Supplemental Report
Legislative Finance Committee
Revised December 19, 2017

Instructions: A Supplemental Report is due anytime:
- the overall health yellow or red;
- the project is rebaselined; and/or
  - rebaselining must be approved by the State CIO
- the current phase is On-Hold or Cancelled.

Project Information	
Agency	Agriculture (MDA)
Project Title	Agricultural Licensing System
Current Date	August 24, 2018
Sponsor	Mark Nechodom
Project Manager	Andy Gray
Overall Health	Yellow
Brief Description of Current Project Status	Three phases complete with multiple programs implemented. Currently completing Phase 4.0 re-gap development.
Major Milestones Completed	The project has completed development and implementation of several phases, including functionality for: - Feed and Fertilizer program licensing, product registration, assessments, inspections, sampling with lab interface, enforcement and online application payments. - Seed program licensing, assessments, inspections, sampling, enforcement and online application payments. - Produce program licensing, assessments, inspections, enforcement and online application payments. - Commodity program licensing, financial status and bonding review, inspections, enforcement and online application payments. - Pesticide licensing, product registration, manuals and training purchasing, inspections, sampling with lab interface, enforcement and online application payments. - Apiary licensing, site registration with mapping, inspections, enforcement and online application payments. - General Invoicing
Next Milestone(s)	- Amend original SOW to include changes in scope for Phase 4.0. - Development and implementation of Phase 4.0

List all issues, risks, scope changes, schedule changes, budget changes, etc.				
Issues and Risks	Date Identified	Planned Resolution and/or Mitigation	Schedule Impact (Weeks)	Budget Impact (Amount)
Issues and Risks Phase 4.0 – the Organic program re-gap and development will extend this project beyond the original go-live date	11/9/2017	See Comment #3 below.	Unknown until the SOW amendment is finalized.	Unknown at this time.

Add additional comments

The department has re-baselined this project as a result of:

1) The department realized some gaps in the original SOW for 'Phase 4.0 – Organic Backoffice and Online' and thought it prudent to conduct a re-gap of Phase 4.0. Phase 4.0 development has not yet begun. Until the re-gap process is completed, the exact schedule and cost variants are unknown. As such, the schedule for implementation of Phase 4.0 will be delayed and the cost will be modified proportionate to the services received. Thus, the Scope and Risk indicators have been updated to Yellow. However, the department adjusted the schedule knowingly and still expects to have a fully functional Phase 4.0 within a workable time frame. The revised scope, schedule and pricing amendment for Phase 4.0 will be formally submitted to SITSD when the re-gap process is complete.

2) The total expended amount is less than the planned value and earned value due to the fact that less internal personnel resources were used in development of the project than was projected for the portion of project completed to date.

3) Plan of Action for Phase 4.0 –The department expects an amended SOW for the revised scope, price and schedule soon. The project is basically on hold until the department receives and accepts the amended SOW. Thus, the Total Expended, Planned Value and Earned Value have not changed since the last quarter.

   The vendor recently implemented a revised Release Schedule and only allows for major releases in March and September. With this in mind, September 2018 would be the earliest that Phase 4.0 could be fully implemented. As such, the project will be re-baselined during the next quarter to outline the revised scope, price and schedule. Any additional expenses, if necessary, will be sourced from State Special Revenue program funds.

Legislative Finance Committee
IT Project Portfolio: Supplemental Report

Project Information	
Agency	Department of Corrections
Project Title	MSP Perimeter Fence Security
Current Date	8/15/2018
Sponsor	Jim Salmonsen
Project Manager	Jim Salmonsen
Overall Health	Green
Brief Description of Current Project Status	Work is progressing toward compleation
Major Milestones Completed So Far	Fiber has been ran, tested and certified, cameras inastalled
Next Milestone(s)	Compleation

Please list scope changes.			
Title and Brief Description	**Date Approved**	**Schedule Impact (weeks)**	**Budget Impact ($ Amount)**
Rain and Cold weather slowed production in May and June.	6/30/2018	16	437207.00

Please list issues and risks.			
Title and Brief Description	**Date Identified**	**Planned Resolution**	**Responsible Person for Resolution**

Please add any additional comments.
June 30, 2018, the rain and cold of May and June has slowed progress on this project. The weather has put the project behind schedule. A new completion date of October 31, 2018. The contractor has installed new fiber on the 3 separate compound fences. The fiber has been certified and terminated by the contractor. The new cameras have been installed. The next steps are to connect everything together.

Phase 1: Development work for for CIMS Overall Schedule	Target Development Completion Date	Completed Status or Date
Part 1: Convert MT ePermit for the Knoxville office. The following are the milestones for this project:		
KFO Version *Development was planned for 8 months, but only took 4 months*	7/30/2017	*12/30/2016 100% Complete
WR Release 1 Version	8/31/2018	70% Complete
KFO Version-Release 2	TBD	0% Complete
Part 2: Web-enable the MT Coal Application, Inspection, User Task, and Reporting. Either incorporates FOCUS/I&E into Coal App or web-enable separate system. (OSMRE is doing evaluation to determine what best meets their needs.)		
MT Coal App *Since development was ahead by 4 months, coding was started on Coal App since Baseline and Business Requirements were finish and approved.*	TBD	80% Complete*
OSMRE Coal App *Since development was ahead by 4 months, coding was started on Coal App since Baseline and Business Requirements were finish and approved.*	TBD	80% Complete*

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- the current phase is On-Hold or Cancelled.

Project Information	
Agency	Department of Environmental Quality
Project Title	RIMS
Current Date	8/10/2018
Sponsor	Jenny Chambers
Project Manager	Staci Stolp
Overall Health	LFC status report project heath – Green, IV&V project health - Yellow
Brief Description of Current Project Status	Completed formal UAT, completed 80% of the planned user training sessions, staff are currently working on bugs and enhancements identified during UAT as well as planning documentation for Go-Live.
Major Milestones Completed	User Acceptance Testing
Next Milestone(s)	Complete user training and Go Live

List all issues, risks, scope changes, schedule changes, budget changes, etc.				
Issues and Risks	**Date Identified**	**Planned Resolution and/or Mitigation**	**Schedule Impact (Weeks)**	**Budget Impact (Amount)**
Change in regulations	5/11/2015	Use internal resources, change control, prioritize requirements and program focus	Currently not affecting schedule	Currently not affecting budget
Implemented System does not cover all functionality needed by programs	11/23/2015	1) Consolidation and re-evaluation of requirements to ensure scope is clearly defined and only includes needed functionality 2) Use internal resources, change control, prioritize requirements and program focus 3) Use Project Status, Release Planning Meetings to keep team apprised of functionality and progress. 4) Develop a robust UAT test plan and test cases to ensure requirements and functionality is met by system.	Currently not affecting schedule	Currently not affecting budget

Resource Risk, DEQ team resources do not have the technical skills to implement the proposed system.	3/2016	1) Hired Alfresco to help ensure we could set-up our Alfresco instance correctly
		2) Developed and executed the DEQ transition Plan:
		   a) Provided development team with technical training:
		     i) Informal training sessions with team
		     ii) MVC
		     iii) Angular
		     iv) Alfresco
		     v) Business Analysis
		     vi) Story Estimation
		     vii) Agile methodology
			Project rebaselined based on resource capacity. Currently not affecting schedule	Project rebaselined based on resource capacity. Soft costs were affected.

List all issues, risks, scope changes, schedule changes, budget changes, etc.					
Issues and Risks	**Date Identified**	**Planned Resolution and/or Mitigation**	**Schedule Impact (Weeks)**	**Budget Impact (Amount)**	

		viii) JIRA
		  ix) EPASS and Windows Authentication
		b) Technical team reviewed status, risks, shortcomings (together and separately) of
		  i) Code
		  ii) Database
		  iii) Data Migration
		  iv) Data Cleanup
		  v) Remaining development work not started
		c) Discussed resourcing needs, did we need additional contracted expertise
		d) Technical team proposed different options for a way forward
		Discussed different procurement options for augmentation staff and began preparing documentation when we obtained closure with Windsor			

DoA Changes Timesheet	4/27/2016	• Identify key decision makers, establish their authority and define the decision making process.	Currently not affecting budget	Currently not affecting budget	
Interfacing with State and DEQ internal systems	2/3/2017	1) Maintain regular correspondence with State agencies whose systems TREADS has an interface. • Continue to receive software update/release information from MT Interactive	Currently not affecting schedule	Currently not affecting budget	
Staff turnover/Leadership changes	2/3/2017	1) New leadership introduction to RIMS Project. 2) Set-up individual meetings to train new leadership. 3) Make meeting/session attendance a priority. 4) Close coordination with new leadership and current product owners. 5) Include staff replacements as early in the process as possible.	Currently not affecting schedule	Currently not affecting budget	
Large Core Team Size	2/21/2017	1) Identify key decision makers, establish their authority and define the decision making process. 1) Active communication between team members and update and communicate project communication plan processes.	Currently not affecting schedule	Currently not affecting budget	
Resource commitment	2/21/2017	1) Engage leadership on a regular basis using a variety of venues (project status, Bureau meetings, and Executive meetings). 2) Identify additional knowledge transfer or training for team members. 3) Look internally for resources/skill sets that can be brought in to assist 4) Keep schedule up to date and available to all team members. 5) If competing priorities occur, have a global discussion regarding impacts.	Currently not affecting schedule	Currently not affecting budget	

List all issues, risks, scope changes, schedule changes, budget changes, etc.					
Issues and Risks	**Date Identified**	**Planned Resolution and/or Mitigation**	**Schedule Impact (Weeks)**	**Budget Impact (Amount)**
		6) Create calendar for project team (Product Owners, IT staff, etc.) and proactively identify competing priorities. -Added November 1, 2017 7) Establish, train, and enforce a clear reporting and communication structure for project decision making, escalation of issues and concerns, and fully embracing a Steering Committee approach 2) Revise development framework, all staff with a role in TREADS will attend required training on the established project and software development framework		
State selection of Enterprise Content Management Solution different from Alfresco	6/8/2017	2) Open design architecture 5) Well-maintained requirements, design and architecture documentation to aid in transition to new system.	Currently not affecting schedule	Currently not affecting budget
Data Cleanup and Conversion	10/9/2017	1) The database conversion plan must be comprehensive. If the plan is determined to be not detailed or comprehensive enough, high-level database expertise should be brought in. Examine the error rates that arise from testing the conversion process. 2) Ensure that DEQ Development Team can make timely fixes. 3) Bring in additional database resources if warranted. 4) The risk retains its Red rating until DEQ is satisfied with the data conversion and cleansing process.	Currently not affecting schedule	Currently not affecting budget
Schedule	10/9/2017	1) Agreed-upon review times entered into project schedule. 2) Calendar for near-term commitments is reviewed at each status meeting. 3) Follow the revised escalation process when delays appear imminent.	Currently not affecting schedule	Currently not affecting budget
IIS App Pool blocks access to TREADS	1/9/2018	1) Use EPASS which was integrated into TREADS in 2017	Currently not affecting schedule	Currently not affecting budget
Continuing compliance with changing State server requirements	1/11/2018	2) Create a detailed technical specification for TREADS. Then keep an eye onhttps://mine.mt.gov/it/servicedesk/interruptionsalerts.mcpx as well as building a direct relationship with several SITSD staff to get as early a heads-up on server changes as possible.	Currently not affecting schedule	Currently not affecting budget
Loss of Project Manager	1/24/2018	1) The Project Manager has been cross training and delegating work on the project to build a community of expertise and knowledge. 2) WMRD is hiring two new CSA positions that will assist on the project and long-term maintenance of the system.	Currently not affecting schedule	Currently not affecting budget

List all issues, risks, scope changes, schedule changes, budget changes, etc.					
Issues and Risks	**Date Identified**	**Planned Resolution and/or Mitigation**		**Schedule Impact (Weeks)**	**Budget Impact (Amount)**
Data Migration Tracking	2/21/2018	1) From 01/31/2018, any changes to the migration rules and tables associated with migration will be reflected in the data-mapping document.		Currently not affecting schedule	Currently not affecting budget

Add additional comments
DEQ currently rates the project as green per standard project metrics. This is in contrast with the last IV&V report, dated July 31, 2018, which rated the project as yellow and the schedule status as red. At the time of this report, DEQ agrees with the last IV&V project report assessment. The project has experienced the loss of and changes to team member structure and some change requests that we are evaluating, this has affected the progress of the project with respect to timely resolution of critical and high-level bug fixes. Project target is still for completion by the end of this calendar year, as Director Livers stated at Legislative Audit. The existing team is working diligently to resolve these remaining items to ensure the final product is of sufficient quality to move forward into production.

MONTANA DEPARTMENT OF ENVIRONMENTAL QUALITY
REMEDIATION INFORMATION MANAGEMENT SYSTEM (RIMS)

IV&V REPORT
MONTHLY REPORT #13 OF 14

7/31/2018

Submitted to:
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1. RESPEC IV&V Recommendations

1. **Closed.** RESPEC IV&V recommends use of a "TREADS Executive Dashboard" to allow better understanding of project health; including: Red/Yellow/Green rating, status of the functionality for different business areas (e.g. UST, PTC, PTRCB), impediments to development and testing progress, and expected delivery dates for each area. The dashboard is targeted to executive staff to allow them to quickly understand the health of the project and any areas of concern. Executive dashboards typically are limited to one page.

2. **Closed.** RESPEC IV&V recommends that the project team regularly re-evaluate the total amount of work which may be required to complete Phase 1 to allow for adequate time during software development and incremental testing of code. This should include periodic re-assessment to identify as early as possible if the outstanding workload (i.e., number of stories, story points, and velocity) can be completed within the scheduled timeline, or if adjustments, to either the RTM deliverables and workload or the scheduled delivery date, need to be made. Since stories and points are commonly added during project execution, periodic re-assessment will help track project progress and status.

3. **Closed.** RESPEC IV&V recommends that items in the backlog be carefully prioritized since all items may potentially not be completed prior to the June 2018 Go Live. High priority items should be selected for inclusion in sprints, as part of the sprint planning process. Product Owners should be strongly involved in Sprint Planning. Conflicts over prioritization may need to be escalated to the steering committee if agreement cannot be otherwise reached. This recommendation is closed (12/31/17).

4. **Closed.** RESPEC IV&V recommends that the team use or develop new reports to determine what requirements and functionality are completed vs. still pending.
   a. Current reporting does not clearly show links between functionality and associated requirements. Although the latest version of the RTM was updated to align with the approved re-baselining, it is still difficult to align specific requirements and functionality.
   b. This recommendation is closed (04/30/18).

5. **Closed.** RESPEC IV&V recommends that risks be periodically formally reviewed including response plan/mitigation actions, especially for any higher rated risks. Although risks are included in bi-weekly status reports, they are not often formally reviewed and planned for. Although risks are sometimes discussed during project status (or other) meetings, they are typically just reviewed by the Project Manager, without any discussion or revisions to mitigation/response plans.

6. **Closed.** RESPEC IV&V recommends that open and closed PCRs be better distinguished, especially in the status report.

7. **Closed.** RESPEC IV&V recommends overhauling / reorganizing the RIMS SharePoint repository to make it easier to locate artifacts.

8. **Closed.** RESPEC IV&V recommends that the risk identified as "Technical Risk" be analyzed and split into separate risks. (Closed, 11/30/17)

9. **Open. RESPEC IV&V recommends that project roles and responsibilities be reviewed and revised to optimize project workloads.** This should help reduce likelihood of lack of availability or competing priorities affecting tasks completion.
   a. **Project Manager** is overloaded with currently assigned duties and responsibilities – some of which should ideally be handled by other staff to reduce her workload.
      i. Adam Griffith was identified as heading the UAT effort, both UAT and training.
   b. **Technical Lead/Architect role needs to be separate from Project Manager, and heavily involved in key project technical activities.**
      i. There is still no individual assigned for a Technical Lead/Architect project role. However, other IT personnel are taking on lead roles for project efforts from their respective skill set/knowledge base. Their efforts do not replace the need for a dedicated Technical Lead/Architect, but their efforts provide needed support for the Project Manager. The Technical Lead role may be helpful in determining priorities and level of effort in bug fixes.
   c. **Key business unit stakeholders need to ensure their SMEs are available and involved in UAT and other key activities.**
   d. **All RIMS project staff need to remain available and involved.** The RIMS Project is in its final two months, moving towards Implementation, Deployment to Production by 8/30/18. This will be a critical time such that all involved staff need to dedicate the required time to complete their assigned tasks.
10. **Closed.** RESPEC IV&V recommends that the sprint planning process be re-evaluated and revised to more accurately assign the right number of stories and points that may realistically be completed during the sprint. Based on data from sprints 46 – 68, less than 75% of the planned work is accomplished during a given sprint.
11. **Closed**. RESPEC IV&V recommends a hybrid approach combining selected elements from Agile and Waterfall methodologies. Although the team has stated they will use the Waterfall development methodology, and stop using an Agile methodology, they are actually using a hybrid approach that is borrowing from each methodology to continue development for RIMS. Many successful projects use a hybrid approach. RESPEC IV&V recommends the team recognize this, and clearly communicate they are using a Hybrid methodology.
12. **Emphasize organizational change management activities to prepare users and stakeholders for transition to production and the new system.** Show new and changed functionality through demos, involvement in UAT, training, eNewsletters, presentations, and other activities. RESPEC IV&V recommends this process should begin ASAP and continue through Go Live and after the system is in production. As many different activities as practical should be conducted. Business area managers should make sure their affected staff are aware of the upcoming changes. It is also important to emphasize what functionality will not be present in Release 1.
13. **Clearly communicate scope of Phase 1 for each business area, including what is included/excluded to increase likelihood of end user satisfaction of**

solution. Ensure staff involved in UAT are informed of Phase 1 scope, and that testing covers their full range of required scenarios. Staff should note any critical items missing for their area – which should go through the formal change management process to evaluate and get added in, if appropriate.

2. IV&V Reporting Schedule

This schedule of contracted reports is being included for easy reference and clarity. All reports will be labeled Monthly Report [# of #], plus the report due date. The table below is a guide to the immediate report. Any report falling on a weekend and/or holiday will be delivered on the next business day.

REPORTS	Period Ending	Due Date	Completion Status
Monthly Report #1 of 12	7/28/2017	7/31/2017	Done.
Monthly Report #2 of 12	8/28/2017	8/31/2017	Done.
Monthly Report #3 of 12	9/27/2017	9/30/2017	Done.
Monthly Report #4 of 12	10/28/2017	10/31/2017	Done.
Monthly Report #5 of 12	11/27/2017	11/30/2017	Done.
Monthly Report #6 of 12	12/27/2017	12/31/2017	Done.
Monthly Report #7 of 12	1/26/2018	1/31/2018	Done.
Monthly Report #8 of 12	2/25/2018	2/28/2018	Done.
Monthly Report #9 of 12	3/27/2018	3/31/2017	Done.
Monthly Report #10 of 12	4/26/2018	4/30/2018	Done.
Monthly Report #11 of 12	5/28/2018	5/31/2017	Done.
Monthly Report #12 of 12	6/26/2018	6/30/2018	Done
Contract 415005-Modification 4 approved for 2 additional reports. They are:			
Monthly Report #13 of 14	**7/27/18**	**7/31/2018**	**This report, as delivered.**
Monthly Report #14 of 14	8/28/18	8/30/2018	

3. Reporting Period – Monthly #13 of 14

Reporting Period ending: 7/27/2018.

Report Due Date: 7/31/2018.

NOTE: Documentation received after the period ending date may also be included, as appropriate.

This is the 13th Monthly RESPEC IV&V report under the RESPEC-DEQ contract for IV&V services: Contract 415005-Modification 3; Contract 415005-Modification 4 was approved for 2 additional reports, July and August 2018.

4. Overall RIMS Project Status

This report is a retrospective review of accomplishments since the previous report and a status update for the immediate period.

From the time when Alternative #3 was approved and accepted, the project schedule, scope, and budget were adjusted to incorporate the recommendations into the RIMS project. The combining of work already accomplished with these adjustments forms the current project "baseline" from which IV&V reviews and assessments will be made.

The ESC approved the project re-baseline. This included the following: 1) Reduction in scope that eliminated specific requirements/areas; 2) Elimination of Pilot (in lieu of additional time for UAT and bug fixes); and 3) Extend Go Live date an additional 8 weeks to 8/30/2018.

Beginning January 2018, the restructuring continued, moving from Agile to traditional waterfall. During the conversion, the Project used a hybrid development methodology, allowing for personnel to adjust to the new methodology. The Project is now officially using a waterfall methodology.

With only one month remaining, the project overall is 95% complete. There are still remaining tasks in: Development (97%), Test, (87%), Training (70%), Implementation (0%), and DEQGIS Spatial Data (92%). Typically, projects at this stage have completed all development, and are doing final fixes and testing on previously discovered bugs. Training is typically done around this time (right before Go Live) so users don't have an extended time between training and use of the system. RESPEC IV&V continues to express concerns over completing all scheduled tasks before Go Live.

There were previously three project status indicators being reported plus overall project status: 1) Scope, 2) Resources and Budget, and 3) Schedule. RESPEC IV&V has adjusted its project status indicators to further delineate the project status.

RESPEC IV&V Project Status Indicators	Report Rating	RESPEC Comments/Feedback

Overall RIMS Project Status	YELLOW	The overall status is still Yellow, indicating concern over project completion within the timeframe.
		The Project must complete all remaining tasks by August 30th to achieve completion at its scheduled end. This includes User Acceptance Testing; discovery and fixing/resolution of any bugs discovered during UAT; training and preparation for Go Live and operations activities.
Scope	GREEN	The Project is operating within its defined scope as defined by Alternative 3, and the approved re-baseline. Focused efforts on prioritization for completing remaining activities and additional functionality desired once in operational mode.
		The project scope is delineated, for both in- and out-out-of-scope, in the Project Status Report, TREADS SCOPE worksheet.
Schedule	RED	There is still a high likelihood that the Project will not complete its targeted scope by the August 2018 scheduled end. There is little to no remaining slack in the schedule and all targeted tasks must be completed within the next month. The number and complexity of bugs discovered during UAT must be carefully measured against the staff ability to resolve them in the scheduled time.
Resources	YELLOW	This rating remains YELLOW. Resources required to meet the August 2018 project end date are not always available at the required levels. Sufficient developers need to be available to fix bugs and complete planned reports. The Project Manager remains overloaded with duties. Business staff need to be available for UAT.
		See RESPEC IV&V Recommendation #9.
Budget	GREEN	The project is operating within its budget, and hard costs are carefully controlled and monitored. Additional costs due to the re-baselining need to carefully be measured to ensure the project will remain within budget.

Project Management	**GREEN**	The Project is well managed.

RESPEC IV&V is tracking 16 Active risks with 3 Closed and the open risks rated as: 12 Green, 3 Yellow, and 1 Red ratings. See *Section 9, Risk Assessment* of this report for details.

RIMS Activities & Progress

- The RIMS Project continues to move forward with required project activities. Recent activities include:
  - Bi-weekly Project Status Meetings
  - Daily Stand Up
  - UAT Testing
    - Bug severity analysis
    - Bug resolution (fixing/retesting/closing or cancellation/deferral)
  - Project Coordination
  - Code Review
  - Executive Steering Committee
  - Sprint Planning
- Staff Augmentation:
  - The staff augmentation resources continue to work on development activities.
  - One staff augmentation resource was dropped due to budget and lack of sufficient production.

Project Management
  - Project management documents are updated on a regular basis, as needed.

RIMS Performance Measures

The RIMS Project is moving towards implementation with deployment to production by 8/30/18. For the remainder of the RIMS Project, the following performance measures will be applied to the RIMS project.

- % Overall Completion (overall project progress)
- % Complete of Key Project Tasks
- On-Budget & On-Time

5. Project Scope Status

The RIMS Project was re-baselined with PCR-039 defined to clarify the new project scope and to specify the production release #1 for TREADS.

RESPEC IV&V rates the Scope Status as **GREEN**. The documents which define scope (such as RTM) have been created, submitted to the teams and ESC members, accepted, and form the current basis for planning and scheduling. The scope is being proactively managed through the project schedule, change control, with regular review

by the project manager, project team, and members of the ESC. Additional information in the updated Status reports also helps clarify the project scope.

The following items are defined as in-scope for the initial release:

In-Scope

1. Basic Data Management to support the following programs:
   a. UST
   b. Petroleum Releases
   c. PTRCB
   d. Brownfields
   e. SSU
   f. AML
2. Sample Data Management
3. Document Management
4. Form Letters
5. Release 1 Reports
   a. UST
   b. PTRCB
   c. REM
6. Spatial Data Verification
   a. UST, PTRCB, SSU, PTC/CPRS, and AML
7. Public Facing
   a. Data Search Tools (DST) or equivalent for programs currently in DST (UST, PTRCB, SSU) and possibl
   b. WMA for programs currently in DST (UST, PTRCB, SSU) and possibly PTC/CPRS and AML

Items that are out-of-scope and will not be included in Release 1 (unless the team has time within the revised s

1. Workflow
2. nForm/Electronic Form Submission
3. Electronic Payments
4. Mobile Field/Inspection Data Collection
5. AML Data Search Tools
6. FSB Spatial Data Verification, DST, or WMA
7. Non-PTRCB Financial Management Requirements
8. Additional Reports and Letters
9. Legacy sample data migration into EQuIS
10. Legacy document migration into Alfresco

Requirements

- The Requirements Traceability Matrix (RTM) was updated based upon product owner feedback and re-baseline activities. The RTM is documented in *RIMS P1 RD02 RTM Consolidated*.xslx (v0.58). The Requirements *Summary* tab now identifies 1,050 requirements to be completed, with 211 requirements removed as a result of the re-baseline.

- The requirements are still broken down into categories, as before, with counts of requirements per category shown in the workbook across the various tabs.

Change Requests

PCR status is summarized in the bi-weekly project report.

As of 7/16/18 report (PCR Log), there has been a total of 43 PCRs submitted, with 42 approved and 1 currently pending a decision. The pending PCRs are:

- PCR-043, UST Corrective Action Plans and Operating Permits change to Reports
- The bi-weekly project status report spreadsheet identifies accomplishments by JIRA issue type (bug, story) and JIRA issue number. For the 7/16/18 Status Report/Tab Achievements, 46 items were addressed, covering area such as common functionality, document management, PTRCB data management, REM reports, REM data management, spatial data management, and UST data management; emphasis was almost exclusively on resolving bugs.

6. Project Schedule Status

The RIMS Project has been extended to August 30, 2018, with the schedule re-baselined. RESPEC IV&V still maintains a rating of **RED**. There is little to no slack remaining in the schedule. The project status report as of 7/16/18 shows 95% complete, which leaves only one month to complete the remaining 5% of work effort. The schedule start/end dates are 4/11/16 – 8/30/18. The ESC approved PCR-039, Re-baseline RIMS Project details the adjusted project scope. The Project Schedule includes free and total slack time, as well as late start and finish, which are tracked for each task.

With only one month remaining, there are still remaining tasks in: Development (97%), Test, (87%), Training (70%), Implementation (0%), and DEQGIS Spatial Data (92%). Typically, projects at this stage have completed all development, and are doing final fixes and testing on previously discovered bugs. RESPEC IV&V continues to express concerns over completing all scheduled tasks before Go Live.

If remaining work is not completed, Management now has limited options to address this: reducing delivered product items or pushing out the end date.

The bi-weekly Project Status Report spreadsheet is well-written and detailed with tabs for Dashboard (overall progress summary); 30-day task list; Scope; Milestones; Budget; Achievements; Meetings for the Next 2 weeks; Project Deliverables; Logs for risks, PCRs, and RCRs; and Issues.

RESPEC Risks #12 and #14 related to scheduling are rated as Yellow and Red, respectively.

RESPEC IV&V recommended using a dashboard (per Recommendation 1 in Section 1 of this report, now closed) to allow all stakeholders to better understand the status of functionality to complete the scope / fulfill requirements for their given area. The dashboard was revised, enhanced, and improved, and now allows a better understanding of the status of functionality. Some key areas could be further expanded to better show progress for key stakeholders; especially Development, Testing, and

Training. Although the dashboard shows status for all high-level items being tracked in the project schedule, not all items are equal as far as level of effort and risk of completion. Items such as the following are generally a fixed and lower level of effort, and are monthly or annually recurring events (or single occurrence events) that are not at risk:

- SITSD Application/Database
- Alfresco Licensing
- SITSD VPN Charges
- JIRA Licensing
- Technical Training
- Project Monitoring and Control

The following items were completed in 2016, and also not at risk:
- Project Transition Analysis
- Staff Augmentee Procurement

The remaining items are those most at risk, have variable progress, and are the real key to understanding the state of progress and the project, and are best highlighted in the dashboard to increase project understanding. RESPEC IV&V does not have access to click on the chart and update the outline level in the Field list, but recommends stakeholders drill down to the most critical items at the given point in time; e.g. currently, Development (planned to be completed by 4/17/18, but at 97%), and Testing (scheduled to be completed by 7/19/18) is at 87%.

The 1ˢᵗ round of UAT had issues in directly tying test cases to requirements. Business staff were asked to assist in this process, and ensure there was a clearer link for remaining user acceptance testing.

Staff lack of availability may be affecting the total amount of work completed.

The project manager maintains the project schedule with regular updates, published to the RIMS Project SharePoint drive.

- As of the 7/16/18 Project Status Report:
    - Although the Project team is working diligently to complete by the project end date 8/30/18, there is still a high risk that all planned functionality will be completed on time. The overall completion of key high-level project tasks includes: Data Clean-Up is at 100%, Conversion at 99%, Development at 97%, Test (UAT) at 87%, Training 70%, Spatial Data at 92%, and Implementation at 0%.
    - The Project completed 46 JIRA work items, addressing areas such as common functionality, document management, PTRCB data management, REM reports, REM data management, spatial data management, and UST data management; emphasis was almost exclusively on resolving bugs. (Achievements Tab).
    - The Project tracked Late Tasks as shown below (Alternative Dashboard Tab)

LATE TASKS
Tasks that are past due.

Name	Start	Finish	% Complete
TREADS DDI - Remaining Items	Mon 4/11/16	Thu 8/30/18	95%
Development	Mon 9/19/16	Tue 4/17/18	97%
EQuIS	Mon 9/19/16	Thu 1/11/18	99%
Reference Value Refinement	Thu 5/25/17	Wed 9/27/17	60%
PTRCB Data Management	Fri 9/8/17	Wed 3/7/18	99%
MTTREADS-7208: PTRCB Consultant Rate Analysis - EPIC	Wed 2/14/18	Wed 3/7/18	98%
PTRCB Data Management Complete	Tue 3/6/18	Tue 3/6/18	98%
Report Development Round 1	Wed 1/3/18	Tue 3/20/18	86%
PTRCB	Tue 1/16/18	Tue 3/20/18	84%
Test	Wed 11/22/17	Thu 7/19/18	87%
User Acceptance Testing	Wed 11/22/17	Thu 7/19/18	87%
UAT Part 1	Thu 4/26/18	Wed 5/30/18	99%
UAT Part 2	Thu 5/24/18	Thu 6/21/18	86%
UAT Part 3	Tue 6/19/18	Thu 7/19/18	29%
DEQGIS Spatial Data Management	Mon 10/31/16	Thu 8/30/18	92%
Development	Mon 2/5/18	Fri 4/13/18	99%
Add new layer/s to Spatial Data Workflow process	Tue 5/29/18	Thu 5/31/18	30%
Develop Spatial Data Workflow functions	Tue 5/29/18	Thu 5/31/18	50%
User Acceptance Testing (TREADS Part 3)	Mon 6/25/18	Fri 7/27/18	25%
Petroleum Releases (PTC\CPRS\PTRCB)	Mon 6/25/18	Fri 6/29/18	50%
Regulated Tanks (UST)	Mon 7/9/18	Fri 7/13/18	0%

At this point in the project, everything should be over 90% completed. There are some tasks significantly behind planned scheduled completion. Some were scheduled to be completed in March or April 2018, and still unfinished.

The RIMS Project Manager, Ms. Staci Stolp, updates the Project Schedule and aligns the Project Schedule and the MT TREADS DDI Sprint Schedule.

Some project activities this reporting period include:

- Bi-weekly Project Status Meetings
- Daily Stand Up
- UAT
- Executive Steering Committee

Schedule

Ms. Staci Stolp, the Project Manager, maintains the overall Project Schedule using Microsoft Project. A visual timeline is also maintained and used to aid communications to team and ESC members. Details for immediate work tasks are maintained in JIRA, an agile methodology tool. The Sprint Schedule is also detailed in the Microsoft Excel spreadsheet, *MT TREADS DDI Sprint Schedule.xlsx*, and is used as a project tool by IT and the PM. The Project Schedule has been baselined.

Measuring velocity of the pace against the total workload needs to be continued to be tracked and will be important, if not critical, to the successful management of the timeline and fulfillment of project schedule.

Separate schedules have also been developed for the Time Tracking and EQuIS Implementation efforts. It can be useful to have separate schedules for subprojects where smaller scope and sub-teams are involved, and thus require fewer updates to the main project schedule. RESPEC IV&V recommends that the highest-level tasks of the subproject also be included in the overall project schedule for easier tracking.

Ms. Stolp has upgraded to Microsoft Project 2016 for the Project Schedule. The schedule will also link in the Spatial Data effort, but due to recently discovered issues with Project, Spatial Data may need to be separate. Ms. Stolp is researching the issue. RESPEC IV&V does not rate this as a significant issue and is fine with tracking in separate files. There are higher priority issues to deal with in RIMS overall.

7. Project Resources and Budget Status

RESPEC IV&V rates the RIMS Project as **YELLOW** for Resources and **GREEN** for Budget. Resources have been identified for the remaining project timeline. There is no change in the RIMS budget, including contingency. Some of the contingency funds will be used for extended vendor (Elegant and RESPEC) contracts and for funding software and hosting costs related to the project extension.

To complete on-time, the project must complete all remaining tasks during August 2018. To achieve 100% completion, the project team must review ways to increase/sustain output. One option is to have existing resources operate at 100% dedication to the project. Ramp-up time would take too long for additional staff (employee or staff augmentation) not already familiar with the project to get up to speed and to be effective.

The RIMS Project is operating within its defined budget.

Per item #9 in section 1, RESPEC IV&V has observed that Ms. Staci Stolp is overloaded with assigned duties and responsibilities. Some responsibilities should ideally be led by other staff to reduce her workload.

Resources & Staffing

DEQ currently has complete responsibility for management and development of the TREADS product. To meet the Project Schedule, a full complement of IT resources, both contracted and State staffing, are required. The Project Schedule assumes a fully

staffed team. With DEQ less dependent on having an outside vendor developing and implementing TREADS, DEQ internal resources (staff) must be assigned and their time committed to the RIMS project (see Risk #3).

DEQ is supplementing this internal staff with contracted technical resources (staff augmentation) to provide additional technical coding and database support for the project. These staff augmentation resources are dedicated 100% to project activities, and unlikely to be diverted to other operational tasks as state staff might be. One staff augmentation resource was released as they were not producing sufficient results.

As DEQ and DEQ IT staff have responsibilities beside the RIMS project, one concern is balancing those responsibilities with their time committed to RIMS. This concern is documented and being addressed by the PM through discussions with the project team and managers in project status, ESC, and other meetings.

Some DEQ staff resources currently allot some portion less than 100% of their time to RIMS. Negotiating for additional time on these split resources is one challenge the PM must work with as part of managing the project schedule.

DEQ Staff
The following table is representative of partial allotment of many staff to the project, although the exact percentages may have been revised.

Staffing		
Name	**Role**	**% on Project**
Bruce Arnold	Database Administrator	20
Kevin Boice	Developer	100
Sean Behlmer	Developer	50
Nat Carter	GEQ GIS Coordinator	100%
Roy Duelfer	Supervisor, Web Development Expertise	10
Kim Wells	SME	50
Staci Stolp	Project Manager / Systems Analyst	100
Sue Fairchild	SME	50
Pam LaFountaine	SME	50
Andrew Johnson	QA / Testing	30
Joseph Ikehara	QA / Testing	30
Adam Griffith	Business Analyst	100
Elegant Solutions: Vinil Kuragayala	Senior Database Architect/Administrator	100

Elegant Solutions: Sunil Neerudu	Senior Developer	100

Staff Augmentation

- Risk
  - o The RESPEC IV&V project risks, Risk #4, Contractor loss of key staff, and #5 Contractor resources (availability and competing priorities), tracks the staff augmentation risk. Contractor resources must be carefully managed with clear tasking. It will be important to manage contractors and related tasking to reduce risks to the project arising from potential contractor turnover.
  - o As the end of a project nears, contractors may be searching for their next opportunity, and leave before the end of the project. These staff are very difficult to replace given the short remaining timeline.
  - o Training to familiarize any new resources with DEQ IT systems, with the TREADS software, development practices, development tools, and "pairing" with DEQ project team members to create integration and knowledge transfer between DEQ IT staff and staff augmentation personnel should be implemented.

Budget

- RESPEC IV&V rates the RIMS Project overall budget as **GREEN**.
- The Project Budget is well maintained and regularly reviewed and published as part of the TREADS Status Meetings.
- The project remains on budget. Budget information is current as of the 6/17/18 TREADS Status Report.
- Executives are reviewing budget information on a regular basis.
- There may be variations on spending from period to period based on specific project activities that occurred, and associated costs.

The budget summary follows showing a comparison from the last two bi-weekly status reports. There were no budget changes between these reports.

From *Budget*, Worksheet Tab, 6/17/18 TREADS Status Report:

Cost Category	Alternative #3 Expected Costs	Actual	Variance
Total, including retainage & holdbacks	$5,289,819	$4,254,303	$1,035,516
Total minus soft costs	$2,657,346	$2,352,951	$304,395

From *Budget,* Worksheet Tab, 7/16/18 TREADS Project Status Report:

Cost Category	Alternative #3 Expected Costs	Actual	Variance
Total, including retainage & holdbacks	$5,289,819	$4,281,757	$1,008,062
Total minus soft costs	$2,657,346	$2,357,685	$299,661

Contingency costs remain at $53,997.

Note: The Alternative #3 Expected Costs reflects a $93,500 increase. Some of the contingency funds are planned to be used for extended vendor (Elegant and RESPEC) contracts and for funding software and hosting costs related to the project extension. This does not exceed the budget, including contingency. See PCR-039, Re-baseline RIMS Project.

8. Project Management Status

RESPEC IV&V rates the RIMS Project as **GREEN** for Project Management.

- The overall project schedule is used for managing the project timeline, milestones and deliverables. Microsoft Project is the tool utilized for this purpose. The schedule is updated regularly by the project manager and includes any changes to dates or tasking. The formal change management process is handled appropriately per the approved processes.

- The development of the TREADS software product was previously managed using agile methodology. The project changed to a Hybrid or Waterfall methodology, and monitoring and controls for all project activities are especially critical.

Project Management Plan (PMP)

The RIMS Project has a Project Management Plan (PMP), current as of 1/11/18. Best practice is to keep the PMP updated based on recent project developments.

The PMP spells out procedures for managing the revised project. This approved document is Deliverable #1 (Deliverables Spreadsheet).

The Project Management Plan includes:

- RIMS Project Charter
- Project Issue Reporting System
- Quality Management Plan
- Communication Plan
- Determining Which Traditional PM Practices to Keep
- Determining the best PM Approach
- Adopting Agile Practices
- Performance measures

Other key project management documents such as Data Clean Up, TREAD Test Plan, Release Planning, Sprint Planning, and Deployment Process are used and available.

Communications Plan

Project Management documents are available at the Project Share Point "Links to Key Project Management Documents" page.

Staci Stolp previously stated she was planning to restart the use of newsletters to better keep business staff aware of project activities and status. This would be targeted to Bureau Chiefs and ESC. Previous newsletters covered multiple areas (not limited to RIMS project updates) and were deemed generally ineffective. RESPEC IV&V reviewed

the three sample newsletters provided specific recommendations for potential improvements (details shown in previous RESPEC IV&V reports.

Meetings

Project Meetings are scheduled on a regular and recurring basis, and team roles and responsibilities are clearly defined. Separate technical or other team meetings are also planned and scheduled in advance. RESPEC IV&V observes many of these meetings remotely. All meetings are well attended and focused, and efficiently run.

Some meetings were cancelled, if unneeded or repetitive to conserve valuable time for resources with heavy workloads. Ms. Staci Stolp, Project Manager, requests project team members to add their project meetings to the project calendar for tracking.

TREADS Documentation

The Project documentation is stored on the RIMS SharePoint online and is available to all team members and senior administrative staff. Documentation is well written. Staci Stolp and Adam Griffith continue to work on project documentation, which includes moving the EQuIS and TREADS documents to a web-based format using Robohelp. This will enable TREADS users to directly access information on-line. The EQuIS documentation is complete with TREADS now in progress.

User Acceptance Test (UAT)

The Project Schedule has appropriate tasking for UAT, from planning, training, security, and approach to execution. UAT has completed all the tasks required before actually starting UAT. Actual testing status as of 7/16/18 is shown as: UAT Part 1 99%, and UAT Part 2 86% (this was scheduled to be completed by 6/21/18), and UAT Part 3 29% (this was scheduled to be completed by 7/19/18). UAT was initially scheduled to run from 11/22/17 - 7/19/18.

UAT training was held in April 2018. The MTTREADS UAT Training Agenda 2018 identifies the required trainee participants for AML, CPRS, PTRCB, PTC, SSU, and UST. Topics covered included Release 1 functionality, performing UAT in JIRA, Getting Started in TREADS, and detailed TREADS functionality review by organization. The functionality review covers best practices and data management, ending with question/answer session. Ms. Staci Stolp, noted to the team that Mr. Adam Griffith will be officially heading UAT, both UAT and UAT Training.

The User Acceptance Test Plan (v3.5) was updated to address spatial data verification and public facing tools. Overall, the plan is well written and addresses each functional area for TREADS Release #1. It includes external linked references to RIMS RFP, RIMS P1 RD02 RTM Consolidated Requirements, RIMS P1 Best Practices Gap Analysis, PTRC Business Processes UST Business Processes, and MTTREADS Design Document Release 20. Section 3 of the UAT plan identifies 10 features that will not be tested as they are not part of TREADS Production Release #1. The Plan addresses appropriate efforts. There is some incomplete information such as Section 4, Approach - that identifies the types of testing. UAT Testing consists of Unit, Integration, Exceptions, System, and Conversion Testing. At least 2 people will execute each test

case. This will help ensure through testing. UAT Plan Section 4.2 identifies the dates and locations for UAT.

Bug Status

- The project schedule contains appropriate tasking related to bugs, such as Conversion UAT, UAT (planning, test scripts, training approach), UAT Bug Fix/Beta Testing, UAT Parts 1 & 2, UAT Defect Log/Reports, and UAT Results and Updated RTM.
- Tracking is kept near real-time with pie charts showing distribution across the project and in the various business areas: AML, PTC, CPRS, PTRCB, SSU, and UST, as well as all bugs. Missing reference table entries were also included as bugs and characterized with severity level – although it should be noted that these are easy to fix. Definitions for the various severity levels are included in the UAT Plan.

Enhancements were not included as part of the design. If any enhancements are critical, then they would need to be approved via the established change management process.

Some bugs that were discovered that had not previously been observed and may have been introduced during recent development or integration activities. This also included Reports that were not available and had not been completed in the scheduled time.

All Open and Closed bugs as of 7/28/18 (total of 1,197):

Status
Total Issues: **1197**

Status	Count
Closed	856
Cancelled	219
Confirmed	48
Triage	46
Testing	11
In Progress	9
Reopened	4
Prepare to Triage	2
Client Testing	1
On Hold	1

Bug Classification	7/28/18	6/26/18	5/23/18
Closed	856	765	670
Cancelled	219	192	219
Confirmed	48	118	163
Triage	46	61	57
Testing	11	16	7
In Progress	9	10	13

Prepare to Triage	2	5	5
Reopened	4	4	2
To Test		4	1
On Hold	1	2	3
Client Testing	1	1	1
Total		1,178	1,141

Open Bugs:

Bug Severity	7/28/18	6/5/18	5/23/18
Critical	5	32	66
High	3	3	13
Medium	80	6	176
Low	9	18	15
None		1	1
Enhancement	21	27	36

Based on the above data, the team has done a good job in closing/resolving bugs to date. Most of the Critical and High rated bugs have been closed. However, there are still 80 Medium rated bugs open, plus a number of enhancements needed by the business groups.

Training

- DEQ user training and testing is addressed by the RIMS Project and included in the project schedule.
- TREADS automated test training completed November 2017. The session was also recorded so that others unable to attend and/or desiring a refresher can obtain the training.
- The Project Schedule task, Training, consists of the Training Plan, Training Materials, Security/User Set up, Training Sessions and Travel. This training will cover State and External Users.
- The TREADS UAT Training Agenda (v0.4) details the training location, date/times, and activities.

9. Risk Assessment

The overall risk assessment with this report is **GREEN**. There are currently 16 open risks, of which one is rated RED, and three are rated as YELLOW. DEQ is actively managing and mitigating key risks during this period, through the various meetings and documentation. The teams are aware of the identified risks, resulting in an overall Green rating. Team meetings are open to technical or other concerns, which are then discussed, and decisions made with appropriate actions. One risk (data cleanup) was decreased for this report.

DEQ Project Risk Status

Risks and issues are tracked and actively managed by DEQ with regular review/update and reporting to the project team. RESPEC IV&V also notes that the DEQ risks table is thorough regarding predictable risks and mitigations identified. RESPEC IV&V continues to recommend that all risks be proactively managed and updated on a regular basis, including mitigation activities, and are included in the regular status reports. Issues should be dealt with immediately as these may pose serious impacts to the project. This recommendation is being followed at this time, including review of risks at status and/or ESC meetings.

RIMS Project Management identified 34 risks with 12 closed risks and 22 open risks (7 High, 6 Medium High, 3 Medium, 0 Medium Low, 5 Low, and 1 with no rating. (TREADS Status Report, 7/16/18), which are unchanged from prior status report). High risks are: Schedule, Resource commitment, implemented system does not cover all functionality needed, Interfacing with systems, Data cleanup and conversion, role-based access complexities, and compliance with changing state server requirements.

The DEQ Risk Table generally includes similar risks as those identified by RESPEC IV&V.

The project manager and project team incorporate the mitigation steps for High and Medium High risks into the project planning and scheduling with each reporting and planning periods. It should be noted that DEQ's risk rating is generally higher (i.e., considered more critical) than the RESPEC IV&V rating, and reflects the extent of mitigation activities. IV&V ratings include consideration for the degree of proactive mitigation and may be assigned a lower rating intended to reflect the proactive mitigation activities.
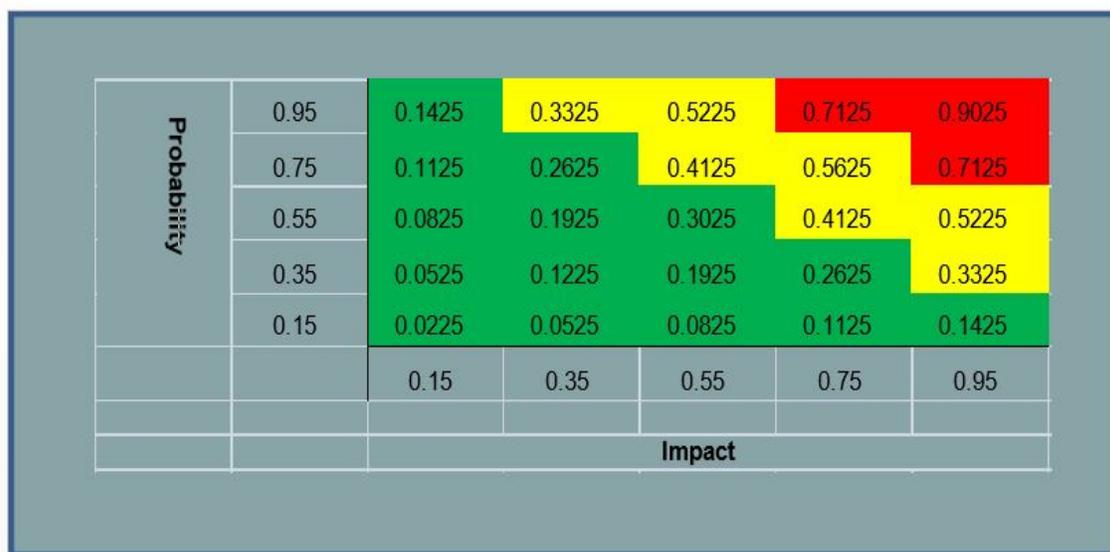
The ESC (1/24/18) reviewed open/active HIGH risks with updates and mitigation planning. In light of the conversion from Agile development methodology, Ms. Stolp, RIMS Project Manager, reviewed Risk Management from the updated (1/16/18) Project Management Plan with the ESC attendees. As of 5/22/18 RIMS Project Status Report, the current DEQ Risks status is:

DEQ Risk Status	Rating / Exposure	Open DEQ Risk #	Closed DEQ Risk #
Closed	N/A	N/A	1, 6, 7, 8, 11, 13, 15, 16, 17, 20, 21, 25
Open/Active	Low	9, 12, 19, 22, 26	N/A
Open/Active	Medium	2, 33, 35	N/A
Open/Active	Medium – High	5, 14, 24, 28, 29, 32	N/A
Open/Active	High	3, 4, 10, 18, 23, 27, 30	N/A

Open/Active	No Rating Assigned	31	N/A

RESPEC Project Risk Assessment

Many of these risks are listed in the DEQ risk plan. RESPEC has included these as well as the RESPEC risk identification and analysis. For each of the risks, RESPEC provides its own mitigation strategy and status. Each risk's rating will be reviewed for each report. Risks may be added throughout the project, and risks may be closed. Closed risks will not be removed from the report, because a risk can always resurface. For certain risks that affect budget, schedule or scope, RESPEC keeps a historic reference on status, by date of report, to provide context and progress on key risks. DEQ project management adopts risks from this table if it seen as appropriate to do so. The following table shows RESPEC's risks and ratings. Historical assessment and comments may also be included.

Probability					
0.95	0.1425	0.3325	0.5225	0.7125	0.9025
0.75	0.1125	0.2625	0.4125	0.5625	0.7125
0.55	0.0825	0.1925	0.3025	0.4125	0.5225
0.35	0.0525	0.1225	0.1925	0.2625	0.3325
0.15	0.0225	0.0525	0.0825	0.1125	0.1425
	0.15	0.35	0.55	0.75	0.95
			Impact		

NOTE: As of the 11/11/2016 Mid-Month IV&V report, RESPEC began removing older historical information from this table. Previous IV&V reports may be used for archival reference and purposes. This action is to reduce the length of this table and focus on current information and mitigation activities. No risks will be deleted from this table and will continue to be listed. Closed risks are carried forward as they may recur at any time.

RESPEC Risk Summary

RESPEC IV&V includes the following risk summary table followed by detailed information for each risk.

#	Risk	Probability	Impact	Rating	G / Y / R
1	Closed				

2	Agency loss of key staff	0.15	0.95	0.1425	Green
3	Agency resources (availability & competing priorities)	0.55	0.95	0.5225	Yellow
4	Contractor loss of key staff	0.55	0.35	0.3025	Green
5	Contractor resources (availability & competing priorities)	0.15	0.35	0.0525	Green
6	Insufficient project funding (decreased)	0.15	0.55	0.0825	Green
7	Adverse regulatory impact	0.15	0.55	0.0825	Green
8	Functional and technical requirements not fully captured	0.15	0.55	0.0825	Green
9	Inadequate project communications	0.35	0.55	0.1925	Green
10	Insufficient integration of various software products	0.15	0.75	0.1125	Green
11	Problems with database cleansing and conversion	0.15	0.35	0.0525	Green
12	Tracking overall project status against the schedule	0.55	0.75	0.4125	Yellow
13	Closed				
14	Insufficient project slack/float time in the schedule	0.95	0.75	0.7125	Red
15	Load testing for full production mode	0.35	0.75	0.2625	Green
16	Interface testing	0.35	0.75	0.2625	Green
17	Closed				
18	End User Adoption of Solution	0.75	0.75	0.5625	Yellow
19	Insufficient time / completeness of testing	0.55	0.55	0.3025	Green

RESPEC Risks

NOTE: Comments in the Action(s) Taken, Status column prior to 10/31/17 were removed. They are available in prior reports.

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
1	*The unavailability of business SME resources can affect the project's overall schedule and budget.* **Closed**.			This risk was closed as of the 8/31/15, RESPEC Monthly Report #13 and replaced with **Agency Loss of Key Staff and Agency Resources (Availability & Competing Priorities).** **Closed**.
2	*Agency Loss of Key Staff* Probability: .15 Impact: .95 Rating: 0.1425 GREEN	Early in the Project, identify key staff. Augment staff (technical, SME, etc.) with contract personnel, if necessary, ensuring adequate staff availability. Ensure Senior Management Stakeholders are involved and support the change in project leadership, subject matter experts (SME), or team members.	If personnel leave, Management should make a list of the knowledge that needs to be transitioned and prioritize the list. During a transition, Management should assign personnel to critical project tasks as their first priority, and then assign personnel to less critical tasks as their second priority.	Mitigate. Impact will occur if a key State resource leaves or becomes unavailable without a trained/knowledgeable replacement. The Project utilizes the PCR process to document and track key staff changes. 10/31/17: No known loss of key staff for this reporting period. 11/30/17: Current staff have been available. There is no known loss of key staff for this reporting period. Project Management has proposed re-baselining the project which includes various options. 12/31/17: One key staff had a family emergency and is out for an unknown time. Otherwise, key staff have been available. An ITB individual with a QC background will be added for testing and data standards but is currently out on emergency family leave also. 1/31/18: Staff were available this reporting period. Staff on family emergency leave have returned to work. 2/28/18: Staff were available. The Project is currently

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
				interviewing candidates for two CSA positions. 3/31/18: Ms. Cynthia Meier-Dingman will retire in late March 2018. She completed the data cleanup efforts prior to retirement, submitting her final data clean up report in late March. The CSA positions remain open. Project Management completed the interviews, one candidate is no longer in running and the remaining 2 candidates failed the reference check. Project Management is reassessing. 4/30/18: Cynthia Meier-Dingman retired after completing assigned data cleanup tasks. 5/31/18: No loss of key staff during the period. 6/30/18: No loss of key staff during the period. 7/31/18: No loss of key staff during the period.
3	*Agency Resources (Availability & Competing Priorities)* If sufficient and appropriate resources are not allocated and available to perform critical tasks, the project schedule may continually slip. Probability: .55 Impact: .95 Rating: 0.5225 YELLOW	Ensure Senior Management Stakeholders are involved and support the project. Assign skilled and experienced project team members with clearly defined roles and responsibilities. Assign personnel to critical project tasks as their first priority with backfill on less critical tasks as their second priority. Team members need to make management aware of anything that will affect their ability to complete project	The RIMS PM should bring this matter to the attention of the RIMS Executive Director if agency personnel are not given enough time to devote to the project.	Mitigate. Normal/daily work in addition to project work may impact project efforts. Management is aware of this risk and working to manage staffing and resource constraints. This risk must be actively mitigated and managed to minimize probability. 10/31/17: Resources generally remained available. However, to meet the Project Schedule end-date, DEQ may need to add resources. A Technical Lead/Architect role is needed and should be heavily involved in key project technical activities. 11/30/17: Resources available this reporting period. 12/31/17: Resources have been available. The Christmas

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
		tasks as soon as possible.		& New Year's holidays occurred this reporting period. Sprint #71 was extended to account for the holidays. 1/31/18, 2/28/18, 3/31/18, 4/30/18, 5/31/18, 6/30/18: Resources were available. 7/31/18: Resources were available.
4	*Contractor Loss of Key Staff* If sufficient and appropriate contractor resources are not allocated and available to perform critical tasks, the project schedule may continually slip. (NOTE: This can include the Contractor planning around personnel vacations to minimize impact on the project schedule.) Probability: .55 Impact: .35 Rating: 0.3025 **GREEN**	Clearly defined contractor roles and responsibilities are required to ease transitions. Effective contractor/Agency communication is a must. The longer a key contractor staff member is on a project, the more impact a change in key contractor personnel becomes.	Should it be determined that key contractor personnel will be leaving the project, the DEQ PM should request at least two weeks' notice and request to review the resumes of proposed replacement personnel.	Mitigate. The RIMS PM is aware of and works with the contractor to manage this risk. Impact will occur if a key resource leaves. The RIMS Project utilizes the PCR process to document and track key staff changes. 10/31/17: No known loss of vendor staff. 11/30/17: No loss of key vendor staff this reporting period. However, the Re-Baseline assessment shows a change in vendor staff planned for January 2018. 12/31/17, 1/31/18, 2/28/18, 3/31/18, 4/30/18: No loss of key vendor staff this reporting period. 5/31/18: No loss of key vendor staff. 6/30/18: No loss of key vendor staff, but risk is increased due to higher likelihood of contractors seeking new employment as the contract term nears its end. 7/31/18: No change
5	*Contractor Resources (Availability & Competing Priorities)* Probability: .15 Impact: .35 Rating: 0.0525 **GREEN**	Just as MT DEQ project staff can have competing priorities for their time, the same risk applies to the contractor staff. Frequently, contractor/contractor resources are billable across multiple projects. Effective communication	Should the RIMS PM feel that contractor resources are not adequately focused on the project; the issue should be elevated to the contractor's senior management.	Mitigate. The RIMS is being handled internally, so DEQ is less dependent on outside contractors. Risk level has been reduced. DEQ is using contractor staff to augment their internal IT staff. Since the RIMS Project is being handled internally, DEQ is less dependent on

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
		between contractors and the RIMS PM are critical. Contractor team members need to make Elegant and MT DEQ management aware of anything that will affect their ability to complete project tasks as soon as possible.		outside contractors and risk is reduced. 10/31/17, 11/30/17, 12/31/17, 1/31/18, 2/28/18, 3/31/18, 4/30/18, 5/31/18, 6/30/18: No change. 7/31/18: No change.
6	*Insufficient project funding is a risk for any development project but particularly for a fixed- price/ deliverables project.* Probability: .15 Impact: .55 Rating: 0.0825 **GREEN**	Closely adhere to the change request process, paying careful attention to the budgetary impacts of any requested change. Request funding for additional phases at Legislative sessions.	Should an approved change request affect the budget, project sponsors need to consider a contract amendment.	Avoid. 10/31/17: No change, although if additional resources are obtained this could increase costs. 11/30/17: No change. However, the re-baselining of the project was approved by the ESC which will require additional budget to complete. 12/31/17: No change. With the re-baseline, the Project will utilize some of its contingency funds to cover additional vendor efforts and fund some extended software and hosting costs. PCR-039 addresses the re-baseline funding. 1/31/17, 2/28/18, 3/31/18, 4/30/18, 5/31/18, 6/30/18: No change. 7/31/18: Risk lowered due to limited project schedule remaining to need funds.
7	*Adverse regulatory impacts – the project business units are governed by government regulations.* Probability: .15 Impact: .55 Rating: 0.0825 **GREEN** Re-Opened	New government regulations can take time from being proposed to be being enacted. The business units need to monitor the regulatory environment closely.	Should an unforeseen regulation have an impact on the project scope or schedule, project sponsors need to consider whether a contract amendment is necessary.	Mitigate. 10/31/17, 11/30/17, 12/31/17: No change in assessment. 1/31/18: There are no known required governmental regulation changes at this time. However, one business owner notified the ESC that there may be some required EPA changes upcoming, around TREADS Go-Live in late August, but this is not

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
				definitive. Other changes not currently defined will be collected, reviewed, and prioritized. 2/28/18, 3/31/18, 4/30/18, 5/31/18, 6/30/18: No change 7/31/18: No change
8	*Functional and technical requirements not fully captured during JAD sessions or throughout the project.* Probability: .15 Impact: .55 Rating: 0.0825 **GREEN**	During an Agile project, requirements will be adjusted throughout the project. The DEQ and Windsor PM's, as well as the DEQ steering committee, must evaluate whether new, or changed, requirements affect the project's scope or schedule.	Additional time will have to be added to the project schedule if too many new requirements are added, or scope creep occurs.	Mitigate. The Project utilizes the Requirements Change Requests (RCR) process to document requirements changes. 10/31/17, 11/30/17: No change in assessment. 12/31/17: If approved, then PCR-039, Re-baseline RIMS Project, will adjust the project scope for TREADS (production) Release #1. 1/31/18: Updated high-level scope is shown in status report, including in/out of scope. 2/28/18, 3/31/18, 4/30/18, 5/31/18, 6/30/18: No change 7/31/18: No change.
9	*Inadequate project communications – There is a large core of team members and oversight committees to be kept informed of project status.* Probability: .35 Impact: .55 Rating: 0.1925 **GREEN**	The communications plan needs to be followed regarding detailed reporting frequency and content.	The DEQ PM should address it immediately if an entity is not apprised of project status.	Avoid. The DEQ PM holds project status meetings with the project team. The DEQ PM notifies project members of open PCRs and RCRs requiring approval and DARs review status. The Project Team utilizes various media for communication: Meeting requests, Email, written documents, recordings, etc. Extensive documentation is available on the RIMS Project SharePoint. 10/31/17: Ms. Stolp, PM, has revised the project reports to better communicate status. 11/30/17, 12/31/17, 1/31/18: No change.

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
				2/28/18: Ms. Stolp has updated the Project Reporting documents to make them more comprehensive and try to clearly show status. 3/31/18: The Project Status report addresses the schedule, budget, overall reporting information, PCRs, RCRs, Achievements, etc. 4/30/18, 5/31/18, 6/30/18: No change. 7/31/18: No change.
10	*Insufficient integration of various software products – nForms, nSpect, EQuis, nSite, Alfresco, ePass, SABHRS.* Probability: .15 Impact: .75 Rating: 0.1125 **GREEN**	A number of these products have been developed by Windsor, and in those cases integration should not be a problem. However, the numerous overall packages to be integrated should be monitored closely.	There is no adequate contingency for this risk. If problems arise, addressing the technical issues against the project schedule is paramount.	See related RESPEC Risk #16. As DEQ is eliminating some or most of these products, integration and interfacing risk is significantly reduced. RESPEC has reduced the Probability rating to reflect this. 10/31/17, 11/3017: No change in assessment. 12/31/17: The RIMS Risk Log was updated for Risk #26, ePASS/local login are incompatible. It is rated as LOW with a recommended mitigation of only using ePASS to login to TREADS. 1/31/18, 2/28/18, 3/31/18, 4/30/18, 5/31/18, 6/30/18: No change. 7/31/18: No change.
11	*Problems with database cleansing and conversion* Probability: .15 Impact: .35 Rating: 0.0525 **GREEN**	This is perhaps the most critical piece of the project. The database conversion plan must be comprehensive. If the plan is determined to not be detailed or comprehensive enough, then high-level database expertise should be brought in.	Examine the error rates that arise from testing the conversion process. Ensure that Windsor can make timely fixes. Bring in additional database resources if that is warranted.	Mitigate. RESPEC Risk #11 is related to DEQ Risk #21 (rated **RED** by DEQ). DEQ actively addresses the data cleansing/conversion. PCR-027 (Data Cleanup): A data clean-up plan is in progress. 10/31/17, 11/30/17, 12/31/18: No change. 1/31/18, 2/28/18: Data conversion and cleansing are high priority items. Risk #23,

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
				Data Clean Up and Conversion, are rated as HIGH on the Risk Log.
				3/31/18: Data cleanup efforts completed in late March 2018, prior to Ms. Cynthia Meier-Dingman pending retirement. All automated Data cleanup was completed prior to her retirement, including submitting final data clean up report in late March. Remaining data cleanup efforts are estimated between 1 – 6%, requiring manual efforts and direct review/assessment without the use of automated data cleanup scripts.
				With Data Cleanup essentially complete, decreased rating from YELLOW to GREEN.
				4/30/18: Data Clean-Up is at 100% completion, although potential remains for issues during conversion.
				5/31/18: No change.
				6/30/18: No change.
				7/31/18: No change.
12	*Tracking overall project status against the schedule.* Inability to adequately track project progress affects communications and long-term planning. Probability: .55 Impact: .75 Rating: 0.4125 <mark>YELLOW</mark>	DEQ PM is tracking overall project status through project schedule, RTM, and tracking of sprints in JIRA. If planned stories are not accomplished during given sprints, this effects work that can be completed in fixed project time frame. Review project status based on higher level functionality (e.g. Epics, Components, or business processes) on a regular basis (every	Use features in JIRA to help track at different levels. Add or reorganize epics or other items, as needed to better understand overall progress. Respond to any drops in performance measures and report to ESC and project team when any drops occur.	Mitigate. 10/31/17: No change in assessment. 11/30/17: No change in assessment. 12/31/17: The RIMS Project is being re-baselined, with an additional 2 months added to the effort. The schedule was changed to reflect waterfall (traditional) management, as opposed to the Agile methodology. 1/31/18: The Project Schedule has been converted to the new methodology. The PM expressed concern that converting from Agile to waterfall may provide some

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
		two weeks). Track metrics that help evaluate progress being made for each area and overall.		confusion to project team members. 2/28/18: The Project has taken a hybrid approach to project scheduling, using Hybrid of Agile and waterfall, as part of the re-baseline. 3/31/18: The Schedule is regularly updated. It is available to all Project Team members via SharePoint. 4/30/18, 5/31/18, 6/30/18: No change. 7/31/18: No change.
13	*Contractor Resource Availability and Management* **Closed**.			This risk was replaced with **Contractor Loss of Key Staff** and **Contractor Resources (Availability and/or Completing Priorities)**. **Closed**.
14	*Insufficient project slack/float time in the schedule* Basically, any project must account for unseen factors during the execution phase of the project, allowing time to adjust the schedule as needed. This applies to both waterfall and agile projects. Lack of slack/float time creates a critical path in the project timeline. Probability: .95 Impact: .75 Rating: 0.7125 RED	The project manager and team should track frequently the schedule and related milestones or delivery dates. Determine the work segment or area, which are at risk for falling behind. Bring to the attention of the Steering Committee as soon as the issue becomes evident.	Align resources strengths, including adding resources if needed, with the areas at risk. Make these shifts pro-actively as soon as an impact is identified.	Mitigate. PCR-024, **DDI Schedule** As this schedule incorporates the agile SW development, and assigns one sprint per module, RESPEC IV&V sees this as a significant risk to the timeline. There is a high probability that additional coding requirements will be identified at the time development is started. There is little to no slack time built in to account for currently unidentified coding requirements. 10/31/17: Changed from Yellow to Red. No slack remaining in schedule with increased probability of incomplete tasks. 11/30/17: No change in assessment. ESC has approved re-baselining the project. Although the schedule was extended an additional 8 weeks, this risk remains Red.

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
				12/31/17: There is no change in RESPEC rating for this risk until further information on progress is obtained using Waterfall methodology. The RIMS Project is re-baselining. The Schedule has been updated to reflect the additional 2 months.
				1/31/18: As of the January 2018 Project Schedule, it is now reflecting the new methodology.
				The Project Schedule looks complete, and now includes other progress tracking measures (Late Start/Finish and Free/Total Slack).
				2/28/18: No change.
				3/31/18: The Project achieved ~ 83% overall completion but must continue to achieve >~3% from April – August 2018.
				4/30/18: The Project continues to move forward, now achieving ~88% overall completion as of 4/23/18.
				5/31/18: Project advanced only 1% to ~89% overall completion during last month.
				6/30/18: Two months remain to complete segment 1 functionality with many overdue tasks still incomplete.
				7/31/18: Only one month remains to complete segment 1 functionality with many overdue tasks plus scheduled tasks still incomplete.
15	*Load testing for full production mode.* Load testing is essential prior to moving into production. It simulates to full load of activities and transactions,	Add to list of UAT and related testing procedures. Scheduling can be combined with Pilot phase operations.	If load-testing fails, enough slack should be left to first determine the source of the failure then correct and re-test.	Mitigate by adding to the testing schedule, design and plan testing structure. Performance & Load Testing is part of the Project Schedule. 10/31/17, 11/30/17, 12/31/17: No change in assessment.

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
	which the system will be required once the system is in full production mode. Probability: .35 Impact: .75 Rating: 0.2625 GREEN			1/31/18: No change. 2/28/18, 3/31/18, 4/30/18: Load Testing should be included in the Testing phase. 5/31/18: No change. 6/30/18: Load testing should be scheduled with specific tasks, resources, and tools/methodology to be used. 7/31/18: No change.
16	*Interface testing.* Testing for interface functionality and success is critical to system testing prior to production. This ensures that functional components of the system talk to each other and should be included in the testing schedule. Probability: .35 Impact: .75 Rating: 0.2625 GREEN	Add to list of testing procedures, and schedule accordingly. This should be scheduled prior to Pilot phase.	If fails, problem must be isolated and corrected, then re-tested.	Mitigate. Add to the testing schedule and plan testing accordingly. 10/31/17: No change in assessment. 11/30//17: No change in assessment. The Project held an automated testing training session. 12/31/17: No change in assessment. 1/31/18: Extensive testing is noted in the Project Schedule, with Conversion Test Plans, and User Acceptance Test, with sign-off tasks. 2/28/18, 3/31/18, 4/30/18, 5/31/18, 6/30/18: No change. 7/31/18: No change.
17	*Availability of vendor staff augmentation resources to augment DEQ IT technical and development staff* **Closed (Covered under Risks #4 & #5)**			**4/14/17: Closed - Covered under Risks #4 & #5**
18	*End User Adoption of Solution*	Involve business staff throughout the project. Ensure users gain a comfort level	Perform additional UAT to ensure that users fully	This is a new risk added 4/14/2017. Begin mitigation and contingency planning now.

	Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
	The failure of many IT projects lies not only in the requirements or the development but also in end-user adoption of the solution. Probability = .75 Impact = .75 Rating = .4125 **YELLOW**	with the solution during UAT. Ensure training sessions and materials are high quality. Ensure that testing scenarios cover full range of required functionality. Keep program staff affected by solution apprised of functionality and progress.	understand and buy into the solution; and feel that it would aid them in their day-to-day duties. Work with DEQ management and ESC to prioritize items to be included in Phase 1 release. Clearly communicate what is and is not in scope for each phase.	10/31/17: Impact increased, and risk changed from Green to Yellow. 11/30/17: No change in assessment. 12/31/17: The probability was increased although it remains Yellow. There are fewer requirements and functionality in the planned system and may be functionality needed by users that is not included. This could lead to greater risk to acceptance of the solution. 1/31/18: No change. TREADS Release #1 has a defined scope of what is In-Scope and Out-Of-Scope. The LAD Recommendations (Corrective Actions) was reviewed during the 1/3/18 ESC meeting. At this meeting, Ms. Stolp reminded all that the DEQ TREADS Release #1 is different that the Windsor TREADS Release #1. The DEQ TREADS system will have reduced functionality. 2/28/18, 3/31/18, 4/30/18, 5/31/18: No change. 6/30/18: No change. 7/31/18: Management from the business areas have prioritized work to be done post Go Live to satisfy their needs.
19	*Insufficient time / completeness of testing* The project may not have sufficient time to adequately complete testing to ensure quality and robustness of developed code. Probability: .55 Impact: .55 Rating: 0.3025	Involve business staff in developing test scenarios and testing. Ensure adequate test plans, scenarios and testing methodologies are reviewed and approved in advance of UAT, Integration, and Regression testing. Use automated testing wherever possible to improve quality.	Allow additional time and/or add more staff during testing periods.	10/31/17: New risk. 11/30/17 ESC has approved re-baselining the project. This included removing the Pilot and including additional time for UAT and fixing bugs. 12/31/17: PCR-039, Re-baseline RIMS Project, is out for review/approval. 1/31/18: PCR-039 was approved. 2/28/18: Testing time should be carefully planned to maximize test benefits.

Project Risk	Mitigation Strategy	Contingency Approach	Action(s) Taken, Status
GREEN			3/31/18: UAT training is planned and scheduled.
			4/30/18: UAT Training is scheduled for CPRS, PTCRB, PTC, UST, SSU, AML.
			5/31/18: UAT Part 1 in progress.
			6/30/18: UAT Part 1 at 94%, UAT Part 2 at 40% as of 6/17/18.
			7/31/18: UAT Part 1 at 99%, UAT Part 2 at 86%, UAT Part 3 at 29% as of 7/16/18.

10. Documents Reviewed for This Report

RESPEC IV&V analyzes the effectiveness of the information technology implementation through documents (emails, policies, procedures, records, etc.), interviews, demonstrations, attending meetings, and samples.

The following project documents have been reviewed for this report:

- RIMS_P1_RD02_RTM_Consolidated_Phase2.xlsx

- RIMS_Steering_Committee_Meeting20180718.docx

- RIMS_Steering_Committee_Meeting20180703.docx

- Project_Status_Report_20180716xlsx.xlsx

- Project_Status_Report_20180702xlsx.xlsx

- Project_Status_Report_20180617xlsx.xlsx

- RIMS_DDI_SU06_Project_Management_Plan (Denise).docx

- TREADS Audit.docx

- TTREADS_UAT_Training_Agenda_2018 (v1.8).docx

- RIMS_DDI_Training_Plan(v0.3x).docx

- TREADS_UAT_Plan (v3.5).docx

- TREADS_Test_Process_Roles.xlsx

11. RESPEC Contract

The contract novation to formalize the name change from POD, Inc. to RESPEC was completed. All IV&V reports will now refer to our company as RESPEC. However, we may still refer to POD for historical actions or purposes.

Modification 4 to contract 415005 was executed, extending the contract term out through 8/31/18. This amendment added 2 additional monthly reports.

Post-Implementation Report
Legislative Finance Committee
Revised December 19, 2017

Instructions: A Post-Implementation Report is required six months after the project delivery date to verify the project has fulfilled its original objectives, that all components are fully implemented, and that the system is performing as expected after production implementation. Please report any issues and risks encountered after the project delivery date.

Project Information	
Agency	Department of Administration
Project Title	Claims and Lawsuit
Current Date	8/9/2018
Sponsor	Brett Dahl
Project Manager	Barry Fox
Project Delivery Date	1/31/2018
Appropriated Budget Amount	$1,137,900
Total Project Cost	$1,085,931
Expected Ongoing Annual Cost	$180,000
Year the Ongoing Annual Cost Began	2018
Funding Sources for Ongoing Cost	RMTD Proprietary Fund
Primary Project Goal(s)	Migrate RMTD Claims and Lawsuit application from unsustainable legacy Oracle Forms and Reports technology into a modern technology. Enhance usability of system be normalizing the data model and fixing persistent issues in legacy data.

List the key project objectives, metrics used to measure objectives, and final metric results		
Key Objectives	**Metric Used**	**Metric Results**
Develop new Database design and create schema.	Third normal form database designed encapsulating all Claims and Lawsuit objects, with RMTD certification that it models the core business processes.	09/01/2015
Assist RMTD staff with migration of denormalized legacy data.	Developed extracts for RMTD to review and worked through the data with them. Developed upload procedures to get data into the new databases	01/01/2015
Develop modern Java user interface to perform RMTD Claims and Lawsuit business functions.	RMTD user acceptance testing certifies the new application meets business needs.	11/01/2017
Integrate document upload and retrieval to/from Perceptive Content with the application	RMTD tested uploading and retrieving content from Perceptive Content via the Claims application.	11/20/2017
Migrate Legacy Claims Data	Performed validation checks ensuring the correct numbers of claims, claimants, etc. were brought over.	01/30/2018

Describe post-implementation issues, risks, mitigation measures, resolution dates, and status			
Issues and Risks	**Resolution and/or Mitigation Measures**	**Resolution Date**	**Status**

Add additional comments

Supplemental Report
Legislative Finance Committee
Revised December 19, 2017

Instructions: A Supplemental Report is due anytime:
- the overall health yellow or red;
- the project is re-baselined; and/or
  - re-baselining must be approved by the State CIO prior to reporting the re-baseline to the LFC
- the current phase is On-Hold or Cancelled.

Project Information	
Agency	MT Dept of Justice
Project Title	Full Court Enterprise Data Exchange (FEDEX)
Current Date	8/13/2018
Sponsor	Butch Huseby, CIO Dept of Justice
Project Manager	Mike Cochrane
Overall Health	Yellow
Brief Description of Current Project Status	On Hold
Major Milestones Completed	N/A
Next Milestone(s)	Restart Planning Phase – November 2018

List all issues, risks, scope changes, schedule changes, budget changes, etc.				
Issues and Risks	**Date Identified**	**Planned Resolution and/or Mitigation**	**Schedule Impact (Weeks)**	**Budget Impact (Amount)**
Vendor work at Office of Court Administrator (OCA) has been behind schedule.	Has been occurring since 2015.	Vendor work anticipated to be finished early Summer 2018, which will relieve OCA staff to work on this effort.	Unknown	None

Add additional comments
This effort involves key participants from MT Office of Court Administrator (OCA) and MT Department of Justice (DOJ). The Office of Court Administrator continues to work toward deployment of their Full Court Enterprise solution to courts in the State. Therefore, this project has been placed on-hold until we can meet with OCA and their vendor to re-initiate the planning process. The OCA project is nearing close-out, and progress is anticipated to pick up at a good pace toward design and build-out of the needed data exchanges between the Courts environment and DOJ's criminal history system in November. Until then, there is no DOJ activity on this project.

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- the current phase is On-Hold or Cancelled.

Project Information	
Agency	Department of Justice
Project Title	Driver Modernization
Current Date	8/13/2018
Sponsor	Sarah Garcia
Project Manager	Mike Cochrane
Overall Health	Yellow
Brief Description of Current Project Status	Coding is underway with the completed use cases and business rules. Data conversion ongoing.
Major Milestones Completed	System design is complete. Formal change control in-place at the Executive level to allow software development to proceed with only approved changes to the system design.
Next Milestone(s)	Code development, testing, training, and deployment to production.

List all issues, risks, scope changes, schedule changes, budget changes, etc.				
Issues and Risks	**Date Identified**	**Planned Resolution and/or Mitigation**	**Schedule Impact (Weeks)**	**Budget Impact (Amount)**
Issue: Staff turnover-lost primary MERLIN developer, and another programmer. Losing contracted project manager in August 2018. Significant loss of project/business knowledge.	7/15/2018	Added two additional programmers. Assigned subject matter experts to educate code development team lessening steep learning curve for new staff. Internal staff filling project manager role until decision made on replacement.	26 weeks	Contracted Project manager departure benefits project budget-typically ~$18K/month.
Risk: DOA SITSD announcement that the J900 mainframe computer may shut down by July 2019. Montana driver records reside on the mainframe.	6/15/2018	In discussion with DOA to allow DOJ to stay on the mainframe until June 2020.	26 weeks	Estimated $1.5-$2.5M to outsource the mainframe.

Add additional comments
• Staff turnover primary cause in six-month extension of project timeline.
• Mainframe discussion and education of new staff diverting lead MERLIN system architect from Driver Modernization (DM) tasks.
• Despite the above, no additional funding anticipated to complete the DM project.

Supplemental Report
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Revised December 19, 2017

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- the project is rebaselined; and/or
    - rebaselining must be approved by the State CIO
- the current phase is On-Hold or Cancelled.

Project Information	
Agency	Department of Public Health and Human Services
Project Title	Montana Family Safety Information System
Current Date	8/6/2018
Sponsor	Erica Johnston
Project Manager	TBD
Overall Health	Red
Brief Description of Current Project Status	The focus is on Investigation functionality including the Field Report and Family Functioning Assessment. Frequency and volume of record exchanges between Northrop Grumman and SITSD continues to increase. We are close to exchanging daily.
Major Milestones Completed	Initial rounds of UAT by Intake and other identified workers has concluded on the Intake and Person Panels. We were able to address many key elements identified from this assignment.
Next Milestone(s)	Field UAT is planned to roll out in the next couple of weeks.

List all issues, risks, scope changes, schedule changes, budget changes, etc.				
Issues and Risks	**Date Identified**	**Planned Resolution and/or Mitigation**	**Schedule Impact (Weeks)**	**Budget Impact (Amount)**
Loss of Project Manager that had years of experience and knowledge of legacy system (CAPS).	10/13/2017	Other MFSIS team members have been brought up to speed and are absorbing necessary duties. Relying on Child and Family Services to assist in defining requirements and Northrop Grumman for CAPS system related information. Strategic Business Analyst has been added to offer additional administrative support.		
Continued discovery of new requirements	Ongoing	See below		

Add additional comments

Please note the status of the project reflected on this report is not a good representation of the status of the project, due to this project being Agile, allowing for testing of functionality, fixes being made, and other tasks being worked on while development progresses. Great progress continues to be made on the development of MFSIS. For instance, there were a total of 88 user stories, 31 reported bugs and many tasks completed in the last sprint alone. Unfortunately, reporting only the percentage complete does not allow the numbers to reflect that the total number of user stories and business rules continues to grow.

A contributing factor of the percentage complete continuing to not fully reflect the work that is being done, in the continued identification of new requirements/user stories. The identification of new user stories does not result in additional Sprints but does affect what work must be included in each of the Sprints already identified.

While we continue to add new user stories, we are also prioritizing these user stories and defining which are essential to be completed to implement Phase I. This is even more important the closer we get to implementation. The stories or requirements that are not a necessity for go-live continued to be identified and gathered, but are being categorized as enhancements to be reviewed for development in future phases.

There has been an increase in CFSD staff participation in the testing and planning for MFSIS recently. Specific CFSD staff members have been identified and MFSIS has been identified as a part of their daily job. This additional staff and change in priority will provide the project team more velocity and opportunity to accomplish the necessary critical path tasks for project completion. Their involvement and support is essential to the successful development and rollout of MFSIS, still on target for 10-31-2018.

User Acceptance Testing (UAT) training for field staff in scheduled for August 22-23, 2018. Once this successfully kicks off we will be able to report this major milestone as progressing.

Northrop Grumman, SITSD and HHS are working closely together to define the MFSIS rollout activities and implementation schedule.

Post-Implementation Report
Legislative Finance Committee
Revised December 19, 2017

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Project Information	
Agency	DPHHS
Project Title	MPATH – Premium Billing and Collections
Current Date	8/6/2018
Sponsor	Marie Matthews
Project Manager	Gene Hermanson
Project Delivery Date	1/5/2018
Appropriated Budget Amount	$310,750.00
Total Project Cost	$163,105.00
Expected Ongoing Annual Cost	$867,073 (estimate based on monthly PMPM fees)
Year the Ongoing Annual Cost Began	1/1/2018
Funding Sources for Ongoing Cost	75 Federal/25 State upon CMS Certification
Primary Project Goal(s)	Bill, receive, and process premium payments for Medicaid members

List the key project objectives, metrics used to measure objectives, and final metric results		
Key Objectives	Metric Used	Metric Results
Invoices are generated accurately and on time	98% of invoices were generated on time (delays due to issues not under Certifi's control are not included) 98% of invoices audited were accurate	This metric was exceeded
Payments are received and applied on time	98% of payments are received and applied with no delay	This metric was exceeded
Member has received added value with the new system	Number of members paying by methods other than check or cash have increased	This metric was met
The data needed for managing the program is readily available in the desired format	98% of reports are generated on time and are accurate (reports that staff have not commented on are assumed to be what is needed)	This metric was exceeded
The interfaces are processed on time and accurately	98% of interfaces are processed on time and accurately (delays due to issues not under Certifi's control are not included)	This metric was exceeded

Describe post-implementation issues, risks, mitigation measures, resolution dates, and status			
Issues and Risks	Resolution and/or Mitigation Measures	Resolution Date	Status
None	NA	NA	NA

Add additional comments
When this project was setup initially the established budget was $310,750.00. However, these services were procured through a VAR, and the associated fees for this purchase had yet to be finalized at the time this project was established for LFC report. The full cost, including all applicable VAR fees for the design, development, and implementation (DDI) of the premium payment solution is $321,460. Upon completion of the pilot later this month, the Department will pay Certifi the remaining $158,355 for the DDI portion of the Contract.

Supplemental Report
Legislative Finance Committee
Revised December 19, 2017

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- the project is re-baselined; and/or
  - re-baselining must be approved by the State CIO prior to reporting the re-baseline to the LFC
- the current phase is On-Hold or Cancelled.

Project Information	
Agency	DPHHS
Project Title	Seed 2 Sale Project
Current Date	8/6/2018
Sponsor	Erica Johnston
Project Manager	Clarissa Kennedy
Overall Health	Yellow
Brief Description of Current Project Status	Project is complete, and scope of work fully implemented on time, June 2018
Major Milestones Completed	Successful configuration, Testing, Training, and implementation
Next Milestone(s)	None

List all issues, risks, scope changes, schedule changes, budget changes, etc.				
Issues and Risks	Date Identified	Planned Resolution and/or Mitigation	Schedule Impact (Weeks)	Budget Impact (Amount)
NA	NA	NA	NA	NA

Add additional comments
Project implemented in 2 phases, with Phase 1 implemented in April 2018, and Phase 2 June 2018. Project is listed in a yellow status overall, due to an ending CPI of .93. Project completion resulted in a higher internal cost than originally estimated. Planned internal cost was estimated to be $44,000, but actual internal costs were $108,093, resulting in a $64,000 overage. This overage is a result of an inaccurate assessment/estimate of the internal staff commitment that would be required to successfully implement the project within the aggressive timeline.

Post-Implementation Report
Legislative Finance Committee
Revised December 19, 2017

Instructions: A Post-Implementation Report is required six months after the project delivery date to verify the project has fulfilled its original objectives, that all components are fully implemented, and that the system is performing as expected after production implementation. Please report any issues and risks encountered after the project delivery date.

Project Information	
Agency	Judiciary
Project Title	Electronic Filing of Cases in Montana Courts via an E-Filing Web Portal
Current Date	8/2/2018
Sponsor	Beth McLaughlin
Project Manager	Lisa Mader
Project Delivery Date	1/31/2018
Appropriated Budget Amount	$2,555,274 (appropriation included 3 years of maintenance @ $90,000/yr)
Total Project Cost	$2,279,271 (maintenance costs not figured into project costs)
Expected Ongoing Annual Cost	$90,000
Year the Ongoing Annual Cost Began	CY 2018
Funding Sources for Ongoing Cost	General Fund
Primary Project Goal(s)	Improve access to MT court systems; 24/7 standard/secure electronic filing/serving docs; improve quality/consistency of court record.

List the key project objectives, metrics used to measure objectives, and final metric results		
Key Objectives	Metric Used	Metric Results
24/7 standard/secure electronic filing/serving docs	Uptime analytics	95% uptime availability
Reduce data entry; improve quality/consistency of court record	Manual vs Automated Benchmark Comparisons Customer Satisfaction	Electronic case filing has realized a 75% reduction in data entry time to create record and data entry errors
Increase productivity by simultaneous access to case files	Paper Access vs Electronic Access Benchmark Comparisons Customer Satisfaction	Electronic case filing has realized a 100% increase in multiple-user access to a case record. Multiple user access vs single user access to paper files.
Secure payment processing of statutory filing fee/costs	Requirements Performance	100% project objective accomplished, and payment processing being fully utilized

Describe post-implementation issues, risks, mitigation measures, resolution dates, and status			
Issues and Risks	Resolution and/or Mitigation Measures	Resolution Date	Status
System Upgrade/Update Issues	Vendor performance accountability under maintenance contracts	7/24/2018	System functioning satisfactorily

Instructions: A Supplemental Report is due anytime:
- the overall health yellow or red;
- the project is re-baselined; and/or
  - re-baselining must be approved by the State CIO prior to reporting the re-baseline to the LFC
- the current phase is On-Hold or Cancelled.

Project Information	
Agency	Teachers' Retirement System
Project Title	M-Trust Enhancements
Current Date	8/10/2018
Sponsor	Shawn Graham
Project Manager	Jane Fournier
Overall Health	Green
Brief Description of Current Project Status	The project comprises twenty enhancement packages each with its own development and delivery schedule. Five of the enhancement packages have been completely delivered and four more are in different stages of the development lifecycle.
Major Milestones Completed	Eleven of a total of forty major milestones (27%) have been completed and delivered.
Next Milestone(s)	Completion of the following four deliverables within the next quarter: - Operations enhancements rollout - M-Trust Wage and Contributions enhancements for UAT - Online Wage and Contributions enhancements for UAT - Online Beneficiary Designation rollout

List all issues, risks, scope changes, schedule changes, budget changes, etc.				
Issues and Risks	Date Identified	Planned Resolution and/or Mitigation	Schedule Impact (Weeks)	Budget Impact (Amount)
Development Team Size: The size of AMA development team is limited because of the specialized business knowledge needed to work most effectively, and with least impact on TRS, to complete the enhancements making up the project scope.	1/17/2017	Schedule/Planning: Revised project schedule changes the allocation of development resources from 70% to 50%. Acceptance: TRS accepts the risk posed by the small team because of the business advantage to TRS. Schedule is monitored weekly and corrections made where necessary.	The resolution for both risks has added a total of 46 weeks to the project schedule.	The resolution for both risks has added a total of $532,387 costs to the project budget.

TRS Team Size: TRS is a small organization with a critical mission and fiscal responsibility. Availability of business experts for project work is sometimes limited by the business workload and staff turnover.	1/17/2017	Schedule/Planning: The revised project schedule plans around known workload demands. Staffing: TRS has increased staffing levels in order to devote resources to the project.	The resolution for both risks has added a total of 46 weeks to the project schedule.	The resolution for both risks has added a total of $532,387 costs to the project budget

Add additional comments

In order to resolve a 30% reduction in the available level of effort originally planned from the development team and limited availability of TRS staff, TRS has rebaselined the project schedule, adding a total of 46 weeks to the previous project duration. This change has no impact on the fixed-price development costs. It does result in an increase in the planned internal TRS resource and other contractor resource costs of $523,387. The TRS Board approved the new schedule and budget on 8/3/2018.

The project comprises several enhancement packages each focusing on a different business function. Each enhancement package has its own development lifecycle of design and development, user test, and implementation. Each package is divided into two major invoice deliverables which also make up the major milestones for the project. Most deliverables represent 50% of a package.

Because TRS does not record the percent completion for a deliverable until delivery, work accomplished toward these deliverables is not reflected in the project report. However, TRS has accrued internal resource and external contractor costs for these modules which are included in the total Actual Cost. This disparity is often reflected in the cost performance indicator.