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July 10, 2018

The Honorable Ronald D. Kouchi,  
President, and  
Members of The Senate  
Twenty-Ninth State Legislature  
Hawaii State Capitol, Room 409  
Honolulu, Hawaii 96813

The Honorable Scott K. Saiki,  
Speaker, and  
Members of The House of Representatives  
Twenty-Ninth State Legislature  
Hawaii State Capitol, Room 431  
Honolulu, Hawaii 96813

Dear President Kouchi, Speaker Saiki, and Members of the Legislature:

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawaii Department of Health Hawaii BHA Integrated Case Management System Project Independent Verification and Validation (IV&V).

In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

Sincerely,

A handwritten signature in black ink, appearing to read "Todd Nacapuy".

TODD NACAPUY  
Chief Information Officer  
State of Hawai'i

Attachment (2)



# Hawaii BHA Integrated Case Management System Project

*Final IV&V Report for the period of  
May 26 - June 22, 2018*

# Overview

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- Executive Summary
- IV&V Activities
- IV&V Findings and Recommendations
- Appendices
  - A – Findings and Recommendations Log
  - B – Inputs

# Executive Summary











Overall Project  
Health:



*The overall project health has reduced from caution to a good criticality rating due to successful mitigation of risk related to the deliverable expectation document (DED) process for future Iterations and the verification of requirements traceability of requirements to users in TFS. Two findings were closed during this reporting period and no new findings were opened. Thus far, the project remains on schedule for completion.*

| Apr 18 | May 18 | Jun 18 | Process Areas             | IV&V Observations  | Overall Health |
|--------|--------|--------|---------------------------|--|----------------|
|        |        |        | Vendor Project Management | Various potential impacts on the project timeline (e.g., deliverable reviews, resource availability, process improvements) have been cited in this process area. Several of the findings that IV&V is monitoring relate to ensuring that system functionality will meet the DOH's needs. See pages 7 – 8 for more details on IV&V findings in this area.   |                |
|        |        |        | Requirements Management   | TFS governance has not been thoroughly established, which can lead to inadequate requirements management. Requirements elaboration, including the formalization of agreed-upon scope changes, is not currently tracked in TFS, which can negatively impact the project timeline.   |                |
|        |        |        | Design and Development    | The project is now adhering to a new DED process and has approved all but a handful of user stories for future Iterations. The Architecture Blueprint, however, has not yet been updated but the project is moving forward with design and development activities for Iterations 2 and 3. Finally, a list of over 35 functionality-related questions, concerns, and potential gaps were documented during the Iteration 2 demonstrations. These items have been added to the product backlog but it is not clear how they will be addressed. |                |

# Executive Summary

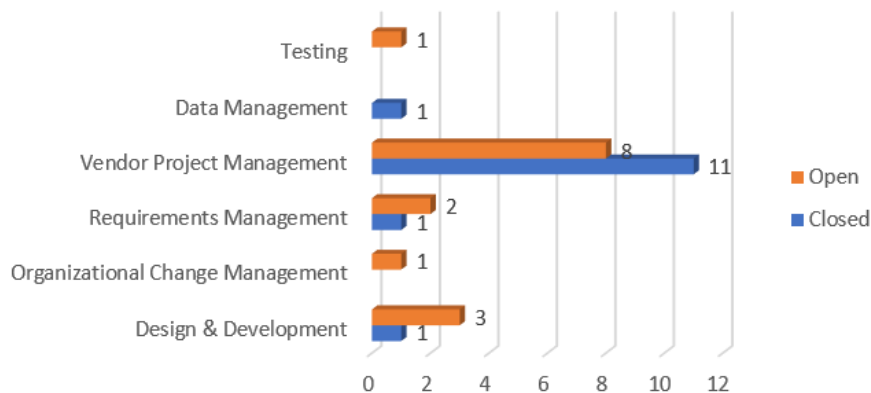
| Apr 18  | May 18  | Jun 18  | Process Areas                    | IV&V Observations  | Overall Health  |
|---|---|---|----------------------------------|--|---|
| n/a   |  |  | Testing                          | The contract requires delivery of Test Cases with Test Plans, and the State needs to be afforded the opportunity for review. Per the Draft Iteration 2 DED, a listing of test cases will be delivered with the Iteration 2 Test Plan. Per the DED, this will take place the week prior to a the iteration 2 demo. The project is investigating an improved mechanism for validating test cases and ensuring timeliness.  |  |
| n/a   |  |  | Data Management                  | There are currently no open IV&V findings in this process area. The Data Management Team continues to meet regularly and work collaboratively on the development of the Data Dictionary and the Data Management Plan.  |  |
|  |  |  | Organizational Change Management | A comprehensive strategy to support user adoption has been agreed to; however, the agreed upon artifacts and documents have not yet been provided. Without a documented Organizational Change Management (OCM) Plan, the project is challenged with ambiguity regarding roles, task ownership, and activity timelines for estimating resources and other OCM-related costs. IV&V anticipates the risk in this category will be effectively reduced when the OCM Plan and related documentation has been completed and approved. In addition, DOH awaits the training (sandbox) environment for collecting user feedback during Iteration 2. The execution details regarding the sandbox environment (e.g., entrance criteria, feedback loops, etc.) have not yet been defined. Although the BHA completed a "User Engagement and Opportunities for Organizational Change Management" survey to gather user adoption metrics from SMEs to help focus their OCM efforts, IV&V is not aware of any follow-up or mitigation activities identified from the survey results though survey feedback highlighted areas of improvement. |  |

# Executive Summary

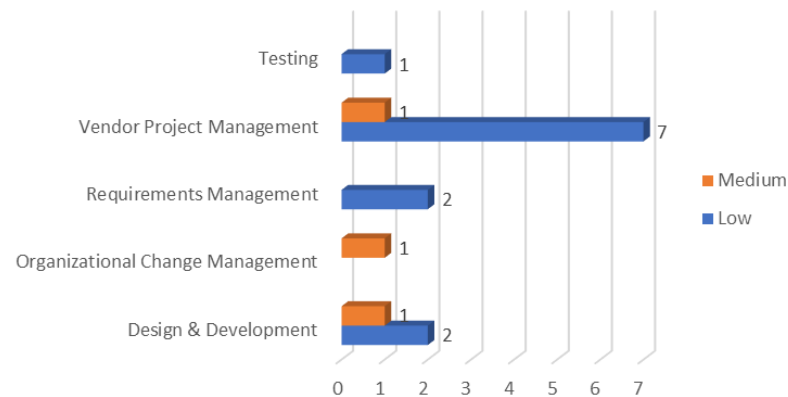
As of this reporting period, PCG has identified a total of 29 findings (2 issues, 21 risks, and 6 observations) on the Hawaii BHA Integrated Case Management System Project.

Focusing on the total number of IV&V findings, 14 of the 29 findings have been closed, leaving 15 open findings. Of those, there are two medium issues (13%), 1 medium risk (7%) and 12 low risks (80%) as shown below.

IV&V Findings by Status



Open IV&V Findings by Priority



# IV&V Findings and Recommendations

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## Process Areas Reviewed

Throughout this project, IV&V will verify and validate activities performed in the following process areas:

- Vendor Project Management
- Requirements Management
- Design and Development
- Testing
- Data Management \*
- Organizational Change Management

\* There are currently no open IV&V findings in this process area.

# IV&V Findings and Recommendations

## Vendor Project Management

| #  | Key Findings  | Criticality Rating |
|----|---|--------------------|
| 16 | <b>Unclear review and approval process for project deliverables:</b> The project initiated a new DED (Deliverable Expectation Document) process for Iteration 2 deliverables. IV&V provided comments to DOH on the DED and recommended clarifications related to acceptance criteria. IV&V will continue to monitor the new deliverable management process throughout Iteration 2. Further, IV&V continues to monitor the status of the three outstanding deliverables from Iteration 0: Data Management, System Security, and Architecture Blueprint. These deliverables establish a framework and provide principles and standards that other project deliverables inherit in order to align with the project's objectives and processes. | L                  |
| 19 | <b>Access to enhanced federal funding may impact the project budget and/or scope:</b> Although some constraints that were impeding the project's ability to access enhanced federal funding have been removed (e.g., DHS' completion of P-APD), concerns still exist around the project's ability to draw down enhanced federal funding. DOH will submit the IAPD to DHS for formal submittal to CMS as soon as possible.   | M                  |

| Recommendations  | Progress   |
|--|------------|
| <ul style="list-style-type: none"><li>Clarify the deliverable review and approval processes in accordance with RFP requirements and agree on deliverables best suited to be "live" documents (updated throughout the project).</li></ul> | In-process |
| <ul style="list-style-type: none"><li>BHA to work closely with DHS to pursue available funding options.</li></ul>  | In-process |
| <ul style="list-style-type: none"><li>SI to clarify acceptance criteria for each Iteration 2 deliverable in the Iteration DED.</li></ul>   | In-process |



# IV&V Findings and Recommendations

## Vendor Project Management (cont'd)

| ----- Monitoring for Closure ----- |  |   |
|------------------------------------|--|---|
| 2                                  | <b>Long sprint / iteration cycles:</b> The SI is working to establish a training environment for DOH to conduct demonstrations on the previous iteration's functionality in order to support OCM efforts. IV&V will monitor impact of implementing this environment.   | L |
| 3                                  | <b>Attention to process improvement seems insufficient:</b> DOH recorded over 35 gaps/questions/concerns from the Iteration 2 demo that should be addressed. These items are currently logged as 'requests' in the Production Backlog to be planned into future iterations. This process should be re-evaluated since some requests may not be appropriately deferred to a future iteration. | L |
| 5                                  | <b>Late-game analysis of requirements awaiting details from external sources:</b> Meetings and discussions continue (e.g. with Med Quest) in order to address pending decisions.   | L |
| 6                                  | <b>SI identification/tracking of pain points:</b> While CAMHD and DDD have identified pain points, the SI's process to address these pain points has been unclear. A weekly Thursday meeting with an open agenda to answer questions and respond to issues as they are identified has been initiated.  | L |
| 17                                 | <b>SI Resource Constraint:</b> Key SI resources have returned to the project. <b>IV&amp;V is closing this risk.</b>  |   |
| 18                                 | <b>Competing priorities of BHA SMEs could negatively impact the project timeline:</b> At times, project team members have been constrained by other duties and have shown some resistance to participate in project activities. BHA continues working with SI to mitigate resource challenges.   | L |
| 28                                 | <b>Contractual DED Process not being utilized by SI:</b> The rating for this risk has been <b>reduced to Low</b> since the draft DED for Iteration 2 deliverables has been delivered for DOH review. IV&V has assessed for completeness and fitness, and provided feedback to DOH recommending clarification regarding acceptance criteria for each Iteration 2 deliverable.                 | L |

# IV&V Findings and Recommendations

## Requirements Management

| #  | Key Findings  | Criticality Rating |
|----|---|--------------------|
| 14 | <b>Tracking of requirement elaborations:</b> Requirements elaboration (i.e. the formalization of scope changes based on agreements between the SI and BHA) is not currently tracked in TFS, which can generate rework and impact the project schedule. IV&V has observed the review and approval of user stories but not requirements which may not be a comprehensive approach. In June, IV&V completed a targeted assessment and confirmed that the project is able to trace requirements to user stories to test cases in TFS for Iterations 1 and 2. In light of this validation, IV&V is <u>reducing the rating of this risk to Low</u> . However, IV&V's assessment did not include confirmation of regarding the 'completeness' of requirements elaboration into downstream user stories, as the assessment scope was limited to only Iterations 1 and 2.. | L                  |
| 20 | <b>TFS governance process:</b> TFS (Microsoft's Team Foundation Server) is the Project's central repository database of all requirements, user stories, development tasks, test cases, bugs, and source code. While some progress has been made towards clarifying TFS governance (how the tool, and certain aspects of the tool will be used), concerns remain that confusion may still exist, which can lead to inadequate requirements management.   | L                  |

| Recommendations   | Progress   |
|---|------------|
| • Request SI define and employ a process for requirements elaboration tracking and approval, including user stories | Completed  |
| • Request IV&V perform a targeted requirements traceability assessment  | Completed  |
| • Request SI to document a TFS governance process which is approved by BHA  | In-process |

# IV&V Findings and Recommendations


## Design and Development

| #  | Key Findings  | Criticality Rating |
|----|---|--------------------|
| 12 | <b>Use of accelerator:</b> While IV&V recognizes efficiencies can be gained with an accelerator, failure to optimize the system to meet BHA specific needs is a potential risk that should be regularly monitored. The SI is working on documentation which outlines how the system is configured, including .net code or scripts, to assist the DOH understanding of the level of customization and/or level of effort of making changes using the accelerator.                                      | L                  |
| 21 | <b>Architecture Blueprint deficiencies:</b> The updated Architecture Blueprint is still pending delivery by the SI. Since Iteration 1 is now complete and Iterations 2 and 3 are in process, IV&V has transitioned this finding from a risk to an issue. Further, planning for Phase 2, which includes interfaces, new resources, and potentially a revised approach, is underway and, until the blueprint is finalized, it is unclear if Phase 2 planning activities are aligned with the blueprint. | M                  |
| 24 | <b>Delays in approving user stories could impact the project schedule:</b> The project has approved all but a handful of user stories for future iterations. <b>IV&amp;V is closing this risk.</b>  |                    |
| 27 | <b>DOH requires procurement of Scribe Insight Licenses for Data Conversion activities:</b> Scribe Insight licenses are required to create Scribe packages to migrate and program data transformations for legacy data dictionaries. It is unclear when these licenses are required to support the data conversion effort in accordance with the project work plan but the project is actively discussing the procurement options for these licenses.  | L                  |

| Recommendations  | Progress   |
|--|------------|
| • BHA to ensure SI design decisions are based on what's best suited for BHA and not on existing (base) accelerator functionality.  | In-process |
| • SI to document sufficient design details in the architectural blueprint, and that the content should focus on what the SI will do as opposed to what the products/platform can do. | In-process |
| • DOH to procure Scribe Insight licenses in time to support project work plan tasks and activities   | In-process |

# IV&V Findings and Recommendations

## Testing

| #   | Key Findings   | Criticality Rating  |
|---|--|---|
| 29  | <b>Timing of Delivery of Test Case Details:</b> The contract requires delivery of Test Cases and Scripts with Test Plans, and the State needs to be afforded the opportunity for review. Per the Draft Iteration 2 DED, a listing of test cases will be delivered with the Iteration 2 Test Plan. Per the DED, this will take place the week prior to a the iteration 2 demo. The project is investigating an improved mechanism for validating test cases and ensuring timeliness. IV&V will continue to monitor the timing of the delivery and confirmation of test cases and scripts in the Iteration 2 and 3 Test Plans. |  |
| Recommendations   |  | Progress  |
| <ul style="list-style-type: none"><li>SI to include test cases, scripts, and expected and actual results associated with each Iteration Test Plan for DOH review and approval</li></ul> |  | In-process  |

# IV&V Findings and Recommendations

## Organizational Change Management

| # | Key Findings   | Criticality Rating |
|---|--|--------------------|
| 7 | <b>Minimal attention to User Adoption (buy-in):</b> The SI has committed to a training (sandbox) environment to provide the opportunity for user feedback beginning with Iteration 2. The execution details regarding the training environment (e.g., entrance criteria, feedback loops, etc.) have not yet been defined. The BHA completed a "User Engagement and opportunities for Organizational Change Management" SME survey to gather user adoption metrics to help focus their OCM efforts. IV&V is not aware of any follow-up or mitigation activities identified from the survey results though survey feedback highlighted areas for improvement. Finally, a documented OCM Plan would serve to alleviate the ambiguity regarding roles, task ownership, and activity timelines. IV&V plans to review the draft OCM plan which is scheduled to be delivered in June. | M                  |
| 6 | <b>Use of pain points to improve OCM:</b> (See Vendor Project Management Finding #6) In support of DOH's OCM strategy, the SI has been working closely with DOH to develop a process for how the project will leverage the BHA pain points list throughout the project. The BHA has requested more information from the SI on the practical application of its OCM strategy as the project moves ahead. The Weekly Thursday meeting between the SI and the State enables the project to touch base on project-related impediments or issues which includes OCM-related topics as well but IV&V has not yet observed any discussion related to pain points in this meeting.   | L                  |

| Recommendations   | Progress   |
|---|------------|
| • Request the SI support DOH in the development of a comprehensive OCM strategy.      | In process |
| • Agree on an approach for how the SI will utilize the pain point list created by BHA | In process |
| • Recommend SI commence work on a comprehensive OCM Plan immediately                  | In process |

# Appendix A

*This appendix provides the details of each finding and recommendation identified by IV&V. Project stakeholders are encouraged to review the findings and recommendations log details as needed.*

- See Findings and Recommendations Log (provided under separate cover)
- Project Health Rating Definitions

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- The project is under control and the current scope can be delivered within the current schedule.
- The project's risks and issues have been identified, and mitigation activities are effective. The overall impact of risk and issues is minimal.
- The project is proceeding according to plan (< 30 days late).

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- The project is under control but also actively addressing resource, schedule or scope challenges that have arisen. There is a clear plan to get back on track.
- The project's risk and/or issues have been identified, and further mitigation is required to facilitate forward progress. The known impact of potential risks and known issues are likely to jeopardize the project.
- Schedule issues are emerging ( > 30 days but < 60 days late).
- Project Leadership attention is required to ensure the project is under control.




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- The project is not under control as there are serious problems with resources, schedule, or scope. A plan to get back on track is needed.
- The project's risks and issues pose significant challenges and require immediate mitigation and/or escalation. The project's ability to complete critical tasks and/or meet the project's objectives is compromised and is preventing the project from progressing forward.
- Significant schedule issues exist (> 60 days late). Milestone and task completion dates will need to be re-planned.
- Executive management and/or project sponsorship attention is required to bring the project under control.

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# Appendix A (cont'd.)

## Criticality Ratings

| Criticality Rating  | Definition  |
|---|---|
|  | A high rating is assigned if there is a possibility of substantial impact to product quality, scope, cost, or schedule. A major disruption is likely and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately.  |
|  | A medium rating is assigned if there is a possibility of moderate impact to product quality, scope, cost, or schedule. Some disruption is likely and a different approach may be required. Mitigation strategies should be implemented as soon as feasible.   |
|  | A low rating is assigned if there is a possibility of slight impact to product quality, scope, cost, or schedule. Minimal disruption is likely and some oversight is most likely needed to ensure that the risk remains low. Mitigation strategies should be considered for implementation when possible. |

# Appendix B: Inputs

*This appendix identifies the artifacts and activities that serve as the basis for the IV&V observations.*

## Meetings attended during the reporting period:

1. Weekly SI project status meetings (5/26/18 – 6/22/18)
2. BHA IV&V Monthly Report review meeting
3. BHA/RSM IV&V Monthly Report review meeting
4. IV&V Status meeting (6/8/18)
5. Iteration 2 Demonstrations (6/12/18)
6. BHA ITS Weekly Status Meeting (selected)
7. BHA ITS Iteration 3 Planning (series of 3 meetings)
8. Weekly Data Migration Meeting (selected)
9. Daily Scrum meetings (selected)
10. RSM Phase 2 Planning Meetings (selected)

## Artifacts reviewed during the reporting period:

1. SI Iteration Plan
2. SI Iteration Test Plan
3. SI Iteration Schedule
4. SI Weekly Status Reports
5. Daily Scrum Notes (selected)
6. SI Project Schedule

## Eclipse IV&V® Base Standards and Checklists



Eclipse IV&V  
Standards





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BHA Findings 2018 June Report

| Id | Identified Date | Summary   | Observation   | Significance  | Recommendation  | Updates   | Process Area              | Type | Priority | Status | Closure Reason | Iteration |
|----|-----------------|---|---|---|---|---|---------------------------|------|----------|--------|----------------|-----------|
|    |                 |   |   |   |   |   |                           |      |          |        |                |           |
| 2  | 09/01/17        | Long sprint / iteration cycles                      | The SI has chosen to employ long iteration cycles.  | Typical agile development projects employ two-week iteration cycles. The benefits of Agile development revolve around timely feedback from users based on short iteration cycles. Longer iterations can introduce a risk that the SI will waste valuable time developing a design without timely user feedback to course correct, which could negatively impact the project schedule and budget.  | Recommend BHA request the SI continue to provide further SDLC and iteration activity details and request the SI engage with key SME's throughout the iteration to ensure the system design and functionality meets their needs and expectations. IVV will continue to monitor to validate that the BHA's expectations are met.  | 6/19/18: IV&V awaits the configuration and implementation of the training environment in order to assess its impact on mitigating risk.<br><br>5/21/18: SI committing to a training (sandbox) environment for Division level staff beginning in Iteration 2.<br><br>4/18/18: Unclear if SI is providing sufficient mid-sprint demos to validate user story implementations. IV&V is only aware of one such demo reported by BHA during Iteration 1.<br><br>4/1/18: SI has committed to providing mid-sprint demos for select SMEs to validate complex or unclear user story implementations.<br><br>3/20/18: SI has provided good details of their Agile methodology as part of the scrum kickoff meeting and distributed the PowerPoint deck that was presented to attendees for future reference.<br><br>3/2/18: The SI has provided additional methodology details which has given IV&V a better understanding of the SI's methodology and the rational for 6-week iterations as well as their intent to perform mid-sprint demonstrations of functionality. IV&V will continue to monitor.<br><br>2/21/18: The SI's updated project plan shows 6-week iterations (reduced from 8-14 week iterations).   | Vendor Project Management | Risk | Low      | Open   |                | 0         |
| 3  | 09/01/17        | Attention to process improvement seems insufficient | SI analysis techniques that seem to avoid delving into opportunities for process improvement. | This could lead to a 'to-be' design that automates existing processes rather than improve them.<br><br>Requirement 272 in the DOH's RFP states, "The SI will be vigilant to look for and identify opportunities for process improvement and notify DOH". See related risk titled "Visual Tools".<br><br>The SI could decide BHA must pay for (via contract mods or swaps) enhancements that should have been part of the original design and identified during discovery and design phases. Swaps involve the removal of original requirements in place of newly discovered requirements/functionality (enhancements). Swapping out original requirements/features can degrade the quality of the system and lead to unmet user expectations. Swapping can incur significant future costs as it's likely BHA will need to implement (and acquire separate funding for) features that get swapped out of the original fixed price project scope. | IV&V recommends that BHA set expectations and request greater detail around the SI's 'to-be' analysis methods. Other suggestions include:<br><br>1) Consider a short CRM overview session for SMEs to familiarize them with CRM capabilities to better understand and articulate process improvements that can be supported by the Dynamics CRM platform.<br><br>2) Consider demos from other similar BHA Dynamics CRM implementations to better understand and articulate process improvements that the solution can support.<br><br>3) Meet with the SI to request elicitation and maintenance of prioritized business problems, pain points, and improvement opportunities that are reviewed with SMEs regularly to ensure the solution is solving the right business problems and taking advantage of opportunities to improve processes through the new CRM capabilities.<br><br>IVV will continue to monitor for instances where process improvements should be implemented and validate that the BHA's expectations are met. | 6/22/18: This process should be re-evaluated since some requests may not be appropriately deferred to a future iteration; each request should be reviewed and planned to an appropriat iteration and/or the stabilization period to reduce the uncertainty surrounding the pending outcome of these requests.<br><br>06/19/18: IV&V is unaware if DHS has obtained access to the sandbox environment yet. IV&V observed gaps/questions/concerns from the demo that need to be resolved. RSM approach is to put these items as 'requests' back into the Production Backlog for planning into future iterations (beyond 3) - but some of these items may not be appropriately labeled as 'Request'. This process may need to re-evaluated as not all items are requests for 'new' functionality.<br><br>5/25/18: The BHA Deliverables Summary Memo has been finalized and includes agreed upon terms for a training (sandbox) environment, a demo of the TFS system, and the development of queries for the RTM.<br><br>5/21/18: IV&V has not observed progress towards the mitigation of this risk during the reporting period.<br><br>4/11/18: During a sprint demo of the Calculator, BHA was surprised to find out that drag & drop functionality was overlooked by the SI analysts. SI has stated that this feature was out identified by BHA as a requirement, even though the tool that the Calculator is mimicing includes this feature. When asked if the SI analyst asked SMEs if the Calculator would require the same drag and drop functionality, the SI provided no response. Seems the SI analysts assumed the more difficult method of opening each event and changing the time/date.<br><br>3/14/18: SI demo'd progress on a separate development effort called the "Calculator". SI garnered and encouraged feedback from SME's.<br><br>3/1/18: BHA has indicated that individual efforts by SI analysts during user story approval seems to have made up for some of the lack of analysis depth during the discovery phase.<br><br>2/27/18: BHA has contracted BHA in a separate effort to develop a calendar (calculator). BHA has indicated that initial SI analysis seems to continue to lack appropriate depth.<br><br>2/16/18: BHA detailed related concerns in an email to RSM. RSM replied with assurances that there will "always be follow on sessions" and that they "will seek for more collaboration in the future". | Vendor Project Management | Risk | Low      | Open   |                | 0         |

| Id | Identified Date | Summary  | Observation   | Significance  | Recommendation  | Updates   | Process Area              | Type | Priority | Status | Closure Reason | Iteration |
|----|-----------------|--|---|---|---|---|---------------------------|------|----------|--------|----------------|-----------|
| 5  | 09/01/17        | <b>Late-game analysis of requirements awaiting details from external sources</b> | Appears the SI does not perform late game analysis of requirements, preferring to define all user stories upfront until other dependencies are known. For example, instead of putting the DHS interface requirement specification on hold until it's clear whether DHS will provide a web service, the SI is now defining specifications for a manual import (non-web service). | One of the primary benefits of an Agile approach is that requirements that are not ready to be fully defined (e.g. requirements that are awaiting outside agency information/details) can be addressed later without a loss of productivity. An unwillingness to define requirements at a later date may increase the risk that the SI develops features that are not needed or no longer meet the needs of the users. This could also incur additional project costs if the SI fails to accurately estimate late-game user stories and considers any late-game requirements as enhancements that will incur additional cost or swaps (see observation #26).  | Recommend BHA and the SI come to agreement on a limited list of requirements that will be defined at a later date. Recommend the SI avoid spending time, where it makes sense, on requirements with external dependencies. Once an agreement is reached, IVV will continue to monitor to validate that the BHA's expectations are met.  | <p>6/19/18: Meetings and discussions continue and the IAPD update is in progress. Decisions regarding DHS interfaces are pending.</p> <p>6/8/18: Meetings and discussions are ongoing; and dependencies are down from 8 to 2-3. DOH expects to hear back from Agency within the next 1-2 months regarding the timing of their availability to work on interfaces. DHS resources are allocated through September so may need to move functionality into Phase 2.</p> <p>5/21/18 - IV&amp;V has not observed progress towards the mitigation of this risk during the reporting period. The project awaits feedback from DHS regarding when resources will be available; if State resources cannot be made available timely, some interfaces requirements may need to be moved to Phase 2.</p> <p>3/25/18: The SI is seeking User Story signoff in order to lock in project scope. When asked about requirements whose details may become more clear at a later point in the project they have stated that there will be the opportunity to swap out functionality for requirements whose details may be more readily available later in the project. However, it may not be clear that swapped out functionality has an associated future cost as it's likely BHA will need to implement (and acquire separate funding for) features that get swapped out sometime in the future.</p> | Vendor Project Management | Risk | Low      | Open   |                | 0         |
| 6  | 09/01/17        | <b>SI identification/ tracking of pain points</b>                                | SI currently does not track or effectively utilize business process pain points.  | <p>Agile methods typically focus on solving real problems and employ methods to allow the users to provide timely (typically with shorter sprints) feedback to ensure that the business problems are being solved. Tracking pain points can be an effective OCM strategy for user adoption and buy-in by providing visibility to the users of problems the system is solving as well as showing them traceability of pain points to system features during sprint demos.</p> <p>Failure to track pain points and business problems can lead to a final product that fails to provide maximum value to the users. Failure to succinctly document, track, and reference business process pain points in sprint demos could lead to reduced user adoption and executive buy-in, support, and satisfaction. In the end, this could lead to a reduction of ongoing project funding, a weakened SI reputation, and public scrutiny.</p> | <p>Suggest BHA/SI agree on an approach to leverage the BHA's pain points throughout the project. IV&amp;V also recommends that the project's OCM strategy address/incorporate these pain points to show users that the system is solving real business problems which should lead to increased adoption rates. While the SI's draft PMP includes an OCM Plan that provides some information (mostly around training) IV&amp;V recommends the SI commence work on a comprehensive OCM Plan immediately.</p> <p>Once an agreement is reached, IVV will continue to monitor to validate that the BHA's expectations are met.</p> | <p>6/19/18: Weekly Thursday meetings continue, with an open agenda to answer questions and respond to issues as they are identified.</p> <p>5/25/18: A weekly Thursday to troubleshoot and discuss issus has been scheduled.</p> <p>5/21/18 - IV&amp;V has not observed progress towards the mitigation of this risk during the reporting period.</p> <p>4/11/18: CAMHD is tracking pain points, which have been sent to RSM, DD will do the same. BHA plans to meet with SI to discuss use of pain points.</p> <p>3/2/18: SI has stated that tracking pain points is out of scope and that pain points have been addressed within the user stories. IV&amp;V will continue to recommend, at minimum, the project maintain a short list of (mostly high-level) business pain points.</p> <p>1/25/18: BHA has assumed responsibility for tracking pain points. The process for how the SI will utilize this list needs to be identified and monitored.</p>   | Vendor Project Management | Risk | Low      | Open   |                | 0         |

| Id | Identified Date | Summary                                     | Observation   | Significance  | Recommendation   | Updates  | Process Area                     | Type | Priority | Status | Closure Reason | Iteration |
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|    |                 |   |   |   |  |  |                                  |      |          |        |                |           |
| 7  | 09/01/17        | Minimal attention to User Adoption (buy-in) | SI seems to lack a comprehensive strategy to support user adoption.   | Failure to implement an effective user adoption strategy could lead to resistance during system rollout, refusal to participate in the development/rollout process, resistance to use the system, and negative public perceptions (including the media). In the end, this could lead to a reduction of ongoing project funding, a weakened SI reputation, as well as long-term public scrutiny and criticism.   | Recognizing that the SI has committed to a training (sandbox) environment for SME validations of functionality and to provide the opportunity for user involvement, IV&V would suggest that other measures should be taken as well. For example, although the State has initiated the practice of tracking pain points, the process for how the SI will utilize this list has not been clearly identified and monitored. Tracking pain points can be an effective OCM strategy for user adoption and buy-in as it provides visibility to the users of problems the system is actually solving and provides traceability of pain points to system features during sprint demos. IV&V also recommends BHA request the SI adopt a general user adoption strategy going forward. IVV will continue to monitor to validate that the BHA's expectations are met. | 06/19/18: IV&V is unaware if DHS has obtained access to the sandbox environment yet. But a documented OCM Plan would serve to alleviate the ambiguity regarding roles, task ownership, and activity timelines.<br><br>6/8/18: BHA working with SI to determine how soon the training (sandbox) environment can be set up for Iteration 2 and what steps can be taken to expedite since it is needed soon. In the CAMDH Training Plan, there are 2-3 demonstrations planned for each Iteration since this is an important step for OCM.<br><br>5/21/18 - SI committing to training (sandbox) environment for Division level staff beginning with Iteration 2. In addition, the project conducted a survey focused on gathering to support the OCM effort. The CIO requested that an updated survey, building on the responses and lessons learned from the last survey, be developed and used going forward in future iterations. The DOH has captured the survey data but the actions for both RSM and the State have not yet been documented or communicated.<br><br>4/18/18: Unclear if SI is providing sufficient mid-sprint demos to validate user story implementations. IV&V is only aware of one such demo reported by BHA during Iteration 1; seems this demo was initiated by BHA.<br><br>4/13/18: BHA is in the process of gathering feedback from their users/SMEs through a "User Engagement and opportunities for Organizational Change Management" survey to address this risk.<br><br>4/1/18: SI has committed to mid-sprint SME validations of functionality which should provide the opportunity for better user involvement.<br><br>3/7/18: BHA indicated that RSM subcontractor met with them recently to address OCM.<br><br>3/2/18: The SI view seems to be that this risk should be addressed as part of OCM which is outside the scope of their contract. IV&V has explained that opportunities to increase user adoption can occur throughout the SDLC and the SI should take advantage of those opportunities whenever possible as part of good SDLC practices.<br><br>2/21/18: SI has released a new plan and presented to BHA a high-level strategy that seems to address some elements of user adoption. The IV&V team will continue to monitor this risk in future reporting periods. | Organizational Change Management | Risk | Medium   | Open   |                | 0         |
| 12 | 09/01/17        | Use of accelerator                          | The SI intends to utilize an accelerator as a starting point for system development. Seems the accelerator involves essentially retrofitting code and a configuration package, from system(s) previously developed, into the BHA ITS as a foundational component. Additionally, at times it seems like the SI is remiss to suggest design concepts that don't align with the existing functionality of their accelerator. | While IV&V recognizes efficiencies can be gained and the value of re-use, failure to optimize the system to meet BHA specific needs can lead to a solution that is less than optimal/productive and require BHA users to employ work arounds and lengthy processes to complete their work.<br><br>The risks around employing the RSM accelerator are still unclear, however, use of accelerators, in general, have been known to be difficult to modify and maintain due to:<br>- Bugs could occur that are not easy to track down because its buried in the complex functionality of the accelerator<br>- Interactions with accelerator could cause bugs<br>- Added complexity<br>-Removal of any component that's not needed can cause unforeseen interactions or complications (may break other things in the accelerator) | Recommend BHA request the SI identify strategies and activities to mitigate typical issues/problems/risks associated with the use of accelerators. Recommend BHA monitor for and request SI base design decision on what's best suited for BHA and not on what functionality already exists in the accelerator. IV&V will continue to monitor for the same throughout the development phase.   | 6/19/28: Documentation for the acceperator still not provided by RSM.<br><br>5/25/18 - RSM committed to providing documentation to the State which outlines how the system is configured, including.net code or scripts, to assist the SOH understand the level of customization and/or level of effort of making changes using the accelerator. No time commitment was offered during the discussion but IV&V will review this information when it becomes available.<br><br>5/21/18 - Accelerator documentation request still unfulfilled. The documentation outlining the methodology for how this tool will be used is insufficient and does not address how the SI plans to mitigate the use of the tool in absence of documented best practices for tool usage. The project has no visibility into the Accelerator.<br><br>4/19/18: SI responding to Accelerator documentation request with details of Accelerator capabilities but provided little to no details that would help assure mitigation of this risk.<br><br>4/5/18: SI responded with more details regarding risk mitigation steps they are taking and mentioned accelerator documentation. IV&V has requested documentation be provided to the project.<br><br>4/3/18: IV&V received response from the SI on 4/3/18, stating that "Our Accelerator was made available for Hawaii use on March 19, 2018, which belies this finding." IV&V is not clear how this response addresses the potential risks raised in the January IV&V report. IV&V has requested a further details.<br><br>4/2/18: SI has agreed to provide mitigation strategies they've employed for this risk.<br><br>2/5/18: SI has stated that they have not seen the same accelerator risks that IV&V has described in this risk. BHA leadership has stated that they have seen these risks in other state accelerator-based projects.  | Design & Development             | Risk | Low      | Open   |                | 0         |

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| 14 | 09/03/17        | Tracking of requirement elaborations                         | <p>It is unclear if SI is tracking requirement elaborations.</p> <p>In addition, analysis efforts to capture features SMEs want most seem to be inadequate. For example, during a sprint demo of the Calculator, BHA was surprised to find out that drag &amp; drop functionality was overlooked by the SI analysts. SI has stated that this feature was not identified by BHA as a requirement, even though the tool that the Calculator is mimicking includes this feature. When asked if the SI analyst asked SMEs if the Calculator would require the same drag and drop functionality, the SI provided no response. Seems the SI analysts assumed the more difficult method of opening each event and changing the time/date.</p> | <p>Requirements elaboration (i.e. the formalization of scope changes based on agreements between the SI and BHA) is not currently tracked in TFS, which can generate significant rework and cause confusion amongst the project team.</p> <p>Further, failure to capture sufficient details of user stories can lead to user stories that fail to adequately address user needs and preferences. This could lead to future increased project costs. For example, the SI could decide BHA must pay for (via contract mods or swaps) enhancements that should have been part of the original design and identified during initial user story definition. Swaps involve the removal of original (lower priority) requirements in place of newly discovered requirements/functionality (enhancements). Swapping out original requirements/features can degrade the quality of the system and lead to unmet user expectations when feature communicated to users at the beginning of the project are found to be missing in the end product. Swapping can incur significant future costs as it's likely BHA will eventually need to implement (and acquire separate funding for) features that get swapped out of the original fixed price project scope.</p> | <p>Recommend BHA request SI define and employ a process for formalizing scope changes as well as requirement elaboration tracking and approval. Once an agreement is reached, IVV will continue to monitor to validate that the BHA's expectations are met.</p> <p>Recommend that requirements are fully elaborated as component of user story development, with results of requirements being re-stated and agreed-to by DOH. In instances where user stories are already completed, JAD sessions are recommended to ensure the requirements are fully elaborated, documented, and agreed to.</p> <p>Recommend that requirements are fully elaborated and where needed, re-stated and agreed to as part of user Story development. This will aid in Requirements traceability efforts.</p>   | <p>6/19/18: Reduced to LOW rating as IV&amp;V was able to confirm traceability in TFS. IV&amp;V performed a requirements traceability effort from requirement-to-user stories-to test cases, limited in scope to iterations 1 and 2. Results indicate that traceability currently exists within TFS. Some requirements and/or User Stories indicate a need for elaboration/update to ensure they remain in correlation with one another. Queries used for extracts are hampered by TFS setup issues.</p> <p>5/21/18 - IV&amp;V has observed the review and approval of user stories but not requirements which may not be a comprehensive approach. In instances where use stories are already completed, JAD sessions are recommended to ensure the requirements are fully elaborated, documented, and agreed to. The State has been working diligently with the SI to understand the traceability of requirements in TFS and the SI has provided artifacts, clarifications to questions, and developed a query to extract the TFS data needed by the State to verify traceability. Since Iteration 2 approaches completion and the State is still verifying the query and traceability in TFS, IV&amp;V is raising severity of this risk to Medium. IV&amp;V awaits the State's review and approval of the query as well as the TFS demonstration anticipated May 31.</p> <p>4/11/18: Disagreements have arisen regarding expected features in the Calculator product. BHA expected features such as drag &amp; drop as well as the tools connection to service authorizations and was surprised when the SI stated the features were not captured in the user stories. Without clear elaboration of requirements and clear sign off on the elaborations, conflicts such as these may continue throughout the project. Failure to properly elaborate system requirements can result in loss of important functionality, unmet user expectations, and/or force BHA to swap (remove other requirements) to make up for misunderstood requirements.</p> <p>1/25/18: SI has stated that they are tracking requirements elaborations, but it seems they are doing it outside of TFS. The IV&amp;V team needs more information on how this is occurring.</p>   | Requirements Management   | Risk | Low      | Open   |                | 0         |
| 16 | 01/23/18        | Unclear review and approval process for project deliverables | <p>SI has delivered the Project Management Plan (including project work plan), Deliverable Expectation Document, and Test Strategy. The SI PM/Lead Analyst has stated there is an assumption of tacit signoff on some or all of these deliverables due to the fact that they have been delivered and that BHA has offered little to no response. To date, the SI has not conducted review sessions of these deliverables with BHA stakeholders.</p>  | <p>The RFP states, "All deliverables require state signoff as acknowledgement that the deliverable was satisfactorily performed/developed."</p> <p>Without an explicit signoff process for deliverables, the SI may assume their customer has agreed to plans, methodologies, activities and processes, when they have serious concerns. For example, the Project Management Plan should provide details of methods, processes and activities that will be employed throughout the project. Lack of clear understanding and agreement of project methods and activities can reduce project productivity, quality, and effective management. Misunderstandings about project approach and process may increase the risk of negative impact to the budget and schedule, not to mention BHA stakeholder frustration. If deliverables are assumed to be approved and the SI is unwilling to update deliverables to BHA satisfaction, the project will be left with inadequate documentation meant to guide project activities and impact the effectiveness of system turnover to the BHA technical team.</p>   | <p>Recommend BHA request the SI clarify and follow an agreed upon deliverable acceptance and sign-off process, which should include review sessions to ensure clear understanding and open dialog around each deliverable. Recommend deliverables only be signed off when all issues have been resolved with BHA leadership as well as a signoff process that leaves no room for ambiguity.</p> <p>Recommend BHA and SI come to agreement on deliverables best suited to be "live" documents (documents that will continue to be updated throughout the project as content becomes available/solidified). Recommend BHA request SI deliverable review sessions on key deliverables (e.g. Architecture Blueprint, Configuration Management Plan, Data Management Plan) prior to signoff.</p> <p>Once an agreement is reached, IV&amp;V will continue to monitor to validate that the BHA's expectations are met.</p> | <p>6/22/18: DAD (Deliverable Acceptance Document) have been provided for most of the Iteration 1 deliverables and the project initiated a new DED (Deliverable Expectation Document) process for Iteration 2 deliverables. IV&amp;V will continue to monitor the new DED process throughout Iteration 2.</p> <p>5/25/18: The BHA Deliverables Summary Memo has been finalized and includes agreed upon terms for reviewing and approving deliverables moving forward.</p> <p>05/21/18 - An approval process which clarifies and ensures all deliverables are meeting project needs has been agreed to though the project has yet to produce the documentation that was included in the agreement which will provide the details of the agreed upon process.</p> <p>4/16/18: IV&amp;V provided the Project with a revised DCF review process document to help clarify the process. BHA is currently reviewing the process.</p> <p>4/11/18: Recommend requesting SI update PMP, agreeing it is a living document.</p> <p>4/11/18: BHA has stated there does appear to be some confusion around terminology (e.g., document names). IV&amp;V believes there remains room for clarification around the DCF process as part of the overall deliverable review and acceptance process. Unbeknownst to IV&amp;V, some of the deliverables that we have been waiting for (such as the Configuration Management Plan) were approved quite some time ago, which has added to the confusion. In response, IV&amp;V has created a deliverable tracking log. IV&amp;V recommends BHA review any critical deliverables that RSM and/or DOH consider to be approved, and rather than re-opening them, identify if there are any critical findings associated with the deliverables that may impact the project, and add them to our risk log as appropriate.</p> <p>4/9/18: Although the SI provided comments on IV&amp;V's proposed DCF Review process on 3/14/18, we could not find any evidence of BHA's final approval of this document/process. Re-categorization of this risk as 'monitor for closure' in the March 2018 IV&amp;V report is pending BHA's acceptance of RSM's proposed revisions to the DCF Review process.</p> <p>4/3/18: SI has implemented a deliverable tracking list in SharePoint.</p> <p>4/3/18: There still seems to be some confusion around which deliverables (e.g. PMP) have been approved by</p> | Vendor Project Management | Risk | Low      | Open   |                | 0         |

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| 18 | 09/01/17        | Competing priorities of BHA SMEs could negatively impact the project timeline | Some state staff have at times been constrained by other duties and have shown some resistance to participate in project activities. SME attendance and participation in project meeting has been waning at times, requiring meetings to be rescheduled.   | SMEs competing priorities can negatively impact the overall quality of work the project relies on; delays SMEs response to project needs could negatively impact the project schedule.  | Analyze/monitor BHA SME capacity to avoid potential project delays and communicate expectations clearly to staff. Recommend BHA leadership actively encourage and support staff participation and assist them with prioritizing their duties to accommodate full participation in the project. Recommend BHA consider staff augmentation to meet project specific needs. IV&V will continue to monitor concerns over constrained stakeholder capacity throughout the project. | 6/19/18 - IV&V has not observed progress towards the mitigation of this risk during the reporting period and continues to monitor planning for future iterations and for Phase 2 interfaces.<br><br>5/21/18 - IV&V has not observed progress towards the mitigation of this risk during the reporting period.<br><br>4/11/18: BHA is working with SI to mitigate resource challenges, currently key members of the project team are over tasked. CAMHD resources to assist DDD in support of project tasks (e.g. data migration).<br><br>4/2/18: BHA stated that final user story approval delays are mostly due to SME indecisiveness, a smaller part due to limited SME capacity. BHA mitigation strategy is to propose a finalized user story and give SME's a deadline, if not met user story will be left as is.<br><br>3/25/18: BHA SME's will be a key resource for data migration. IV&V has concern these activities could be delayed if the level of effort is greater than expected.<br><br>3/20/18: Final user story approval has been delayed and caused schedule slippage, seeming due to delays in BHA business resource responsiveness. SI has logged this as a project risk but it seems unclear whether this has hindered developer productivity.<br><br>10/2/17: BHA leadership has addressed this issue and attendance to project meetings has improved. However, participation still seems to be lacking. Many times, attendees prefer to call instead of attending in person. In person attendees are typically much more engaged than those who call in. Many attendees who call-in offer little | Vendor Project Management | Risk  | Low      | Open   |                | 0         |
| 19 | 09/01/17        | Federal funding risk  | Ability to access enhanced federal funding as initially planned is at risk due to State Medicaid Agency delays in completing its MITA State Self-Assessment (SS-A) prior to the submittal of DOH's IAPD.   | Delays in securing enhanced funding has delayed system development. Inability to claim federal funds could negatively impact the project budget, scope and schedule.  | Recommend BHA continue to work closely with DHS to pursue available funding options. IV&V will continue to monitor progress.  | 6/8/18: Constraints that were previously holding up DHS have been removed and DHS will not be submitting a PAPD. The IAPD will be submitted within the next few reporting cycles.<br><br>5/21/18 - DOH is planning on completing the IAPD for submittal to CMS next month.<br><br>2/22/18: Approach to draw-down of federal funding was discussed in the project steering committee meeting. DHS plans to submit a PAPD, with which DOH's IAPD would be aligned. According to DHS, work on the PAPD is pending receipt of DOH's IAPD. In the meantime, DOH is also pursuing 50/50 admin claiming to support the project. This will require an update to DHS' Cost Allocation Plan (to allow DOH's project costs to be submitted on the DHS's form).  | Vendor Project Management | Issue | Medium   | Open   |                | 0         |
| 20 | 2/23/18         | TFS governance appears to be insufficient                                     | TFS (Microsoft's Team Foundation Server) is the projects central repository database of all requirements, user stories, development tasks, test cases, bugs, and source code. Each project team member (from developers to analysts to project managers to BHA project leadership) relies on TFS as their primary source of project information and activity tracking.<br><br>Seems the SI's TFS governance (how the tool will be used) has not been clearly thought through or clearly established. | TFS is a highly customizable, flexible, and complex tool that is utilized in different ways by different project team members. TFS veterans often tout the importance of establishing clear standards, templates and processes (i.e. governance) for entering and managing data in TFS before data entry begins.<br><br>While some progress has been made towards clarifying TFS governance through diagramming the user story process flow, concerns remain that TFS governance has not been thoroughly established, which can lead to ineffective/inefficient use of TFS throughout the project and inadequate requirements management.<br><br>In addition, the RFP requires that, "The SI firm shall utilize the fullest capabilities of Visual Studio Online (referenced throughout as Team Foundation Services, or TFS) for solution Application Lifecycle Management (ALM), in addition to Visual Studio for development purposes." | Recommend BHA request SI to document the TFS governance process and provide to BHA for review and approval. Once better governance has been solidified, IV&V will continue to monitor to validate that the BHA's expectations are met.  | 6/19/18: IV&V is unaware of any documentation delivered to the State regarding the TFS tool.<br><br>5/25/18 - RSM committed to providing documentation to the State which clarifies how the tool is being used and how to interpret the status of any one item<br><br>5/21/18 - The state has requested an RSM-developed query that includes the Requirements Traceability Matrix requirement ID number to maintain overall traceability from requirements through user stories.<br><br>4/11/18: Some confusion seems to continue to exist over TFS governance. Details of governance (e.g. how they will use tags) continue to be worked out and communicated during scrum calls and other meetings. Unclear if TFS governance decisions made during these calls are documented or effectively communicated to all TFS users or to users that missed the call.<br><br>3/15/18: SI provided Visio diagram of "Request Life Cycle" includes some details of user story tracking and makes mention of new user story status conventions.<br><br>2/26/18: This finding is a breakout of a closed finding (#13) that focuses on TFS governance.<br><br>2/23/18: RFP requires TFS governance to be documented in the Configuration Management Plan which is currently being developed by the SI.  | Requirements Management   | Risk  | Low      | Open   |                | 0         |

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| 21 | 2/23/18         | <b>Architecture Blueprint and Roadmap deficiencies</b>                                    | IV&V reviewed the SI's draft Architecture Blueprint and Roadmap deliverables and observed that the documents seem to be missing key information.   | The architectural blueprint document provides key system design details (captured during the design phase) and infrastructure details critical to the development phase. Lack of a planned and documented design decisions could lead to confusion and rework by the development team and can hinder strategic planning (e.g. licensing) for the project team. In the end this could lead to a less than optimal development phase. Similar deficiencies were noted in the Roadmap, and due to the significance of this deliverable to the project, it was included in this finding.                                | Revise the latest draft of the Architecture Blueprint to align with industry standards.  | 6/22/19: 44% of the stories are in Phase 2 and are for Interfaces. Phase 2 is likely to utilize a different approach and resources. Phase 2 Planning is underway and is not able to leverage the principles and/or framework that an Architecture Blueprint should provide.<br><br>6/19/18: The updated Architecture Plan is still pending from RSM. Since Iteration 0 and 1 have completed and deliverables for Iteration 2 are being submitted, IV&V is changing this finding from a risk to an issue.<br><br>5/25/18 - RSM confirmed that the updated Architecture Plan will be updated and resubmitted in June.<br><br>5/21/18 - Revised document still exhibits deficiencies and is being returned to SI for additional work.<br><br>4/25/18: Updated to include Roadmap deficiencies<br><br>3/19/18: SI provided responses to DCF comments but have yet to deliver updated Architecture Blueprint Document.<br><br>3/7/18: With the environment buildout beginning shortly and development currently slated to begin on 3/12, IV&V is concerned this document lacks sufficient environment buildout details.<br><br>2/23/18: IV&V provided comments to BHA via DCF (document comment form) and awaits BHA/SI responses. Draft seems to focus on what the Dynamics CRM platform can do (out of the box) as opposed to what the SI will                             | Design & Development      | Issue       | Medium   | Open   |                | 0         |
| 27 | 05/02/18        | <b>DOH requires procurement of Scribe Insight Licenses for Data Conversion activities</b> | Scribe Insight licenses are required to create Scribe packages to migrate and program data transformations for legacy data dictionaries.   | It is unclear when these licenses are required to support the data conversion effort IAW the project workplan   | DOH to procure licenses in time to support project workplan tasks and activities   | 06/21/18: IV&V is unaware if DHS has commenced licensing procurement yet and it is unclear when these licenses are needed before impacting the project.<br><br>5/25/18 - Teams are discussing the licensing issue via emails and a follow-up meeting is scheduled next week.<br><br>5/21/18: IV&V opened this as a new observation during the reporting period. The State is investigating why this is required and the SI needs to determine 'when' this is needed.  | Design & Development      | Observation | Low      | Open   |                |           |
| 28 | 05/21/18        | <b>Contractual DED Process not being utilized by SI</b>                                   | The contractually required DED process is not being followed.  | Deliverable review and approval timeframes are typically elongated when a DED is not developed and agreed to in advance of development of each deliverable.   | The SI should conform to the contract requirements of developing DEDs prior to developing deliverables.<br><br>Indicate in the deliverable review response which changes must be made in order for the deliverable to be approved.<br><br>SI to clarify acceptance criteria for each Iteration 2 deliverable in the Iteration DED.       | 6/21/18: The DRAFT DED for Iteration 2 deliverables has been delivered. IV&V has assessed for completeness and fitness, and provided feedback to DOH. Need clarification re: acceptance criteria for all deliverables.<br><br>5/25/18: The BHA Deliverables Summary Memo has been finalized and includes agreed upon terms producing one DED per iteration for each Deliverable Type. Anita is tasked with developing the first DED when she returns from vacation.<br><br>5/21/18: IV&V opened this as a new observation during the reporting period. The State assumes that RSM will make changes to deliverables, as requested after review, and then the state will accept. IV&V researched that the contract does not define this process that explicitly. One could assume that the review/approval cycle would keep repeating itself until the deliverable is accepted, but that is not stated either. What is clear, is that all deliverables are subject to the State's acceptance. So the project agreed to a revised approach moving forward. The SI will provide one (1) DED for each iteration; and each iteration's DED will be inclusive of all the deliverables specific to that iteration. Deliverable review and approval timeframes are typically elongated when a DED is not developed and agreed to in advance of development of each deliverable. | Vendor Project Management | Risk        | Low      | Open   |                |           |
| 29 | 05/21/18        | <b>Timing of Delivery of Test Case Details</b>  | The contract requires delivery of Test Cases with Test Plans, and the State needs to be afforded the opportunity for review and approval. This process should be evaluated for improvement opportunities. The State and SI are now meeting weekly so that testing results, which are not included in TFS but rather a defect log, can be reviewed and addressed timely by the State. | Per the RSM contract, the Iteration Test Plan(s) must include test cases, scripts, data sheets, and expected results. It is considered a Best Practice to have DOH program participation in review and acceptance of RSM's test scripts. DOH staff possess institutional knowledge of the needed depth, breadth, and overall coverage of requirements and how they trace to RSM test cases and test activities. Additionally, DOH staff have an optimal understanding of how the requirements and associated test activities best transition from process-to-process, for an overall end-to-end business viewpoint. | The SI should conform to the contract requirements for providing Test Cases for DOH review and approval.<br><br><b>SI to send weekly summary of test cases (new and updated) to SOH for review and confirmation and begin tracking which reviewed and completed. SI to send confirmation when test cases for iteration are complete.</b> | 6/21/18: Per the Draft Iteration 2 DED, a listing of test cases will be delivered with the Iteration Test Plan. Per the DED, this will take place the week prior to a the iteration demo, which may be may be way too late in the cycle.<br><br>5/25/18: The BHA Deliverables Summary Memo has been finalized and includes agreements regarding a weekly Thursday meeting to review and Clarify Test Cases and Scripts.<br><br>5/21/18: IV&V opened this as a new observation during the reporting period. It has been agreed that RSM will add a weekly 45 minute review session for feedback on Test Cases on Thursday mornings. In addition to the review sessions, BHA expects to receive the test cases delivered with the Iteration Test Plan. BHA will provide feedback on the test cases within two weeks from the start of the iteration and in the review session. It is unclear how the SI is tracking whether or not Test Cases have been run for each requirement since only User Stories with defects have any indication that testing occurred. Therefore, there is no visibility for the project as to what testing has been completed and how much remains.  | Testing                   | Risk        | Low      | Open   |                |           |