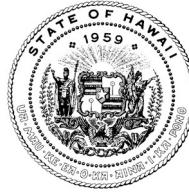


DAVID Y. IGE  
GOVERNOR



**DEPT. COMM. NO. 115**  
TODD NACAPUY  
CHIEF INFORMATION  
OFFICER

**OFFICE OF ENTERPRISE TECHNOLOGY SERVICES**

P.O. BOX 119, HONOLULU, HAWAII 96810-0119  
Ph: (808) 586-6000 | Fax: (808) 586-1922  
ETS.HAWAII.GOV

December 11, 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,

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  
September 1 - 30, 2018*

# Overview

---

- 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 remains Yellow, a caution rating, due to unassigned BHA Leads who are dedicated to Implementation Phase activities, the time available during cutover to remediate errors in the data migration files, pending migration to Government cloud instance, and delayed OCM Plan. Three findings were closed during this reporting period and no new findings were opened. Thus far, the project remains on schedule though many tasks are beginning to fall behind and a freeze on changes to user stories (requirements) for Phase 1 has been initiated.

Jul 18	Aug 18	Sept 18	Process Areas	IV&V Observations	Overall Health
			Project Management	This process area continues to be rated Yellow since there are outstanding planning items for Phase 1 Implementation; changes requests from Iteration 5 demonstration are not yet known; the IAPD for Phase 2 is pending approval from CMS; and BHA resource for identified deployment tasks have not been confirmed.	
			Requirements Management	IV&V completed a pilot (with a select 3% sample of requirements) for the Part 2 requirements traceability evaluation to verify the completeness of requirements across Iterations and is continuing until 25% of requirements have been evaluated.	
			Design and Development	Analysis of the latest drafts of the outstanding Iteration 0 deliverables reveals that there are likely no impacts to the design and development of the Phase 1 solution. Though it is unclear from the current Architecture Blueprint what the specific system performance service levels are that must be met, the project has confirmed that service level agreements are defined in the contract. IV&V has reduced the rating of this process area to Green since the project is rigorously evaluating and developing alternatives for pending change requests.	

# Executive Summary

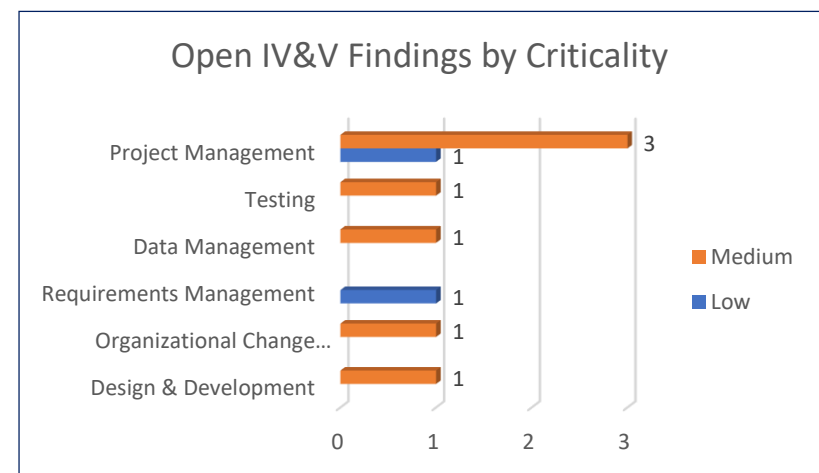
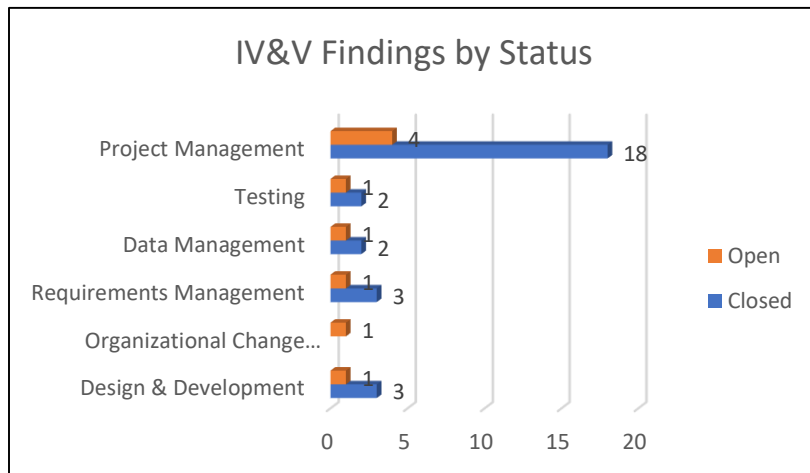
Jul 18	Aug 18	Sept 18	Process Areas	IV&V Observations	Overall Health
M	M	M	Testing	The team continues to work with Microsoft to resolve errors/issues with the migration to Government instance of the cloud. The project successfully completed a proof of concept for the migration and verified that the project is able and ready to migrate once Microsoft has provided resolution on pending issues. This category remains at risk until the project completes the migration and is able to execute the SharePoint integration testing activities.	Y
M	M	M	Data Management	The project continues to address issues associated with the data migration files and has identified new complexity, and thus additional risk, with future data migration iterations scheduled during the cutover period. The time available to remediate data "catch up" migration issues may not be sufficient during the Implementation Phase. In addition, the latest draft of the Data Management Plan has been resubmitted for review and is pending approval.	Y
M	H	M	Organizational Change Management	Though the OCM Plan is not yet finalized, the team has made significant planning progress related to OCM activities. Many OCM best practices, such as conducting system overview sessions prior to UAT as well as identifying and including System Champions (or Super Users) in the UAT activities, have been incorporated into the approach. Due to the planning progress and built-in mitigation to ensure user adoption, IV&V has lowering the rating for this process area. However, without a completed OCM Plan, the project is unable to validate that the OCM activities can be aligned with the project's schedule or completed in a timely manner.	Y

# Executive Summary

As of this reporting period, IV&V has 9 open findings: there are 4 Risks (3 medium and 1 low) and 5 Issues (4 medium and 1 low).

IV&V closed 3 (1 low Issue and 2 low Risks) findings.

To date, IV&V has identified 37 findings in total: 5 issues, 26 risks, and 6 observations) on the Hawaii BHA Integrated Case Management System Project.



See Appendix C for trend data related to IV&V's monthly ratings for findings and overall project health.

# IV&V Findings and Recommendations

---

## Process Areas Reviewed

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

- Project Management
- Requirements Management
- Design and Development
- Testing
- Data Management
- Organizational Change Management

# IV&V Findings and Recommendations

## Project Management

#	Key Findings	Criticality Rating
5	<b>Late-game analysis of requirements awaiting details from external sources:</b> [Lead Entity: Vendor] Meetings and discussions continue (e.g. with MedQuest and provider agencies) in order to address pending decisions on interfaces. The deadline for requesting scope changes to user stories was in Aug. 2018; and the project submitted clarifications in Sept. 2018 following the Iteration 4 demonstration that will be implemented in Phase 2. The Iteration 5 demonstration has not yet occurred.	M
16	<b>Unclear review and approval process for project deliverables:</b> [Lead Entity: Vendor] The last development Iteration (5) is underway and deliverables from Iterations 1 through 4 have been approved. <b>IV&amp;V has closed this risk</b> since the project agreed to the delivery timing of the remaining project deliverables throughout the Implementation Phase and will use the same review and approval process.	
19	<b>Access to enhanced federal funding may impact the project budget and/or scope:</b> [Lead Entity: State] The final IAPD was submitted to CMS in Sept. 2018 without the MOA attached. The risk transfers to the length of time it will take for CMS to review and approve the IAPD, which may require the MOA.	M
33	<b>Execution of project activities occurring prior to approval of respective plans:</b> [Lead Entity: Vendor] The planning for the Implementation Phase activities nears completion and a detailed deployment schedule has been developed. Though there are project plans that are still under development, <b>IV&amp;V has reduced the rating of this issue to Low</b> since there are few remaining planning related items to be addressed.	L
34	<b>Unassigned BHA Lead resources may slow project progress:</b> [Lead Entity: State] BHA has identified new resources to perform training and testing activities during the Implementation Phase. However, the BHA resource requirement to satisfy all activities outlined in the newly developed deployment schedule has not yet been confirmed (e.g., go live readiness activities).	M



# IV&V Findings and Recommendations

## Project Management (cont'd)

Recommendations	Progress
<ul style="list-style-type: none"><li>BHA and SI to work together to confirm the list of contract deliverables to be produced for the project.</li></ul>	Completed
<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>Prioritize and expedite the completion and approval of 'planning' related tasks and deliverables as quickly as possible</li></ul>	In process
<ul style="list-style-type: none"><li>Identify and onboard Testing, OCM, Data Migration, and Cutover BHA Leads as quickly as possible</li></ul>	In process
<ul style="list-style-type: none"><li>Evaluate user stories (requirements) being deferred to Phase 2 and analyze the impact of not having these features in place prior to go live</li></ul>	In process
<ul style="list-style-type: none"><li>Evaluate all the user stories (requirements) deferred beyond Iteration 5 (collectively) to analyze the impact</li></ul>	In process
<ul style="list-style-type: none"><li>BHA to initiate Transition Planning activities to identify DOH's support requirements and develop a plan for securing and training help desk staff prior to go live</li></ul>	In process
<ul style="list-style-type: none"><li>BHA to work within DOH to identify additional resources who can either work on the project or alleviate key project resources from their day-to-day (non-project) responsibilities so they can be fully allocated to the project until post implementation; alternatively, consider hiring temporary staff</li></ul>	In process

### Positive Observations

- The project has implemented a Heat Map dashboard for both CAMHD and DDD which visually represents the state of readiness of each business function based on the status of development and testing results
- The system demonstrations following the completion of each demonstration have yielded critical and early feedback on system functions which allowed for early and appropriate planning for resolution and increased end user confidence

# IV&V Findings and Recommendations

## Requirements Management

#	Key Findings	Criticality Rating
36	<b>Many-to-one mapping of user stories to requirements increases the complexity of validation activities:</b> IV&V completed a pilot requirements evaluation, analyzing 3% of the requirements and their associated user stories, to validate the process and anticipated outputs. Results were reviewed and confirmed with BHA before continuing to evaluate ~25% of the requirements as outlined in evaluation approach document.	L

Recommendations	Progress
<ul style="list-style-type: none"><li>DOH work with IV&amp;V to conduct a detailed assessment of the completeness of the mapping of user stories to requirements</li></ul>	In process

# IV&V Findings and Recommendations

## Design and Development

#	Key Findings	Criticality Rating
21	<b>Architecture Blueprint deficiencies:</b> The latest draft of the Architecture Blueprint has addressed most of the previously identified deficiencies and is still under review. Though it is unclear from cross-references in the document to external sources what the specific system performance service levels that must be met and maintained in production, <b>IV&amp;V has reduced the rating of this risk to Low.</b>	L

Recommendations	Progress
<ul style="list-style-type: none"><li>SI to include the specific system performance service level agreements (SLAs) to be met into the Architecture Blueprint</li></ul>	In process
<ul style="list-style-type: none"><li>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.</li></ul>	Complete
<ul style="list-style-type: none"><li>SI to analyze the completed Iteration 0 Plans (Architecture Blueprint, System Security, and Data Management) and document the gap between the approved deliverables and the project's artifacts developed to date</li></ul>	Complete

# IV&V Findings and Recommendations

## Testing

#	Key Findings	Criticality Rating
35	<b>Inability to move to Government Cloud may impact the execution and quality of SharePoint Integration Testing:</b> The team continues to work with Microsoft to resolve errors/issues with the migration to Government instance of the cloud. Since RSM successfully completed a proof of concept for the migration and verified that the project is able and ready to migrate once Microsoft has provided resolution on pending issues, IV&V has reduced the severity of this issue to Medium. The new target date for completing the migration is 10/8/18 in time for UAT Cycle 2 testing.	M
37	<b>Level of detail for test scripts in user stories may not fully address the nature of the mapped requirement: IV&amp;V has closed this risk</b> since UAT Cycle 1 has completed and provided the BHA team an opportunity to develop and confirm the process for verifying and elaborating test scripts when needed.	

Recommendations	Progress
<ul style="list-style-type: none"> <li>DOH work with SI to begin planning the implementation of the contingency for Integration Testing, if the Government Cloud instance is not ready in time</li> </ul>	In process
<ul style="list-style-type: none"> <li>DOH to analyze the testing results from UAT Cycle 1 to determine if any testing activities was impacted as a result of the alternative UAT approach due to delay in Microsoft's migration to Government cloud.</li> </ul>	Completed

# IV&V Findings and Recommendations


## Data Management

#	Key Findings	Criticality Rating
31	<b>Errors in the data migration files may impact the overall implementation schedule:</b> The project continues to address issues associated with the data migration files as well as data cleanup, and has identified new complexity with future data migration iterations scheduled during the cutover period. The time available to remediate data "catch up" migration and cleanup issues may not be sufficient.	M
32	<b>No Finalized Data Management Plan to guide downstream activities:</b> The latest version of the Data Management Plan is under review and pending approval. <b>IV&amp;V has closed this risk</b> since the level of detail within in the plan has been analyzed and confirmed to not have an impact on downstream data migration activities.	

Recommendations	Progress
<ul style="list-style-type: none"> <li>Form a dedicated task force with both DOH and RSM resources to meet daily and work on data migration tasks until the effort is back on track.</li> </ul>	In process
<ul style="list-style-type: none"> <li>Determine alternative methods for piloting, analyzing, and/or remediating data migration activities and outputs during the cutover period.</li> </ul>	In process

# IV&V Findings and Recommendations

## Organizational Change Management

#	Key Findings	Criticality Rating
7	<p><b>Minimal attention to User Adoption (buy-in):</b> The team conducted targeted planning sessions throughout the reporting period and focused on planning the activities required for the Implementation Phase. As a result, many OCM-related decisions have been made related to the approaches, scope, and timing for training, transition activities, and communications for both internal and external (Provider) stakeholder groups. Completion of the OCM plan is pending updates which reflect recent planning decisions. Many OCM best practices, such as conducting system overview sessions prior to UAT as well as identifying and including System Champions (or Super Users) in the UAT activities, have been incorporated into the approach. Due to the planning progress and built-in mitigation to ensure user adoption, <b>IV&amp;V is lowering the rating for this process area.</b></p>	

Recommendations	Progress
<ul style="list-style-type: none"> <li>Request the SI support DOH in the development of a comprehensive OCM strategy.</li> </ul>	In process
<ul style="list-style-type: none"> <li>DOH to document and finalize the state's comprehensive approach for OCM as soon as possible</li> </ul>	In process
<ul style="list-style-type: none"> <li>DOH to begin the detailed planning for OCM activities such as delivering Provider Training</li> </ul>	Completed

# 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




- G**
  - 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).

- Y**
  - 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.

- R**
  - 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.

# 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. BHA ITS Weekly Status Meeting (selected)
2. Weekly Data Migration Meeting (selected)
3. Daily Scrum meetings (selected)
4. Weekly Meeting to address targeted questions (selected)
5. Weekly BHA IT Schedule Meeting (selected)
6. Weekly IV&V Deliverable Reviews meeting
7. Weekly Standing IV&V Report Review meeting
8. Monthly BHA IV&V PCG-RSM Report Review meeting
9. (Continued) Weekly Post Iteration 5 / Deployment planning meeting (9/18/18)
10. BHA IT Solution DDD Iteration 4 Demo (9/11/18)
11. DOH BHA - CAMHD Case Management Solution Demo - Iteration 4 (9/12/18)
12. DOH BHA IT Solution Project - Steering Committee (9/13/18)

## **Artifacts reviewed during the reporting period:**

1. Iteration 4 DED
2. Iterations 4 and 4 Plan
3. Iterations 5 Test Plan
4. Iteration 4 TFS Backlog Report
5. Iteration 4 Defect Log
6. Iteration 4 Unit Test Results
7. Iteration 4 Review
8. Daily Scrum Notes (selected)
9. Data Management Meeting Notes (selected)
10. SI Project Schedule (ongoing)
11. RSM Weekly Status Reports (ongoing)
12. Iteration 0 – Data Management Plan v2.1
13. Iteration 0 – Architecture Blueprint v3.0

## **Eclipse IV&V® Base Standards and Checklists**



**Eclipse IV&V  
Standards**

# Appendix C

## Trend Data

Trend: Overall Project Health																	
Process Area	2018												2019				
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
<b>Overall Project Health</b>				G	Y	G	Y	Y	Y								
Project Management	Y	Y	G	G	Y	G	Y	Y	Y								
Requirements Management	Y	G	G	G	Y	G	G	G	G								
Design and Development	Y	Y	G	G	Y	Y	Y	Y	G								
Testing					G	G	Y	Y	Y								
Data Management					G	G	Y	Y	Y								
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R	Y								
<b>Total Open Findings</b>	<b>18</b>	<b>17</b>	<b>19</b>	<b>17</b>	<b>17</b>	<b>15</b>	<b>17</b>	<b>12</b>	<b>9</b>								
Issue - high							1										
Issue - medium				1	1	2	4	5	4								
Issue - low								1	1								
Risk - high								1									
Risk - medium	10	4	5	9	3	1	3	1	3								
Risk - low	6	10	10	3	10	11	9	4	1								
Observations - high																	
Observations - medium	2	1	1	2	1	1											
Observations - low		2	3	2	2												



[www.publicconsultinggroup.com](http://www.publicconsultinggroup.com)

BHA Findings 2018 September Report

Id	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
5	09/01/17	<b>Late-game analysis of requirements awaiting details from external sources</b> [Lead Entity: Vendor]	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	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 evaluate all the user stories (requirements) being deferred past Iteration 5 and analyze the impact of not having these features in place prior to go live as well as evaluate the plan for when these features will be delivered during Phase 1 M&O. 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.	9/30/18: The deadline for requesting changes to user stories (requirements in Phase 1 scope) without impacting the systems design or the project's schedule was in August 2018. Following the Iteration 4 demonstration in September 2018, changes to user stories (in Phase 1) were identified and requested. The project is assessing the impact and discussing alternatives approaches for addressing these requirements without impacting Phase 1.  8/31/18: During the period, DOH requested changes to requirements resulting from the feedback received at the Iteration 3 demonstrations. With only two iterations remaining, the additional user story scope could not be accommodated by the SI and BHA worked quickly to review, prioritize, and ultimately swap existing user stories out to accommodate the new requested user stories. Those user stories (requirements) pulled from Iteration 4 or 5 will need to be scheduled for delivery post implementation. It is unclear how this deferred functionality is being categorized (e.g., enhancement, deferred requirement, or defect). When details regarding the pending DHS interface <b>are known, it may not be feasible to complete this work during Iterations 4 or</b>	Project Management	Issue	Medium	Open
7	09/01/17	<b>Minimal attention to User Adoption (buy-in)</b>	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.	9/30/18: The team conducted targeted planning session throughout the reporting period and focused on planning the activities required for the Implementation Phase. As a result, many OCM-related decisions have been made related to the approaches, scope, and timing for training, transition activities, and communications for both internal and external (Provider) stakeholder groups. Completion of the OCM plan is pending updates which reflect recent planning decision. Many OCM best practices, such as conducting system overview sessions prior to UAT as well as identifying and including System Champions (or Super Users) in the UAT activities, have been incorporated into the approach. Due to the planning progress and forward thinking mitigation to ensure user adoption, IV&V is lowering the severity of this risk.  8/31/18: The OCM Plan is not yet been finalized and early planning for the Implementation Phase indicates a large volume of pending decisions surrounding training and cutover, both of which impact the OCM activities for	Organizational Change Management	Risk	Medium	Open
19	09/01/17	<b>Federal funding risk</b> [Lead Entity: State]	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.	9/13/18: BHA and PCG met with MQD on 8/30/18, the draft was revised and resubmitted to MQD on 9/7/18 without the MOA attached. The risk associated with the federal funding will transition from IAPD development to the length of time it will take to get CMS approval, once the IAPD is submitted. MedQuest reported that MOA is in progress at the monthly DOH BHA Steering Committee meeting.  8/8/18: DOH submitted the IAPD to DHS for internal and has received minimal comments by the August 15 deadline. IV&V awaits confirmation from DOH that the IAPD has been finalized and submitted to CMS for approval.	Project Management	Issue	Medium	Open

BHA Findings 2018 September Report

Id	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
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	Revise the latest draft of the Architecture Blueprint to align with industry standards.	<p>9/28/18: The latest draft of the Architecture Blueprint has addressed most of the previously identified deficiencies. However, it is unclear from references made in the document what the specific system performance service levels are that must be met and maintained for production.</p> <p>8/31/18: DOH and IV&amp;V have provided feedback to the SI regarding the latest draft of the Architecture Blueprint; the SI is currently updating the document for resubmission. In addition, the project added another biweekly Design/Issue meeting to address new design questions stemming from changes requested by DOH for Iterations 4 and 5 based on feedback from Iteration 4 demonstrations.</p>	Design & Development	Issue	Medium	Open
31	7/20/2018	<b>Errors in the data migration files may impact the overall implementation schedule</b>	Files or data unable to be processed as part of the planned data migration may jeopardize the project's schedule.	If the data migration files or data is not formatted correctly, they will not convert. Errors in converted data may delay the implementation if additional time is required to resolve them.	Form a dedicated task force with both DOH and RSM resources to meet daily and work on data migration tasks until the effort is back on track.	<p>9/30/18: The project continues to address issues associated with the data migration files and has identified new complexity, and thus additional risk, with future data migration iterations scheduled during the cutover period. The time available to remediate data "catch up" migration issues may not be sufficient.</p> <p>8/31/18: While the project has made progress with resolving issues associated with the data migration files, new files have been identified and several are still pending finalization.</p> <p>7/20/18: Opened as a new risk. DOH is working to resolve file and data format issues to meet data migration objectives, requirements, and success criteria.</p>	Data Management	Risk	Medium	Open
33	7/20/2018	<b>Executing project activities before planning is complete and approved</b> [Lead Entity: Vendor]	Project resources have worked on tasks in hopes of making progress even though the plan and/or approach for doing the work has not yet been approved. Until or after project plans are approved, completed project tasks are subject to rework.	When project resources execute work before planning activities have completed and documented approaches, plans, and procedures are approved, they run the risk of not completing the work appropriately. Then, either later in the project's life cycle the work must be redone or the project must determine if the work is 'good enough' to proceed. The former scenario causes strain on resources and the project's schedule and the latter scenario results in reduced quality in the project's outputs. An example is the data migration files. A documented plan may have assuaged the formatting errors now facing the project. Other examples include: requirements management and defining acceptance criteria.	Focus on completing the Planning activities and obtain agreement on the plan, approach, and/or procedures for these upcoming phases (at a minimum): User Acceptance Testing, Data Migration, Training, Cutover and Implementation, OCM, and Post-Implementation.	<p>9/28/18: The planning for the Implementation Phase activities nears completion and a detailed deployment schedule has been developed. Though there are project plans that are still under development, IV&amp;V has reduced the rating of this issue to Low since there are few remaining planning related items that need to be addressed.</p> <p>8/31/18: IV&amp;V observed continued efforts to complete planning activities whilst executing project activities. For example during the reporting period, DOH requested changes (swaps) to user stories already planned for Iteration 4 in order to prioritize and ensure delivery of functions in Phase 1 identified by DOH stakeholders in the latest demonstration. Changing the scope of Iteration 4 while it was in progress increased the risk of potential development rework. Also, new data migration files were identified during the period and have been added to the project's scope though the Data Management Plan is not yet finalized. Finally, OCM-related emails are being sent to stakeholders, advocating participation and feedback, while the OCM plan is still being drafted.</p> <p>7/20/18: Opened as a new risk. DOH and RSM continue to work on project deliverables whilst moving forward with development and testing activities for future iterations.</p>	Project Management	Issue	Low	Open

BHA Findings 2018 September Report

Id	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
34	7/20/2018	<b>Unassigned BHA Lead resources may slow project progress</b> [Lead Entity: State]	The project is progressing into the Implementation Phase which includes Training, Testing, and Cutover and typically requires heavy state staff participation. Currently, the BHA team does not have state Leads assigned to manage and guide the successful and timely completion state-owned project tasks in these areas.	Training, Testing and Cutover project activities require a specialized focus during the Implementation Phase to ensure these activities are completed appropriately and are compliant with requirements and high quality standards. When existing project resources take on these late-coming project responsibilities, on top of their existing workload, there is increased risk that insufficient attention will be given to drive these activities to completion. Further, there is additional benefit to assigned SMEs with expertise in these areas to perform Lead responsibilities as their insight and experience can help mitigate risk and foster the implementation of best practices.	Perform analysis on the state-owned tasks for Training, Testing, and Cutover project activities in order to define a role and distinct set of responsibilities for Lead SMEs for each. BHA to identify and assign LEAD SME resources to champion these respective project activities during the Implementation Phase.	<p>9/13/18: BHA has identified new resources to perform training and testing activities during the Implementation Phase. However, the BHA resource requirement to satisfy all activities outlined in the newly developed deployment schedule has not yet been confirmed (e.g., data migration catch up activities).</p> <p>8/31/18: The Implementation Phase, which includes Testing, OCM, and Cutover activities, typically requires heavy state staff participation. Currently, the BHA team does not have dedicated state Leads assigned to manage and guide the successful and timely completion of state-owned project tasks in these areas. IV&amp;V has increased the rating to Medium since it has been observed that current assigned Leads are significantly over-allocated and challenged with juggling their current responsibilities with new ones associated with Implementation Phase activities as well as Phase 2 planning.</p> <p>7/20/18: Opened as a new risk. BHA is already actively searching for a UAT Lead and plans to fill this role in the next reporting period.</p>	Project Management	Risk	Medium	Open
35	7/20/2018	<b>Inability to move to Government Cloud may impact the execution and quality of SharePoint Integration Testing</b>	The Azure Government Cloud must run Microsoft Dynamics v9.0 in order to the project to execute the SharePoint Integration Test as planned. The project has been tracking and monitoring this risk throughout 2018 and the July 31 trigger	Azure Government cloud is not yet running Dynamics v9.0 which may impact the project's ability to later move from RSM Commercial instance to the Government cloud instance which is needed for SharePoint integration test. This testing could be delayed until the project can move to the Government cloud instance. The current BHA v8 government instance is being used for Credentialing and the project can proceed with a new instance for CRM on v9. If Government instance is not available, the project must identify a contingency approach for testing using the	DOH to analyze the testing results from UAT Cycle 1 to determine if any testing activities or testing quality was impacted as a result of the alternative approach.  DOH work with SI to begin planning the implementation of the contingency for Integration Testing, if the Government Cloud instance is not ready in time.	<p>9/30/18: Risk 6 - The team continues to work with Microsoft to resolve errors/issues with the migration to Government instance of the cloud. Since RSM successfully completed a proof of concept for the migration and verified that the project is able and ready to migrate once Microsoft has provided resolution on pending issues, IV&amp;V has reduced the severity of this issue to Medium. The new target date for completing the migration is 10/5/18 in time for UAT Cycle 2 testing.</p> <p>8/31/18: The Government instance has been provisioned by Microsoft and the project is now able to migrate from the SI's commercial instance to the Government instance. The current approach is to align with the end of Iteration 4, to avoid migrating an incomplete solution mid way through an iteration. However, this risk became an issue in early August when UAT began</p>	Testing	Issue	Medium	Open
36	7/20/2018	<b>Many-to-one mapping of user stories to requirements increases the complexity of validation activities</b>	There can be multiple user stories mapped to a single requirements; and a single user story can be mapped to multiple requirements and have multiple test scripts. Requirements are scheduled for delivery across Iterations. This complex mapping	The project has converted the project's requirements into user stories. All the user stories, in the aggregate, should be representative of all requirements. The data that correlates user stories to requirements resides in TFS and the project has had difficulty reviewing and validating the data in and exported out of TFS. Since requirements/user stories are validated Iteration by Iteration, a comprehensive validation may not be able to be completed until all development has completed and user acceptance testing has begun. Lack of validation of requirements prior to testing can	DOH work with IV&V to conduct a detailed assessment of the completeness of the mapping of user stories to requirements	<p>9/28/18: IV&amp;V completed a pilot requirements evaluation, analyzing 3% of the requirements and their associated user stories, to validate the process and anticipated outputs. Results were reviewed and confirmed with BHA before continuing to evaluate ~25% of the requirements as outlined in evaluation approach document.</p> <p>8/31/18: Potential requirement gaps have been identified as part of DOH reviewing test script and analyzing requirements for potential user story swaps in Iterations 4 and 5. Therefore, IV&amp;V has initiated a Part 2 requirements traceability evaluation to verify the completeness of requirements across Iterations.</p> <p>7/20/18: Opened as a new risk.</p>	Requirements Management	Risk	Low	Open