> • Core UAT is scheduled to be complete 7/22/2016. • Extended Regression Testing started 7/11/2016. • Testing of originally deferred items from July (which are now included for 9/13/16 Go-Live) is scheduled to start 7/25/2016. <p>Software quality problems impacted the UAT goal to resolve all defects (e.g. after defects were retested, additional defects were found during continued retest of test cases). In an attempt to expedite defect resolution, the State directed UAT to focus only on testing and resolving defects during the week of 7/5/2016. Although defect resolution remained the priority, Extended Regression testing started 7/11/2016 to include the retest of eligibility/program related test cases. Considering the aggressive schedule and remaining testing, there is a high risk that</p>	<p>capability to meet the 7/8 date. Each agency has expressed initial concerns and cited specific cases that will significantly impact the completion of all the test cases by 7/8.</p> <p>Failure to complete UAT exit per the schedule may impact the Pilot schedule and further impact CMS and FNS approval for Go-Live on 9/13/2016.</p>		

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					not all test cases will be completely executed and all defects resolved prior to Go-Live.			
167	Bobby Malhotra	Technical	Quality	Data Integrity	<p>8/12/16 Bob M- The state have accepted this issue and therefore IV&V will update the Response Strategy as accepted, hence request the closure of this observation.</p> <p>3/18/16 Bob M - Per State “CSG to validate whether referential integrity constraints exist among required active tables. Tables remaining from the transferred solution and not required in the RI system, are not an issue.”</p>	<p>The transactional schema IE_APP_ONLINE alone includes over 2,600 tables/views including the audit tables), rough counts of parent/child relationships via foreign keys accounts for less than 1,000 tables. The audit tables (with names ending in A) are not expected to have foreign keys by design, but that only explains about 500 of them leaving another 500 for further review.</p> <p>Based on table counts, there seem to be hundreds of transaction tables that do not have any foreign key relationships at all. Unless all of these tables turn out to be truly “disconnected” for valid reasons, there may be significant omissions in the referential integrity (RI). Missing RI can allow invalid values to be populated and subsequently these rows may be missed in queries that perform a join on what may be expected to be firm relationship with another table. Without RI to preserve a relationship, a value that is used by a table, which is missing the foreign key definition, can have its row deleted in the parent table with no warning or error. Although the application may be programmed in such a way as to enforce the relationships via code,</p>	<p>The recommendation is to perform a thorough review of the tables that do not have any RI constraints to see why so many such tables exist. Furthermore, an analysis of all tables should be performed to ensure that no other foreign keys are missing. This can likely be expedited somewhat based on column naming conventions to identify columns holding common keys. In the event that columns are not utilizing RI for intentional reasons such as runtime performance issues or the requirement to hold data that has not yet passed validation, a systematic approach to documenting these as column comments in the database and/or notes in the data dictionary is recommended. These decisions and comments should be shared beyond the development team to include users that may be performing support activities including state staff.</p>	High

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						this approach does not support detection when data is manually manipulated as part of a data fix.		
182	Gloria Darby	Testing	Schedule/Re source	Risk of Completing UAT On Time	07/27/16 Bill R – The State and IV&V has agreed to closure of this observation since Cycle 4 UAT testing has ended. 04/20/16 GD - Additional NG/DHS staff has been made available to support UAT. The State is also considering adding weekend testing.	Deloitte is providing defect fixes and/or placing defects in a ready for test status at a pace that cannot be supported by UAT. With the number of test scripts and the limited number of resources, retesting the defects and verifying the validity of the fix is not possible without further putting the schedule of new case execution at risk.	The State should consider adding additional staff to focus on the retest efforts. This could minimize the impact of pushing actual execution off track.	High
128	Bobby Malhotra	Technical	Quality	HIX Application Framework Still Requires Data Synchronization (Duplication) - #411	8/12/16 Bob M- As the design is accepted by the State and Deloitte have outlined the synchronization process within Single Database deliverable, IV&V request the closure of this observation. 3/21/16 Bob M - Deloitte submitted the draft of single database approach document to the State and IV&V outlining the flow of HIX/IE application flow.	What: The HIX application framework still requires that the data which is directly accessed by the application exists in the HIX database schema (a copy) even though with the new single database design the master “source of truth” is considered to be the IES database schema. Implications: Storing copies of the data and synchronizing changes back and forth incurs some risk of sync failures. In one specific scenario where data has been saved in the citizen portal without submitting, changes made in the worker portal can synchronize back and overlay the citizen-entered data, causing data loss.	The State Tech Team and Deloitte should collaboratively review the design and implementation to ensure that synchronization failures will be automatically retried and processes are in place to escalate any ongoing failures. Ensure that all failure scenarios are thoroughly tested. Ensure sufficient negative testing is performed (such as having a DBA lock a table to block updates) and validated for all anticipated and potential synchronization failure scenarios. Ensure fatal conditions at runtime are properly logged and escalated to mutually agreed contacts with the support team and the State. In addition to handling synchronization exceptions as they happen,	High

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							perform periodic validations to ensure the data stays properly synchronized.	
213	Michael Crerar	Schedule	Schedule/Resource	Extended Regression Testing Schedule Risk	8/29/16 Bob M - This Observation is closed per State direction that ERT is extended through 8/31 and the State's acceptance of the risk. 08/24/16 - MC - This observation may be closed. ERT ended on 8/19 with three test cases in a 'not run' status. There is an ongoing effort to execute the test cases, retest, and cleanup defects to mitigate risk to the system. This effort will end on 8/26.	Due to the number of 'open' critical and high defects (8 Critical and 138 High as of 8/15), as well as the cases on-hold and deferred resulting in some functionality not being fully tested, there is a high risk that Extended Regression Testing (ERT) will not be completed as planned on August 19. IV&V is aware that the State has requested Deloitte to extend of the deadline to complete ERT. If an extension is not granted, it does not seem possible to complete ERT on time considering the current progress and results. Not completing the ERT and resolving the defect will likely impact system operations and performance after Go-Live.	The State should consider requiring Deloitte to extend the deadline to allow for testing and retesting of defects as well as executing the test cases. The State should require Deloitte to provide dates for when the outstanding defects will be fixed and ready for testing.	High
212	Bill Riippi	Technical	Quality	Quality of Code	8/29/16 Bob M - The Release 7 software is stabilizing through UAT/ERT and the resulting fixes. Deloitte reported that with each UAT build, regression testing is performed and after each UAT deployment, a smoke test is done before handing over the environment. Deloitte will continue these processes through the	Software Quality remains an issue throughout ERT. The number of defect fixes rejected and/or reopened daily continues and hinders the planned completion of the testing effort. Additionally, new defects are being found in cases that are being tested that were not previously tested or are being tested as part of the regression test. In addition, a number of defects found in new releases had been fixed previously. The numbers below provide a summary of the defects being	The State should require Deloitte to thoroughly smoke test and provide results for validation. Deloitte should also be required to reinstitute its checklist used in Phase 1 for validation. The State should audit Deloitte's SIT, Regression testing and configuration control process to assure they are employing acceptable best practices.	High

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					end of ERT. Deloitte and the State have a plan to address the critical and high defects and plan for any interim business processes needed for unresolved items found late in the test cycle. This observation is closed based on the process agreement and the State's acceptance of the risk.	closed and logged during ERT from 7/25 to 8/15 and illustrate the negative impact of the Software Quality on the ERT progress. <ul style="list-style-type: none"> • 131 (10 Critical and 121 High) defects were closed. • 190 (16 critical and 174 high) defects were logged. A major productivity impact is caused by Software Quality problems since State testing is hindered when defects are found and must be logged. Furthermore, the State testers are subsequently required to retest work previously tested. Overall, the issues being found with the software quality suggest potential problems with the SIT, regression testing, and configuration control processes being implemented by Deloitte prior to the software delivery.		
208	Bobby Malhotra	Testing	Scope	Safeguarding Sensitive Personally Identifiable Information (PII) During Testing	8/29/16 Bob M - Deloitte is taking action to remove PII from the JIRA tickets and assuring it is not added in the future. This Observation is closed based on Deloitte's action and the State's acceptance of the risk. 8/19/16 Bob M- Upon State's request, IV&V submitted list of JIRA tickets having PII information to the State and Deloitte. Deloitte is planning to	IV&V has observed instance of PII information being included in a screen print as part of the problem description entered in the defect management tool (JIRA) for supporting Hybrid Pilot activities. Deloitte USI/Offshore, several agencies engaged with UHIP is accessing JIRA and has access to the PII data while fixing or reviewing and/or addressing the defect/ticket logged. Disclosing PII in such a manner is against the security guidelines set up by federal partners. Lost or compromised PII could result in	State should require Deloitte to eliminate storing PII information onto JIRA for all testing activities. Additionally, Deloitte should be required to remove all instances of PII that have been loaded into JIRA. Security controls compliant and guidance with NIST and CMS should be put in place to ensure adequate accessing and handling of PII while testing or debugging work requests. Ensure appropriate HIPAA training is provided to the implementation/testing group before accessing the production data.	High

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					resolve this observation by removing PII from the JIRA tickets. Observation will be monitored until all PII is removed and acknowledged by the State or Deloitte.	substantial harm to an individual.		
206	Bobby Malhotra	Testing	Scope	Hybrid Pilot - Defect Priority Level Degraded	<p>8/29/16 Bob M - Deloitte and State agreed on a process where priority changes on incidents that were reported by state pilot workers will be coordinated by Deloitte to assure state agreement. However, incidents that are logged by Deloitte will not be coordinated if the state is not involved in these incidents. This Observation is closed based the State's acceptance of the process.</p> <p>8/19/16 Bill R - Deloitte notified IV&V that any priority changes on incidents that were reported by the field (i.e. state pilot workers), will be coordinated by the Deloitte team to assure state approval/agreement. However, incidents that</p>	<p>Several (greater than 15) defects have been degraded from P2 to P3, seemingly without specific agreement with the State (e.g. State signoff or a specific note on the JIRA tickets/defects). Revising a defect level from P2 to P3, effectively changes the priority level for the defect resolution. As such, the State should require its approval of all classification and reclassification of defects. If it does not, the defects in key functionality, and the pending resolution, may be reprioritized without State knowledge.</p>	<p>As Priority is quite a subjective decision that is determined by considering Business need for fixing the defect and by looking at the Severity/Impact; the State should require Deloitte to revisit all the defects that have been degraded and going forward State should require appropriate documented approval prior to changing any priority level. Any such defects that require changes on the priority level should be discussed during the daily triage call, so that all agencies can come to a collective decision and agreement.</p>	High

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					are logged by the Deloitte operations team will not be coordinated, since the state is not involved in such incidents.			
210	Bobby Malhotra	Testing	Quality	Hybrid Pilot Defect Management	8/29/16 Bill R - Based on an agreed process for Hybrid Pilot, Deloitte will work with the State to add closure or resolution comments on all JIRAs. Deloitte noted that the process for closure differs based on incidents logged by the Hybrid Pilot sites vs. Deloitte operations staff. This observation is closed based on the agreed process and State's acceptance of the risk.	Defect tickets are being closed/cancelled without documenting a defined resolution onto each JIRA ticket. The majority of defects (estimated 95% based on JIRA dashboard) have been closed/cancelled/deferred without the acknowledgment by the State (e.g. note or comments from the tester on the resolution to justify closure) being entered on the Hybrid Pilot Work Request dashboard. Closing or cancelling defects without State's acknowledgement could result in future confusion or disagreements in the tracking and resolution of defects.	The State should require Deloitte to inform the State Pilot staff to include their closure comments in JIRA, before Deloitte closes/defers/cancels a defect. This process should be defined and implemented immediately. Existing closed, cancelled or deferred defects should be re-reviewed by the State and the applicable State comments should be added for audit purposes. The State should also instruct State testers to provide required justification for closure (e.g. upload appropriate screenshot, including closure comments). If Deloitte has been tasked to maintain the JIRA defects, State should ensure Deloitte support staff is adding appropriate closure comments with the date and the name of the worker who is acknowledging the fix.	High
194	Bobby Malhotra	Technical	Quality	Preliminary IV&V Security Assessment Report (SAR) Revealed Several Findings	08/31/16 Bob M - Closing the observation as all "High" findings from the preliminary SAR has been addressed. Moderate and Low findings are being tracked under	The preliminary SAR, performed by the IV&V Team and based on MARS-E 1.0 controls and vulnerability testing on application code and the network/servers, revealed several findings. The findings were categorized as 29 High, 17 Moderate, and 4 Low. Per	The State should require Deloitte to provide the remediation plan to address the IV&V findings. Ensure all highs are being addressed prior to Go-Live. Resolution of High findings should be scheduled prior to Go-Live and the priority levels should	High

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					POAM deliverable. Hence closing the observation. 07/15/16 Bob M- Deloitte reported 12 High findings have been resolved as of 7/15. 07/08/16 Bob M- Per Deloitte "9 out of 16 high findings have been fixed currently, remaining are in progress"	CMS/FNS guidance, Go-Live is not allowed with more than 5 High findings. Additionally, all High findings must be resolved within 30 days.	be determined by the State technology leads or CISO. Planning must also consider the potential findings in the Final SAR based on MARS-E 2.0 to support the 08/01 formal authority to connect (ATC).	
205	Bobby Malhotra	Testing	Quality	Application Error Page Issues	08/31/16 Bob M – Pilot has ended and State accepts risk that the application error issues will be fixed as required. This observation is closed. 8/29/16 Bill R - Deloitte reported most of the application error page issues result of from data issues. These errors have been reviewed to identify if they are application defects or errors caused by bad data. Deloitte has corrected data issues via conversion updates or data scripts. Most related application defects have been fixed, with the last P2 defect planned for implementation on	A significant number of application error page issues have occurred in the Hybrid Pilot that result in halting the application process. The application error page issue may be an indication that the code is not stable, the exception handling framework may not be designed to handle such exceptions, and/or exception handling was not comprehensively tested. Application errors, when introduced, impact the productivity of the workers as the application errors halts the process and requires the worker to repeat system login. Additionally, the worker is not automatically taken back to the screen where the error was introduced and is required to initiate the case from the start. If this issue is not resolved prior go-live, it will result in significant productivity constraints during operations.	The State should require Deloitte to perform a manual and automated code review prior to deploying code into production. Application Error Page exceptions should be prioritized and fixed. The State should require Deloitte to provide detailed root cause analysis with a long term fix solution prior to Go-Live.	High

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					8/31. However, application errors continued related to data issues.			
199	Bill Riippi	Plan	Schedule/Resource	Release 7 Extension Planning and Communication	08/31/16 Bill R – Planning and coordination is progressing. With the completion of the Hybrid Pilot, IV&V is closing this observation on Release 7. 07/22/16 BR – Planning is ongoing and is being coordinated in the threads. IV&V will continue to monitor this observation.	On June 21, an announcement was made to extend Go-Live to September 13, 2016. However, no specific planning has been made available to the IV&V team nor apparently the implementation team members. During the UHIP Project Management Team (PMT) meeting on June 28, IV&V observed that State Leadership was meeting with CMS and FNS on in the afternoon to discuss high level planning. Based on IV&V’s understanding from the PMT meeting, the detailed scope, planning, and schedule is still pending approval. Project resources are considering actions for the extension, but without a well-defined scope and a specific plan and schedule, most of the activity seem to be based on word of mouth directions or assumptions. The new implementation date is approximately 10 weeks away and without a full definition of the scope and a detailed plan and schedule, the risk of meeting the new date is high. The lack of clear communication of the scope and plan can lead to inefficiencies and the lack of constructive coordination between the project team(s), increasing risks and	The PMT should quickly develop a high level plan, addressing scope and schedule, within the next week for communication to the entire project team. A detailed plan should follow within the next week including the specific planning, scope and schedule, and detailed activities for each agency. Required contract changes for all vendors should be implemented immediately to avoid delays or gaps in service. State and project teams should ensure resources are available and control vacation and other leave for critical resources where possible.	High

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						potentially leading to additional delays.		
107	Bobby Malhotra	Technical	Quality	Production Data Access for Phase 2 Interface Testing - #384	<p>08/31/16 Bob M- Deloitte staff were provided access to Production data during UAT/ERT/ Hybrid Pilot testing efforts. IV&V proposes closure of this observation.</p> <p>07/1/16 Bob M- IV&V to monitor this observation until go-live. Per Deloitte Security lead - the security controls for safeguarding protected information will be shared with Hybrid Pilot group.</p>	To test interfaces and batches, Deloitte requested testing with converted data in UAT CV for SSA interfaces, SSP Payrolls, mid-certification notices, etc. The approval was granted for two Deloitte individuals to access Production data. The State CISO firmly stated that Deloitte could not access Production data without masking when testing.	Production data use for UAT should be eliminated, if required the necessary State leadership approval should be taken and hence CMS should be informed. Deloitte and the State should work with external sources (interfaces) to find an alternate. Otherwise, this will hamper the UAT E2E testing for Cycle 3. Also, no batch should run to process files from Prod SFTP server for SIT or UAT.	High
110	Bobby Malhotra	Technical	Schedule/Resource	Interfaces Schedule for Release 7 - #387	<p>08/31/16 Bob M- The UAT/ERT/Hybrid Pilot efforts are complete and required interfaces have been identified. IV&V proposes closure of this observation.</p> <p>07/27/16 Bob M- This observation will be monitored until all critical interfaces are successfully tested.</p> <p>05/27/16 Bob M - Majority of the interfaces have been dropped into UAT but the success or pass</p>	Several interfaces require reach out to the source with considerable work around. Many interfaces are under SIT or development. There are 15 trading interfaces marked as off track as of 4/15/16. Several (~30) interfaces were initially missed and included in the list during planning phase of the UHIP project, these interfaces can significantly impact overall functional productivity if not ready by Go-live date.	A plan is required to get on track. State should insist Deloitte to provide definitive timeline and the plan of interfaces testing for interfaces readiness. DUA should be signed between the agencies if required	High

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					percentage has been degraded to date.			
198	Bill Riippi	Plan	Scope	Release 7 Extension Scope Control	8/29/16 Bob M- The State accepts the risk of only minor functionality added into the September release. This Observation is closed. 07/22/16 Bill R – The State has considered the risk and only introduced minor functionality into the September release. IV&V will reduce this risk rank to Medium.	IV&V understands State Leadership is reconsidering the decisions to defer functionality from the initial implementation since there is a 60-day extension for Go-Live. This includes functionality and features determined to be non-critical to Go-Live when it was scheduled for July 12, 2016. IV&V also understands that CMS and FNS are adding testing and pilot requirements prior to the September 13 Go-Live that is a mandatory increase in the scope. Bringing back deferred functionality results in expanding the scope of the system implementation for the new Go-Live date will increase the risk to meet the extended implementation schedule. The current scope considered for the July 12 Go-Live, with the deferred scope, was determined to be too high and required an extension. Adding scope back into the implementation with minimal time to analyze and evaluate the impact may result in additional delays or impact system operations.	It is recommended that the State avoid any scope increase beyond that planned for the July 12 Go-Live. The State should focus on the new scope mandated by CMS and FNS and not try to increase other scope during the short extension period.	Medium
202	Bobby Malhotra	Plan	Quality	Roll Back Plan Not Technically Defined	8/29/16 Bob M - The State informed IV&V that an acceptable plan has been finalized and submitted to CMS. This Observation is closed	A Roll Back Plan has been created and published to the State and federal agencies. Per the plan, there is only a one-day window to roll back after going live on 09/13. Additionally, there is little or no	The State should revisit the Roll Back Plan to increase the 24-hour window post Go-Live to rollback. Detailed plan should be established and activities like batch run, critical interfaces,	Medium

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					based on acceptance of the plan by State. 08/5/16 Bob M - NG submitted the draft plan to State and IV&V for their review. Alternate options are being explored by both the State and NG at this time. This observation will be monitored until the plan is finalized and approved by the State and trading partners.	technical documentation on how the interfaces can be rolled back or how the data will be backed up. To support roll back in one-day could be challenging for the external sources as they could fail to support the configuration, IP, or SFTP folder location changes. Batches may not be thoroughly tested and data consumption from external sources may not be appropriately tested within the one-day period.	eligibility determination using federal and State sources (DOH, DOC, VLP, SAVE, RIDP, etc.) should be included in the plan to be validated before the final checkpoint for rollback. All the processes and manual work around which will be required to rollback should be documented in the detailed plan. Communication plan should be updated with POC for each agencies. Workers from across the agencies should plan to be fully trained during initial weeks to operate the RI Bridges application from 9/13. Deloitte onsite support should be a put in place for at least first few weeks' post go-live.	
211	Bobby Malhotra	Testing	Quality	Entering Pilot with Existing UAT Defects	8/29/16 Bill R - This observation is being mitigated with continued defect resolution in ERT and Pilot. State agrees with mitigation and understands the risk. This observation is approved by State to be closed.	A number of outstanding defects from UAT remained unresolved prior entering Hybrid Pilot. As a result, these defects were also present in the Pilot environment when it was started on 7/25. These open defects have impacted the testing efforts in Hybrid Pilot. The workers have encountered instances where they have challenges helping the customers during the walk-in process and/or fail to complete end-to-end transactions during Pilot timeframe.	Continue to resolve these defects as part of Extended Regression Testing. Share workarounds for high/critical defects that are unresolved with the State and Deloitte Hybrid Pilot staff so that workers can proceed entering the case/application data to complete the application end to end within RIBridges while assisting walk-ins at Pawtucket office.	Medium
179	Bobby Malhotra	Technical	Quality	Security - User Role and Permission Matrix	08/31/16 Bob M- The UAT/ERT/Hybrid Pilot efforts are complete and user access was	The single database approach consolidated the HIX/IE permission matrix. This allows for the management of all user roles and	i) Require Deloitte to provide the SIT scripts, with the results, to validate appropriate end-to-end user role-based testing.	Medium

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					tested to their authorized screens. IV&V proposes closure of this observation and State agrees with tested performance. 07/22/16 Bob M- Testing efforts pertaining to User roles were not successfully completed in UAT. IV&V will monitor the user roles testing during Hybrid Pilot.	the permission matrix within IES/RIBridges. Significant testing is required to assure that each user has access to their authorized screens. Failure to correctly authenticate and authorize each user could result in a security incident post. In addition, it may lead to permission issues with the application approaching Go-Live.	ii) Require the execution of the appropriately documented test plan and UAT scripts and during UAT and the pilot. iii) Require each Agency to assure the successful testing and verification of all the roles per their business rules before Go-Live.	
168	Bobby Malhotra	Technical	Quality	Data Conflicts found during the InRhodes and HIX data conversion to RIBridges.	8/31/16 Bob M- The process has been established to mitigate the conflicting accounts. After the cleanup activities, the numbers have been significantly decreased (Approx. 3400 accounts require intervention out of 19K accounts). Closing this observation as it is being mitigated. 07/29/16 Bob M - Changing the Risk Rank from High to Medium as this being mitigated. 07/22/16 Bob M- Per State "Notice will be sent out to the customers who have conflicting information between both (HIX/InRhodes) the system." There are	During the conversion process, a significant number of data conflicts (e.g. different employment, income, address, etc.) have been found in the records of individuals during the InRhodes and HIX data conversion to RIBridges. The number of conflicts reported to date is already large and conversion is not complete. The exact plan for resolving the conflicts is still in work and manual effort may be considered to resolve the conflicts. These conflicts have to be resolved prior to the execution of any major batch and/or prior to go-live. The impact of the data selected must be carefully considered with regard to subsequent eligibility determination in the new system. If data is selected that is not current and incorrect, individuals who are currently eligible for benefits may be denied.	State should require Deloitte to provide status reports, including results of specific conversion conflicts identified (e.g. the number and types of conflicts). A plan should be developed that includes a timely approach to fix these conflicts prior to go-live. If the approach includes manual intervention, acceptable resource plans should be included. Mitigation plans should be considered due to the risk of individuals who may be eligible for benefits being denied due to incorrect data conversion.	Medium

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					approx. 19K notices that will be sent out. IV&V to monitor until the notices are sent out.			
189	Bobby Malhotra	Technical	Quality	System Resource Allocations	<p>08/29/16 Bob M- Closing the observation since the Final Production environment has been established and Deloitte is making final configuration adjustments. This observation is mitigated.</p> <p>07/29/16 Bob M - Changing the Risk Rank from High to Medium as this is being mitigated.</p>	The production topology has not been finalized. Based on the draft production topology, significantly more application servers have been added. Based on the draft production topology, significantly more Mule Enterprise Service Bus (ESB) servers, application servers, etc. have been added.	The State should require Deloitte to finalize the infrastructure topology. The capacity plan should be updated and published to the State. All required VMs for performance testing environment should be created for the Release 7 performance/load test. Identify any concerns over points of failure, performance bottlenecks, hardware and software initial purchasing/licensing costs plus corresponding annual budgetary impact for maintenance fees	Medium
116	Bobby Malhotra	Technical	Quality	UHIP Infrastructure - Open Source Products - #394	<p>08/31/16 Bob M- State is reviewing the existing contract to determine what software can be upgraded or purchased going forward. This observation is mitigated and will be closed.</p> <p>02/16/16 Bob M - Deloitte has provided list of all major open source software products to the State and IV&V. Under MARS-E 2.0, State is require to use licensed</p>	UHIP infrastructure uses open source products to support major pieces of architecture in the production environment. Lack of commercial support available for majority of the open source products, senior technical expertise are often required to maintain/debug such products	The open source products should be researched and analyzed to determine the level of risk exposure, if any, that is being imposed by using these products. An example is Mule ESB, Apache ActiveMQ.	Medium

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					version software rather any open source product. Deloitte is working with Apache and Mule to get commercial licenses for ESB and ActiveMQ.			
165	Bobby Malhotra	Technical	Quality	UHIP Security Certificates Not Being Tracked	<p>08/31/16 Bob M- Closing this observation as the process has been established.</p> <p>07/29/16 Bob M - The process to keep track of all the security and other certificates has been established. The State informed IV&V the process could be improved, but they are alerted one month before expiration. The State and IV&V agree the Risk is Medium.</p>	A process has not been established to track the validity (e.g. expiration dates) of the security certificates and other types of certificates used/installed within UHIP system. Without a process and tool to manage these certificates, they may unexpectedly expire and result in interruption of the services if not renewed on time.	The State should require Deloitte to develop a process to manage and track the validity of all certificates used in the UHIP system (Customer portal, training environment, testing environment, phase 2, DR site). Certification reporting process should be prepared and consistently reported to the State.	Medium
204	Bobby Malhotra	Testing	Quality	Hybrid Pilot - Conversion Issues	<p>08/31/16 Bob M – Pilot has ended and State accepts risk that majority of the conversion issues discovered during pilot will be fixed through the data fixes as required. This observation is closed.</p> <p>8/29/16 Bill R - Deloitte reported that during Pilot operations additional changes to</p>	<p>Several issues have been found in Hybrid Pilot resulting from incorrectly converted data. Issues observed include, but are not limited to:</p> <ul style="list-style-type: none"> • Address discrepancies; in some instances, it is observed that addresses are converted incomplete and require manual intervention by the workers to correct (e.g. zip code converted with 4 digits instead of 5). • 900 records present in SSP Issuance file for August but not present in RIBridges. 	The State should require Deloitte to evaluate the reasons for the conversion problems being found in the Pilot and perform thorough conversion testing prior to Go-Live to assure the same problems do not occur. The testing should be conducted before establishing/finalizing Phase 2 Production environment with production data. These issues should be addressed during last Mock conversion.	Medium

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					<p>the mapping logic were required. Deloitte worked with the State to obtain the business rules to continue processing cases when there is conflicting information and apply required data fixes during the Pilot. All data fixes will be applied and tested after final conversion for Go-Live.</p>	<ul style="list-style-type: none"> • In some instances, the converted data has been loaded in such a way that the user is both MA and PCPA eligible for the same period. However, in the source tables the user is only MA eligible. • Converted SSI payment from 4 years ago is provided with no end date. The end date for the payment is not being converted and causing the worker to have to enter manually the end date for the payment. Additionally the payment status is selected as approved and there is no way to change the status. • Sanctions did not come over; in some instances, it is observed that individual's information did not have sanction records and was not available on the non-co-operation screen. The data is available in InRhodes, the family had a full family sanction with WS code in InRhodes. • In some instances (PIL-212) relationships are not shown up incorrectly in Worker Portal, although they are correct in customer portal. • Unable to search and view the individual's data on DC screens and move ahead with the Intake action as individuals in RIBridges not associated with case; individual are though found in InRhodes in an LTSS case. If the conversion issues are not addressed prior to Go-Live, they 		

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
						may significantly impact producing correct eligibility results and/or unexpected results during operations.		
209	Bobby Malhotra	Operational Readiness	Quality	Issues Related to Worker Inbox	<p>08/31/16 Bob M – Pilot has ended and State accepts the risk that remaining issues pertaining to worker inbox will be fixed prior to Go-Live. This observation is closed.</p> <p>8/29/16 Bob M - Many of the issues identified have been resolved. However, some issues remain and they are being addressed as soon as possible. IV&V is moving this to a low risk in agreement with the State.</p> <p>8/19/16 Bob M - The Deloitte has deployed several of the fixes and IV&V continues to monitor progress.</p>	<p>Several issues have been observed related to the worker inbox during testing in Hybrid Pilot environment. Issues include, but are not limited to:</p> <ul style="list-style-type: none"> Workers are unable to find the tasks in their inbox in a sequential order. Worker inbox taking few minutes to load and for some users the inbox not loading even after waiting for a few minutes. Individual tasks are created for number of documents scanned associated to same case (there should be one task for the group of documents associated with the case). No logical process to indicate which task(s) in the Inbox are already being picked up or are in process by another worker (e.g. there is no flag that the tasks are in work or that another worker has already selected it). <p>The issues being experienced with the inbox do not allow workers to follow the complete business process. If this is not corrected, workers will have to perform extraneous efforts while searching for their lobby tasks or any tasks which they are supposed to work on and duplicate work may be performed on the same case.</p>	State should require Deloitte to perform a detailed root cause analysis on all the issues related to worker inbox that are observed during Hybrid Pilot testing. If required, worker inbox design should be revisited to examine if any change is required which can address and/or provide a long term resolution.	Low

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
156	Bobby Malhotra	Technical	Quality	Availability and Content of Design Documents	<p>08/31/16 Bob M– This observation is closed as it is being tracked under observation 111.</p> <p>7/29/16 Bob M- The State mentioned that technology deliverables for CCI was not agreed upon with Deloitte. Technical details are consolidated into functional deliverables. This observation will be monitored to track the progress on existing deliverables that require updates based on CCI/Single database design deliverables.</p>	<p>Terminology used in the database design document is not always used in a precise technical manner. Most of the high-level system documentation has not been updated since 2013. The documentation does not reflect a comprehensive baseline of what would have gone live for the original 2015 release. It does not incorporate the changes for the single database design for go-live in 2016.</p> <p>The state will not have a clear picture of the system they are receiving which can impact the long-term maintenance and support of the system. Specific examples have been listed below from individual observations in the Database Consolidation Readiness Assessment Report.</p> <p>#148/432: The single database design document does not paint a clear picture of the final design and implementation. The terminology for database and schema in particular were frequently interchanged or used ambiguously. The re-characterization that the citizen portal will utilize a separate “staging database” is misleading because it is neither a separate database, nor does it reflect the ongoing use for other programs within the citizen portal such as SHOP that are not being consolidated with IES.</p>	<p>The State should request that Deloitte revise the existing documentation for the single database design to explicitly show at a schema and table level what is considered the source of truth and what is considered a synchronized copy of the data. The State should request that Deloitte provide additional documentation, including an overall CRUD matrix plus documentation showing the disposition of each HIX table from a post-conversion standpoint.</p> <p>Request documentation, including a thoroughly reviewed and updated single database design document with a focus on clearly articulating the baseline that would have gone live and itemizing the differences in data storage and replication that will be used by the current implementation. Request a master CRUD matrix showing system-wide usage of data at a schema/table level. Document all existing Phase 1 schemas and tables with a disposition status on each (unused, unmodified, partially converted, dropped, etc.).</p>	Low

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
						<p>#149/433: Master matrix showing where data is created, read, updated, and deleted (known as a CRUD matrix) does not exist. The technical designs for individual widgets were identified as having the details for usage of data elements, but these may not be readily cross-referenced or searched across the entire system. Maintenance staff may not be readily able to identify the true impact of data or design changes.</p> <p>#135/418: No systematic identification of HIX/SSP table-by-table disposition has been documented. Users performing ad-hoc reporting, support staff researching discrepancies or implementing data fixes, and future developers and system designers will not have a clear picture of what source system transactional and historical data is valid.</p>		

4.3.3 Monitored Observations and Recommendations

Table 4 – Observations and Recommendations Monitored

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
117	Bobby Malhotra	Technical	Quality	UHIP-HIX/IE Security Audit - #395	06/03/16 Bob M- During weekly security meeting, Deloitte stated that the SOC 2 Type II test has been postponed for after go-live. IV&V have changed the priority level from Medium to HIGH. 05/27/16 Bob M- There has been no update or work around on this annual audit observed since the determination of conducting SOC 2 Type II audit on the UHIP system.	UHIP-HIX/IE Security Audit Grant Thornton have been appointed to conduct the security audit on UHIP-HIX/IE. The State and Deloitte agreed upon having a SOC 2 Type II audit completed. Grant Thornton’s team have expressed some concerns conducting a SOC 2 audit and requested an AT101 audit instead. According to the Bridging document, the audit should be equivalent to SAS Level 2. There is uncertainty and a lack of information available to the State with details to help them distinguish between both audits.	Require Deloitte to provide detailed information on AT101. Additionally, the language in the bridging document should be closely reviewed before making any determinations. Immediately require the close review of the SAS level 2 to determine the scope of SOC II Type 2.	High
100	Bobby Malhotra	Requirements	Quality	Phase 2 - Requirement Traceability Matrix - #371	08/31/16 Bob M- During the ORR call, CMS requested State and Deloitte to submit the RTM prior to go-live. Deloitte is in process to match the RTM with the passed test cases to make sure each requirement has been successfully implemented prior to go-live.	The current RTM partially supports the new centralized database approach for the UHIP architecture framework. The citizen and the worker portal applications will be integrated with shared functionalities. This will be a significant change to existing architecture, including security and shared application frameworks. Without an updated RTM it will be difficult for the State to interpret and keep track of the requirements. The RTM helps to create a downstream and upstream flow of connecting software requirements to product requirements.	As changes are implemented, Deloitte and the State should perform the required updates to the RTM. The RTM will help ensure that the project requirements are met as well as track all changes made to the system.	Medium

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					07/1/16 Bob M-Deloitte tech team will be scheduling a weekly or bi-weekly meetings with State tech team to walk through the current status of appendix N.			
111	Bobby Malhotra	Requirements	Quality	Existing Plan Deliverables not Updated and Revised - #388	08/31/16 Bob M-Degrading the Risk Priority from High to Medium as the process has been established to update the existing technical deliverables. IV&V to provide feedback on technical details included within CCI deliverables to the State by 9/7/16. 05/27/16 Bob M-IV&V to review CCI and other Release 7 technology deliverable and provide the feedback to State/HSRI on the content and level of technical details available from the technical perspective.	The system architecture, DR plan, capacity plan, database development, configuration plan, and others have not been updated with the new Phase 2 single database design. These deliverables will be required for the maintenance period and future system audits on the UHIP system. Additionally, the total number of environments, servers, and licensed software installations may be in excess of original planned and licensed quantities that could incur additional licensing costs.	Acknowledge and encourage Deloitte to update the technology and database related existing deliverables. The State should identify all essential technical documents for Deloitte to update to reflect the single database design. Request a Software Licensing Analysis and True-Up from Deloitte to provide an audit and balancing of all ordered versus used software to ensure compliance with licensing terms.	Medium
158	Bobby Malhotra	Technical	Scope	Consolidated Database Design –	08/31/16 Bob M-Changed the priority level to	During the development of the Database Consolidation Readiness Assessment Report, four of the security	The State should ask Deloitte to identify all infrastructure platforms and locations where	Medium

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
				Security Assessment	<p>Medium from High. IV&V to request update on this observation from the Deloitte and State on the status of encrypting the archival folder on SFTP.</p> <p>05/27/16 Bob M - Per MARS-E 1.0 Data at rest has to be encrypted or proper isolation needs to be in place. IV& logged this as a finding in preliminary SAR deliverable.</p>	<p>areas evaluated in the database implementation had the following issues identified. This detailed list was noted in the original report issued on 01/29/16.</p> <p>#129/412 (High/High) – Although the Oracle databases are using transparent data encryption for data at rest, other application layers including application servers, ETL tools, and secure FTP landing zones need to be reviewed for any storage of sensitive data.</p> <p>#132/415 (Medium/Medium) – The HIX/IES single sign-on session management design is not finalized and tested.</p> <p>#141/425 (Low/Low) – Access control policies and procedures for direct database access are not formalized in writing.</p> <p>Based on current information, the overall Probability and Impact ratings are both High.</p> <p>Implications: Sensitive data stored on disk (at rest) in unencrypted format is at risk for access from remote access over the network, at the operating system level, or physical access to the drives themselves.</p> <p>Session timeout within one application (e.g., IES) while user actions are focused in the other (e.g., HIX) could potentially result in data loss.</p> <p>Lack of formalized access controls may result in improper authorization or incomplete audit trails for access to the database.</p>	<p>sensitive data is ever at rest on disk and what options are in place or available to ensure this data is encrypted.</p> <p>Request Deloitte’s finalized session management design including how the risk of timeout and potential data loss will be mitigated.</p> <p>Evaluate the roles and responsibilities where direct database access is required and formalize processes and procedures to authorize and request additions, changes, and deletions of database access for staff.</p> <p>Consider the long-term support model and projected separation of roles and responsibilities that may be desired or needed down the road, if any.</p> <p>Technological alternatives exist to encrypt data at rest via disk partition encryption, encrypted file systems, and third-party secure FTP packages that transparently encrypt individual files before storing them on disk. The State security team should collaborate with Deloitte to ensure all data at rest is properly protected.</p> <p>Incorporate database access controls with the established controls for application-specific security already in place.</p>	

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
98	Gloria Darby	Quality Assurance	Quality	Section 508 Compliance (Accessibility) Testing - #368	08/23/16 GD: Deloitte has executed 17 cases (this small number of cases does not seem to be sufficient for such a large implementation). 06/03/16 BR: An SME to support Section 508 compliance testing remains unidentified. There are no current plans for Section 508 compliance testing prior to Go-Live. Deloitte's attestation remains the only justification for compliance.	Section 508 requires that all website content be accessible to people with disabilities It was inadvertently discovered that a list of codes were being excluded from Deloitte's accessibility testing, and the list was not properly documented within any deliverables. This prompted Deloitte to update the Phase 1 Detailed Test Plan (outside of the Change Management process) with the list of exclusions. Since there is no accessibility test in UAT, the State should require Deloitte to provide a letter of attestation when the accessibility testing has been completed; however, this does not equate to the true user experience. The State could face serious fines if it is later discovered that the application is not truly 508 compliant and end-users with disabilities are not able to fully utilize the system.	Identify testers who are visually or hearing impaired to test the accessibility functionality.	Medium
188	Bobby Malhotra	Technical	Quality	HSRI-IES Code Quality - Error Handling / Exception Handling		The Phase 2 "HSRI-IES" code used for the ninth Bimonthly Code Review Report, had following issues identified on Error / Exception Handling: 1) Signature Declare Throws Exception- Observed in several classes a method/constructor explicitly throwing java.lang.Exception making unclear which exceptions the methods will throw. 2) Catching Throwable- Observed in some classes, code is either Catching Throwable or Error that will also catch OutOfMemoryError and InternalError.	Require Deloitte to insist their development team follow industry's best practices while developing code. The code quality checklist should be provided to the development team and closely monitor if they make sure to RUN Sonar and complete peer code reviews before checking in class to the repository. Additionally, 1) The developer should either use a class derived from RuntimeException or a	Medium

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
						3) Catching Generic Exception- In several places instead of adding different catch blocks to the try block, the programmer simply wrapped the method calls in a try/catch block that catches generic Exceptions. Another consequence of the generic catch clause is that logging is limited because catch does not know the specific exception caught.	checked exception. A method should only throw the exceptions that are relevant to its interface. Exception is the "root" of all exception, the developer should try to be more specific. Methods should not declare to throw the exception, only declare to throw the specific types of exceptions that can happen and re-throw in the catch clause. 2) Catch Exception instead of Throwable. Avoid catching Throwable; developers should never try handle error. Throwable is a parent of Exception and Error. For example, OutOfMemoryException is out of the program's scope and hence the developer should not consider these instances while coding. The recommended approach is that the application should not try to recover from errors such as these. Throwable and Error classes should not be caught. Only Exception and its subclasses should be caught. 3) Avoid catching generic exceptions such as NullPointerException, RuntimeException, Exception in try-catch block.	
187	Bobby Malhotra	Technical	Quality	HSRI-IES Code Quality - Organization		The Phase 2 "HSRI-IES" code used for the ninth Bimonthly Code Review Report, had following issues identified: 1) Comments- The IES Code is a transfer solution; the majority of the comments in the artifacts reviewed were old and not updated. Additionally, there were	Require Deloitte to insist their development team follow industry's best practices while developing code. The code quality checklist should be provided to the development team and closely monitor if they	Medium

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
						<p>insufficient comments on majority all the classes and methods reviewed.</p> <p>2) TODOs- TODO tags are commonly used to mark places where some more code is required, but which the developer wants to implement later. This could result severe issues in later time, if the developer forgets to get back to that tag.</p> <p>3) Empty methods- Observed in some modules, methods are empty. Additionally, no comments are there explaining why the method is empty without throwing any exception.</p> <p>4) Commented Code- Observed commented out code in the majority of the classes in most reviewed modules. A best practice is to delete unwanted code. This practice alleviates confusion and encourages concise and easy to maintain code</p>	<p>make sure to RUN Sonar and complete peer code reviews before checking in class to the repository.</p> <p>Additionally, 1) Well nested Class and method comments should written in each class. All source files should begin with a copyright comment header that lists the class name, version information, date, and copyright notice. 2) "TODO" tags should be handled and task should be completed associated to the TODO comments before pushing the code into production. 3) Methods should not be empty Add a nested comment explaining why the method is empty, throw an UnsupportedOperationException or complete the implementation. 4) Avoid the retention of commented-out code or unwanted code in production</p>	
114	Gloria Darby	Testing	Quality	Blueprint Testing Incomplete within Phase 1 - #392	<p>08/23/16 GD - Working with Deloitte to test and submit the remaining test scenarios for validation.</p> <p>04/04/16 GD - CSG will continue to monitor.</p> <p>03/24/16 GD - Deloitte has provided the State with a proposed</p>	<p>Phase 1 is closing with Blueprint testing remaining incomplete. Achieving full accreditation as a SBM is dependent upon successful completion of Blueprint testing 6 scenarios remain outstanding, they have been postponed from one release to another to only be deferred once again. IV&V attestation is required.</p> <p>The State of RI cannot be granted full certification as a SBM with testing scenarios incomplete. While CMS has not instituted a timeline for completion</p>	<p>Require Deloitte to provide a timeline for completing testing, achieving attestation, and implementing the required functionality.</p>	Medium

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					implementation date. The State expects to implement the remaining scenarios in the July 2016 release.	outside of the original 2013 date, deferring these test scenarios and business functionality into Phase 2 not only impacts the workload, timeline, but it also raises the concerns of additional costs.		
172	Bobby Malhotra	Technical	Scope	Annual Penetration Test Not Conducted	05/27/16 Bob M - Changed to Avoidance. There is no plan to date for conducting penetration testing on UHIP system prior to go-live by Deloitte through this contractual item.	Deloitte is contracted to perform a network penetration test every year with the results to be published to the State within 14 days of completion. The penetration test results are important and represent the potential vulnerabilities in the system and the associated security risks. Without the test results and identified risks, an evaluation of the system vulnerabilities cannot be performed.	Require Deloitte to immediately conduct the network penetration test and submit the results to the State for review within 14 days of completion.	Medium
155	Bobby Malhotra	Technical	Scope	Data feed from RIBridges to Data Warehouse	07/22/16 Bob M - IV&V to request an update on the development efforts pertaining to CSM functionality. Check if CSM is part of Hybrid Pilot scope or next steps on testing activities. 05/27/16 Bob M - Deloitte has been continuously providing the level of information and data informs of table extract to HPE for their development. UAT will be conducted	The daily batch feed of specified data fields from RIBridges to the Human Services Data Warehouse (HSDW) has not been developed by Deloitte. If the batch feed is not developed, clinical eligibility will not be able to be determined by the OMR. According to original requirements, Deloitte is required to create a daily batch feed of specified data fields from RIBridges to the Human Services Data Warehouse (HSDW), with the data to be exported determined through analysis and design to be performed by the Deloitte. To date, Deloitte has not developed a daily data feed from RIBridges to the HSDW. The Office of Medical Review (OMR) currently uses the Customer Service Management (CSM) tool to determine clinical eligibility. The CSM interfaces with data	Ensure that Deloitte is working with HP to develop a daily batch feed for the HSDW prior to go live. Weekly meetings with a detailed plan should be scheduled between the State, Deloitte and HP. If the batch cannot be developed prior to go live, an alternate plan should be discussed to ensure that OMR would have current data for clinical eligibility determinations.	Medium

ID #	CSG POC	Big Rocks Category	Dashboard Category	Title	Actions	Observations	Recommendations	Risk Rank
					<p>on CSM tool prior to go-live per OHHS. 4/22/16 Bob M - Deloitte indicated that the batch feed to Data Warehouse will be ready by mid-June. CSM readiness date from HPE has not be published to date. As the work is in progress, the risk rank is reduced to "Medium."</p>	<p>warehouse real-time to gather eligibility data of customers applying for benefits. Without a daily data feed from RIBridges, the Office of Medical Review (OMR) will be significantly impacted after go live. Clinical eligibility determinations will be based on outdated data.</p>		

4.4 Catalog of Review

This section includes a list of the RI UHIP interviews, meetings observed, and materials reviewed by the CSG IV&V team during this Monthly IV&V Assessment.

4.4.1 Interviews

This section provides a listing of personnel interviewed during the month.

Table 5 – Project Stakeholders Interviewed

Project Stakeholders Interviewed	Title or Team	Organization
Vanessa Doorley	RI UHIP Project Manager	Office of Digital Excellence
Thom Guertin	RI Chief Digital Officer / CIO	RI Department of Administration
Phil Silva	RI UHIP Technology Lead	Division of Information Technology
Deb Merrill	RI UHIP Technology Team	Division of Information Technology
Wayne Hannon	Deputy Secretary for Administration	RI Health and Human Services
Kiernan Conn	CISO	HealthSource RI
Jorge Raposo	Project Manager	Public Consulting Group
Art Schnure	OHHS SME	Office of Health and Human Services
Mary Ellen Schaeffer	Manager	Deloitte
Shannon Massaroco	DHS Asst. Director, UAT Manager	RI Department of Human Services
Hopkins, Julie	OHHS Lead	RI Health and Human Services
Michael McDonough	Managing Director	Deloitte
Ryan Fitzpatrick	Project Manager	Deloitte
Several Hybrid Pilot Testers	State Workers	EOHHS/DHS/HSRI
Russ Conway	Data Architect	HealthSource RI

4.4.2 Meetings Attended

This section provides a listing of meetings observed.

Table 6 – Meetings Attended

Project Meetings Attended	Participants
UHIP Project Management Team (PMT) Meetings	State, Deloitte, and PCG
State Technical Status Meetings	State and Deloitte
IV&V Observations, Risks and Issues Update Meetings	State and Deloitte
Phase 2 HIX/IE Batches discussion	State and Deloitte
Daily UAT/ERT Touchpoint and Planning Meetings	State and Deloitte
Daily UAT/ERT Defect Triage Meetings	State and Deloitte
Weekly UAT/ERT Defect Deep Dive Meetings	State and Deloitte
Weekly Release 7 UAT Update Meetings	State and Deloitte
UAT Exit Meeting	State and Deloitte
Weekly Release 7 interface Meetings	State and Deloitte
State Internal Tech Status Meeting	State
Hybrid Pilot Planning and Readiness Meetings	State and Deloitte
Hybrid Pilot Status Meetings	State, NG and Deloitte
RI UHIP Security Discussions	State and Deloitte
Implementation Activities and Readiness Meetings	State and Deloitte
Weekly RIBridges – MMIS discussions	State, Deloitte and HPE
UAT and Application Readiness Meeting	State, Deloitte, PCG and NG
Conversion Readiness Meetings	State, Deloitte and NG
Security Readiness Meeting	State and Deloitte
Weekly Infrastructure Readiness Meeting	State, Deloitte and NG
Implementation and Contingency Thread Meeting	State, Deloitte and NG
Hybrid Pilot - Daily Health Report and Triage Meeting	State, Deloitte and NG
Final POAM Meeting for 8/1 ATC submission	State and Deloitte
NTT connectivity	State, AHS and Deloitte
Online and Batches - RI Bridges Application Performance Test - Cycle 5 Results	State, NG and Deloitte
RIBridges Operational Readiness Review (ORR) for Release 7	State, Deloitte and NG

4.4.3 Documents and Files Reviewed

This section provides a detailed listing of all documents reviewed during the month.

Table 7 – Documents and Files Reviewed

Documents and Files Reviewed
Reviewed Deloitte’s list of security implementation activities and the risk register
Reviewed Release 7 interfaces tracker with timeline and schedule
Continued reviewing technical observations and risks with the State and Deloitte
Discussed IV&V security observations with State and Deloitte during the weekly security meeting
Reviewed KPIs and daily operations report
Reviewed Hybrid Pilot Implementation activities and the risk register
Reviewed Updated Release 7 FDDs Post-UAT deliverables
Continue to review Deloitte’s Implementation Readiness Plan Continue reviewing UHIP KPIs
Continue reviewing UHIP System Performance reports
Continue reviewing Release 7 Interfaces deliverables
Review and update IV&V Observations
Continue reviewing Updated Release 7 FDDs Post-UAT
Continued reviewing technical observations and risks with the State
Reviewed and validated DHS Hybrid Pilot Case tracker and log sheets
Reviewed and validated HSRI Hybrid Pilot Case tracker and log sheets
Reviewed and validated EOHHS Hybrid Pilot Case tracker and log sheets
Reviewed Training User Training 4 of 4 Version 1.0
Reviewed Release 7 Cycle 5 performance reports/results
Reviewed the Contact Center Integration Deliverables to help State identify if sufficient technology details are available
06_P2_Process_Doc_Contact_Center_Integration_Batch_v5.1
02 10-P2-DC Income_v3.4
11.01-P2-Process Doc-Enrollment-Contact Center Integration_v5.2_TC
05.06-P2-ProcessDoc-Support Functions - Manage Office_v5.1_TC
02 17-P2-ProcesDoc-FO-MAGI-Special Enrollment_v5.2_TC
Plan 05 - Database Development Plan
Plan 07 - Configuration Management Plan

Documents and Files Reviewed
Plan 10 - System Architecture Design
Plan 11 - System Capacity Plan
Plan 12 - Disaster Recovery
P-2 Conversion Training Material

5. DELIVERABLE SIGNOFF AND APPROVAL

The following approval form is used to indicate that this Project Deliverable, the Rhode Island Unified Health Infrastructure Project Monthly IV&V Assessment, has been reviewed by the State and all the necessary project stakeholders and the authorized signers accept and approve the content herein.

Unified Health Infrastructure Project

State Approvals

CSG Monthly Status Report	
Conditional Deliverable Information	
Conditions of Acceptance:	
How Conditions Were Met:	
Date Resubmitted for Final Acceptance:	
Conditional Deliverable Signoff	
CSG: _____	Date: _____
<input type="checkbox"/> Approved With Indicated Conditions	<input type="checkbox"/> Not Approved
State Representative: _____	Date: _____
Final Deliverable Signoff	
CSG: _____	Date: _____
DOA Representative: _____	Date: _____