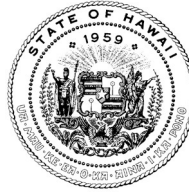


DAVID Y. IGE  
GOVERNOR



DEPT. COMM. NO. 33  
DOUGLAS MURDOCK  
CHIEF INFORMATION  
OFFICER

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May 13, 2019

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 (IV&V) 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.

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

Sincerely,

DOUGLAS MURDOCK  
Chief Information Officer  
State of Hawai'i

Attachment (2)



# Hawaii BHA Integrated Case Management System Project

*Final IV&V Report for the period of  
April 1 - 30, 2019*

# Overview









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- Executive Summary
- IV&V Findings and Recommendations
- Appendices
  - A – Rating Scales
  - B – Inputs
  - C – Project Trends

















# Executive Summary

IV&V again observed positive progress and continued coordination and collaboration between the state and vendor in the April reporting period. Via the approval of a change to the P2.1/P2.2 go-live, the project reprioritized ongoing activities and focus on P2.1/P2.2 go-live planning. This new approach moves the full go-live of P2.1/P2.2 from May 20 to June 3, yet provides “early access” to a near production-like solution on May 20, offering a subset of needed business functionality to DDD Case Managers. Additionally, by moving the go-live date, the project is creating more lead time for CMS to approve the IAPD and receive funding for Phase 2. While the justification for adjusting the P2.1/P2.2 go-live scope and approach is reasonable, this change poses risk to the project, regarding the availability of M&O resources and the need to merge the “UAT Staging for Prod” data with production data prior to go-live.

IV&V closed one risk in April, and continues to be encouraged by the progress and collaboration of the project teams, which will empower them to address the project’s most pressing challenges.

Feb 19	Mar 19	Apr 19	Process Areas	IV&V Observations	Overall Health
			Project Management	The April 2019 reporting period risk rating and the Overall Health rating for the Project Management process area remain a high (red) rating. The project submitted the Draft IAPD in March, but continues to await feedback from CMS. BHA, HISO, and Microsoft will conduct a network performance and tuning exercise in May. While the project’s transition from WaterScrumFall to a full agile approach for P2.2 – P2.4 has been progressing nicely, IV&V will continue to monitor this transition moving forward. Finally, IV&V opened a new risk regarding the project’s new go-live approach regarding the impact on RSM’s availability to resolve M&O bugs and address change requests.	
			Requirements Management	The April 2019 reporting period risk rating and the Overall Health rating for the Requirements Management process area remain a medium (yellow) rating. IV&V did not observe any progress on the outstanding P1 User Story / Requirements verification risks. The project completed planning for ADA and Performance testing in April, with test execution beginning the last week of April.	

# Executive Summary

Feb 19	Mar 19	Apr 19	Process Areas	IV&V Observations	Overall Health
			Design and Development	The April 2019 reporting period risk rating for the Design and Development process and the overall health of the Design and Development process area remain a medium (yellow) rating. RSM has made great progress with the Provider Portal reporting problem and is nearing resolution of this final P2.1 User Story. IV&V continues to investigate a preliminary concern regarding report writing capabilities due to BHA being behind the targeted pace for P2.1 reports, despite showing improvement in April. Finally, IV&V closed a risk regarding the Date/Time Zone issue experienced after Phase 1 go-live as the fix deployed in March has resolved all known problems.	
			Test Management	The March 2019 reporting period risk rating and the Overall Health rating for the Test Management process area remain a low (green) rating as IV&V does not have any active findings.	
			Data Management	The April 2019 reporting period risk rating for the Data Management process area remains medium (yellow) while the Overall Health rating remains as a low (green) rating. IV&V opened a new risk regarding the need to merge the DDD Case Manager's "UAT Staging for Prod" data into the production environment after the June 3 go-live, due to the project's change in scope and approach to P2.1/P2.2 go-live.	
			Organizational Change Management	The April 2019 reporting period risk rating for OCM has been escalated to a high (red) rating while the Overall Health rating remains at a medium (yellow) rating. IV&V is escalating the DDD LifeCourse and P2.1 training risk to a high, as it has been identified that additional training and support for the new business processes related to LifeCourse, ISPs, and Service Authorizations will be needed, as well as remedial solution training and increased post-go-live support for DDD Case Managers on the INSPIRE solution.	

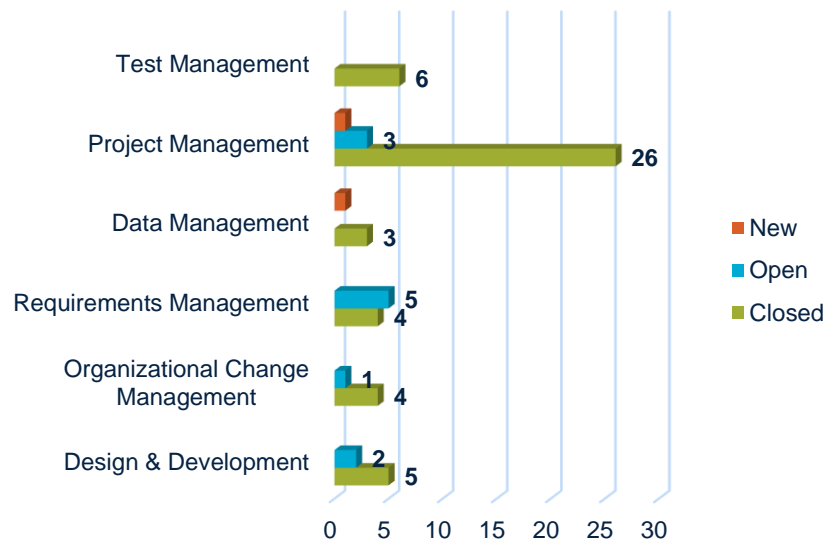
# Executive Summary

As of the April 2019 reporting period, IV&V has 13 open findings: 10 risks (2 high, 5 medium, 3 low), 2 issues (1 medium, 1 low), and 1 preliminary concern.

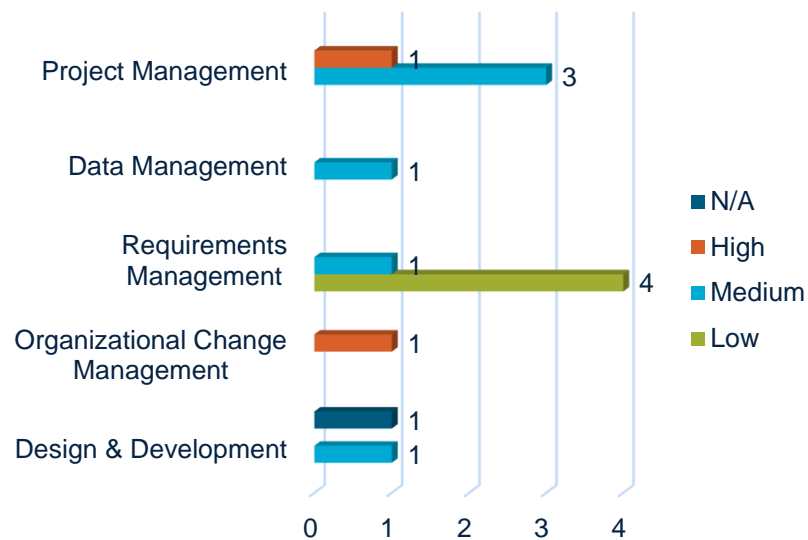
IV&V closed 1 finding (medium risk) during the April reporting period.

To date, IV&V has identified a total of 61 findings (10 issues, 42 risks, 7 observations, and 2 preliminary concerns) on the project; 48 of which have been closed.

### IV&V Findings by Status



### Open IV&V Findings by Criticality



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

# 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:

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

# IV&V Findings and Recommendations

## Project Management

#	Key Findings	Criticality Rating
19	<b>Access to enhanced federal funding may impact the project budget and/or scope:</b> <i>[Lead Entity: State]</i> Per MQD, the final draft of the IAPD was sent to CMS (Stephen Chang, the State's new CMS Rep) the week of March 25, with the hope of an expedited review. IV&V has no update on this risk for the April reporting period, as the state is awaiting feedback from CMS. This risk remains high for the April reporting period.	H
38	<b>Service Level Agreements (SLAs) are insufficiently documented:</b> <i>[Lead Entity: State]</i> BHA remains in contact with both ETS and Microsoft. Currently, network performance and tuning exercises are planned for May 9 and May 10 with BHA, HISO, and Microsoft in attendance. IV&V maintains that this is a medium issue, and will continue to monitor in May.	M
59	<b>Project transition from WaterScrumFall to full Agile approach</b> <i>[Lead Entity: Shared]</i> . The project began P2.2 development, and therefore adopted the new full agile approach, in early April. Thus far, the transition has not negatively impacted the project. IV&V continues to monitor the project's burndown rate for dev, M&O, and report writing, as well as monitors the progress on training and testing. As of the April reporting period, IV&V is encouraged by what has been seen to date, however, would like to continue to monitor this risk through the P2.1/2.2 go-live to fully understand the changes and impacts to the project resulting from this transition. IV&V is dropping this to a medium risk for the April reporting period, but will continue to monitor progress.	M
60	<b>New Risk - Changes to P2.1/P2.2 go-live approach impact on P1 M&amp;O</b> <i>[Lead Entity: Vendor]</i> . As a result of the P2.1/P2.2 change in go-live approach (DDD early access) being executed by RSM at no additional cost, the availability of RSM M&O resources and bandwidth is reduced up through the June 3 go-live. Due to this reduction in bandwidth, the currently discussed plan is for RSM to only address Severity 1 defects during the remainder of the P1 M&O, using the approximately 14 M&O USP per week to standup and prepare for the new P2.1/P2.2 go-live approach.	M



# IV&V Findings and Recommendations

## Project Management (cont'd)

Recommendations	Progress
<ul style="list-style-type: none"><li>BHA to continue to work to submit the updated IAPD as soon as possible, ensuring that all CMS requirements are satisfied.</li></ul>	In process
<ul style="list-style-type: none"><li>Continue to work with ETS and Microsoft to get agreement on the required service levels for the INSPIRE/Max solution, and have these SLAs formally updated and documented in the states EA with Microsoft.</li></ul>	In process
<ul style="list-style-type: none"><li>BHA should strongly consider acquiring an IT Service Management (ITSM) tool to support and empower current Help Desk operations, as well as support future M&amp;O efforts.</li></ul>	In process
<ul style="list-style-type: none"><li>The vendor and BHA must ensure that all project documentation related to new agile processes, and the related roles and responsibilities, are thoroughly documented, communicated, and understood by project team members. For those project resources who may be inexperienced in agile, the project should consider offering coaching or training to ensure velocity does not suffer.</li></ul>	In process
<ul style="list-style-type: none"><li>RSM and BHA should immediately agree to and document a modified approach to P1 M&amp;O, providing specifics on the RSM resources that will be available for the remainder of the P1 M&amp;O duration. RSM should also provide a strategy for the project to address the US backlog, specifically including those items added to the backlog as a result of the change to the P2.1 / P2.2 go-live scope and approach.</li></ul>	New

# IV&V Findings and Recommendations

## Requirements Management

#	Key Findings	Criticality Rating
39	<b>Requirements to user stories' associations are inconsistent within TFS</b> <i>[Lead Entity: Vendor]</i> : IV&V has no update on this risk for the April reporting period. IV&V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&V will no longer track this risk.	L
40	<b>A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software</b> <i>[Lead Entity: Vendor]</i> : IV&V has no update on this risk for the April reporting period. IV&V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&V will no longer track this risk.	M
47	<b>The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met</b> <i>[Lead Entity: Vendor]</i> . Per April 30 RSM status report, ADA and Performance Testing planning was completed last week and ADA testing began last week and will continue at least the next two weeks. IV&V has no additional updates on the execution of testing at this time, but will continue to monitor this low risk in the May reporting period.	L

# IV&V Findings and Recommendations

## Requirements Management (cont'd)

#	Key Findings	Criticality Rating
48	<b>The lack of performance testing prevents the State from validating that contractual performance requirements will be met</b> [Lead Entity: Vendor]. Per April 30 RSM status report, ADA and Performance Testing planning was completed last week and Performance testing began last week and will continue at least the next two weeks. IV&V has no additional updates on the execution of testing at this time, but will continue to monitor this low risk in the May reporting period.	L
49	<b>The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met</b> [Lead Entity: Vendor]. IV&V has no update to this risk for the April reporting period, but will continue to monitor this low risk as load testing is planned for and executed during Phase 2.	L

# IV&V Findings and Recommendations

## Requirements Management (cont'd)

Recommendations	Progress
<ul style="list-style-type: none"><li>Identify inconsistencies in requirements to user story relationships within TFS in order to ensure that complete requirements traceability is established for the project.</li></ul>	Not started
<ul style="list-style-type: none"><li>Identify inconsistencies in requirements implementation in user stories and the BHA-ITS software and incorporate all requirements determined to be missing in both user stories and the BHA-ITS software solution.</li></ul>	Not started
<ul style="list-style-type: none"><li>DOH work with RSM to ensure all contractually required testing is adequately planned and executed as specified in the contract</li></ul>	In process
<ul style="list-style-type: none"><li>Ensure the components of ADA Section 508 requirements that the MS documentation states Dynamics “Meets with Exception” are thoroughly tested to ensure there are no gaps in compliance.</li></ul>	In process

# IV&V Findings and Recommendations

## Design and Development

#	Key Findings	Criticality Rating
54	<b>CRM Date and Time issues related to Users Time Zone</b> [ <i>Lead Entity: Vendor</i> ]. A solution was released in March that resolved the known entities impacted by the Date/Time issue (primarily billing and progress notes related). BHA believes some additional entities (specifically Adverse Event Reporting) could be impacted similarly in the future as more solution functionality is utilized by staff. The vendor is aware of this concern but has not seen any evidence of this being a risk at this point and has indicated that any entities and fields impacted in the future will be handled on a case-by-case basis. At this time, there is no additional research currently being worked by the vendor in this regard. Due to resolution being implemented, and no lasting effects being experienced, IV&V is <b>closing this risk</b> for the April reporting period.	Closed
56	<b>BHA Report Writing Responsibilities</b> [ <i>Lead Entity: State</i> ]. IV&V was informed by BHA and RSM that significant progress was made by BHA on writing P2.1 and P2.2 reports in April. As of the end of April, BHA was approximately 30 user story point behind pace for P2.1 reports. currently on track with the original baselined reports anticipated for the upcoming release. A Power BI training session was provided to CAMHD and DDD staff, with another training planned for early June. IV&V is encouraged by the progress but due to the project still being behind pace for hitting P2.1 report targets, further investigation is needed. IV&V will prioritize attending the daily Report Writing stand-up meeting in May while continuing to determine the validity for this concern.	N/A
58	<b>Lack of Provider Portal reporting capabilities</b> [ <i>Lead Entity: Vendor</i> ]. RSM and BHA have been actively working together to develop a resolution for the Provider Portal reporting limitation. As of the week of 4/15, RSM had identified and tested a resolution that would satisfy these requirements. Going forward and until the MS Flow application is available, the project will limit the amount of custom code and configuration as much as possible, in an effort to make any future transition to using Flow as seamless as possible. IV&V is encouraged by the progress made on this risk, however maintains that this remains a medium risk for the April reporting period, and will continue to monitor through testing of the resolution.	M

# IV&V Findings and Recommendations

## Design and Development (cont'd.)

Recommendations	Progress
<ul style="list-style-type: none"><li>RSM and BHA should continue to collaborate on the root cause analysis of the problem and jointly determine a long term, permanent solution for all potentially impacted entities. Additionally, once root cause is determined, steps should be taken to identify what can be done by the project to proactively mitigate configuration risks similar to this from occurring in the future.</li></ul>	Completed
<ul style="list-style-type: none"><li>BHA should immediately identify any gaps in knowledge, skill, and experience in SQL Server Reporting Services (SSRS) and Power BI and seek immediate remediation, such as staff training.</li></ul>	In process
<ul style="list-style-type: none"><li>RSM should continue efforts to pursue options and for fully delivering the Provider Portal reporting requirements – whether that be custom development or using the MS Flow tool – and stay in regular communication with BHA regarding both progress. Until a solution is solidified, contingency planning should continue to plan for the worst case scenario.</li></ul>	In process

# IV&V Findings and Recommendations

## Test Management

#	Key Findings	Criticality Rating
	No active findings in the Test Management process area for the April 2019 reporting period.	

# IV&V Findings and Recommendations

## Data Management


#	Key Findings	Criticality Rating
61	<b>New Risk - Merging of P2.1/P2.2 production data and "UAT Staging for Prod" data at go-live</b> [ <i>Lead Entity: Vendor</i> ]. As a result of the P2.1/P2.2 change in go-live approach (DDD early access) RSM will need to merge the subset DDD Case Manager's "UAT Staging for Prod" data into the production environment prior to the June 3 go-live, which could complicate and prolong DDD Case Manager's access to the merged data. The need to combine these two data streams increases the potential for data integrity issues, and is complicating DDD training as Case Manager's now must be trained on how to use aspects the solution in two environments (production and "UAT Staging for Prod").	M

Recommendations	Progress
<ul style="list-style-type: none"><li>Fully plan out the preparation and execution of the data migration effort between the two environments, and if possible, conduct a practice mock migration prior to DDD's early access to the "UAT Staging for Prod" environment.</li></ul>	New



# IV&V Findings and Recommendations

## Organizational Change Management

#	Key Findings	Criticality Rating
57	<p><b>DDD End User Training on business process and solution changes</b> <i>[Lead Entity: State]</i>. IV&amp;V is aware that DDD has identified the need for more training for Case Managers on the business processes changes that are at the core of the P2.1 release (including LifeCourse methodology ISPs, and Service Authorizations), prior to the P2.1/P2.2 early use date of May 20. Upon completion of early training in April, it was determined by DDD that the LifeCourse methodology, combined with the new approach to ISPs, Service Authorizations, and Calculator 3.0, is more complicated than originally thought to be and necessitates additional training to ensure proper user adoption. DDD is in process of developing and re-working critical training documentation such as the training calendar, instructional materials, and the training plan, and IV&amp;V will review and provide feedback as it is received. Additionally, due to the need for remedial training for some Case Managers, and the complicated nature of the P2.1 training content, IV&amp;V recommends that DDD consider ramping up its post go-live training support to further ensure Case Managers have sufficient access to business and solution help. Due to the criticality of the LifeCourse methodology to DDD business operations and success of the P2.1/P2.2 functionality, IV&amp;V is escalating this to a high risk for the April reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> <li>Finalize and publicize the dates and details of the LifeCourse training for case managers, to be completed prior to the beginning of DDD end user training</li> </ul>	In process
<ul style="list-style-type: none"> <li>DDD should consider ramping up the available post go-live support for Case Managers to further support end users who may experience either solution or business process difficulties after go-live.</li> </ul>	New

# Appendix A: Rating Scales




*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 April 2019 reporting period:

1. RSM Weekly Status Meeting (selected)
2. Daily Scrum meetings (selected)
3. Twice Weekly RSM Issues Meeting
4. Weekly CCB Meeting
5. Weekly Change Planning for Dev
6. Weekly IV&V Deliverable Reviews meeting
7. Standing IV&V Report Review meeting
8. Monthly BHA IV&V PCG-RSM Report Review meeting
9. Executive Steering Committee Meeting
10. Phase 2 Deployment Planning Meeting
11. Bi-Weekly Check-in: CAMHD
12. Bi-Weekly Check-in: DDD
13. Monthly Check-in: RSM

## Eclipse IV&V® Base Standards and Checklists



**Eclipse IV&V  
Standards**

## Artifacts reviewed during the April 2019 reporting period:

1. Daily Scrum Notes (selected)
2. Twice Weekly Issues Meeting Notes (selected)
3. SI Project Schedule (ongoing)
4. RSM Weekly Status Reports (ongoing)
5. RSM Final Contract
6. P2.1/2.2 Deployment Diagram
7. 17-216 Schedule of Deliverables rev 02-13-19
8. BHA-ITS Phase 2 Testing Strategy v3 final
9. Phase 2 Agile Schedule
10. BHA ITS Phase 2 Schedule \_2019-03-13
11. P2.1 Iteration 1 Retrospective
12. P2.1 Iteration 1 DEDv2
13. BHA-ITS Phase 2.2 Deliverable Expectations Document (DED)
14. Phase 2.2+ Training Strategy v2
15. DDD INSPIRE Training Calendar (draft)

# Appendix C: Project Trends

## 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	Jun	Jul	Aug
Project Management	Y	Y	G	G	Y	G	Y	Y	Y	Y	Y	R	R	R	R	R				
Requirements Management	Y	G	G	G	Y	G	G	G	G	Y	Y	R	R	Y	Y	Y				
Design and Development	Y	Y	G	G	Y	Y	Y	Y	G	G	G	G	G	G	Y	Y				
Testing					G	G	Y	Y	Y	G	Y	Y	Y	G	G	G				
Data Management					G	G	Y	Y	Y	Y	Y	Y	Y	G	G	G				
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R	Y	Y	Y	Y	Y	G	Y	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>	<b>9</b>	<b>10</b>	<b>13</b>	<b>13</b>	<b>13</b>	<b>12</b>					
Issue - high							1			1	1	1	1	2	0					
Issue - medium				1	1	2	4	5	4	1	0	0	0	0	1					
Issue - low								1	1	3	3	1	1	1	1					
Risk - high								1			2	5	5	1	1					
Risk - medium	10	4	5	9	3	1	3	1	3	4	4	5	5	3	5					
Risk - low	6	10	10	3	10	11	9	4	1			1	1	4	3					
Observations - high														0	0	0				
Observations - medium	2	1	1	2	1	1								0	0	0				
Observations - low		2	3	2	2						1			0	0	0				
Preliminary Concern														0	2	1				



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Final BHA IVV Findings Log - April 2019 Reporting Period

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
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.	<p>4/30/2019: IV&amp;V has no update on this risk for the April reporting period, as the state is awaiting feedback from CMS. This risk remains high for the April reporting period.</p> <p>3/29/2019: The BHA team met with the State's new CMS state officer at the Health IT Connect conference on March 19 for introductory purposes and to inform CMS that the updated IAPD will be sent to them the following week for review. Per MQD, a "final draft" version of the IAPD was sent to CMS (Stephen Chang, the State's new CMS Rep) the week of March 25, with the hope of an expedited review. This risk remains high for the March reporting period as the window for receiving CMS funding in time for the P2.1 and P2.2 go-live date of May 17th is no longer possible, due to the standard CMS review period of 60 days.</p>	Project Management	Risk	High	Open		0	Laurie Thornton
38	11/2/2018	<b>Service Level Agreements (SLA's) are unclear in the RSM contract</b>	SLAs were required by RFP Attachment 6, however RFP Attachment 6 was not included in the Final RSM contract. The RTM included in the contract depicts technical service levels, and points to the missing Attachment 6.	Agreed-to service levels are required for any and all projects, and it is clear that contractual agreement on SLAs is not in place for the BHA Project. If at any time during the DD&I or maintenance phases of the contract, if service levels do not meet those depicted in RFP Attachment 6, the State may have little to no compensatory recourse via associated Liquidated Damages clauses.	<p>DOH to coordinate with ETS to determine what SLAs are necessary for the state's enterprise agreement Microsoft.</p> <p>DOH to work with IV&amp;V and RSM to determine the service level agreements intended to be in the contract. IV&amp;V recommends that the output of this determination is a contractually binding agreement, such as a contract amendment.</p>	<p>4/30/2019: BHA remains in contact with both ETS and Microsoft. Currently, network performance and tuning exercises are planned for May 9 and May 10 with BHA, HISO, and Microsoft in attendance. IV&amp;V maintains that this is a medium issue, and will continue to monitor in May.</p> <p>3/29/2019: Progress continues to be made working this risk. In the March reporting period, BHA continued to work with ETS and now is working on a plan to conduct network testing to identify issues that could impact network performance. On the Microsoft side, progress is a bit slower, but BHA and ETS continue to work with MS to gain access to the information and available tools needed to improve solution performance as much as possible without making changes to the state's Enterprise Agreement. BHA and HISO will conduct two rounds of testing May, focusing on both network and system level performance. As RSM will soon be conducting application performance testing, and BHA and ETS are engaged in working this risk with MS as much as possible given the current EA, IV&amp;V is lowering this issue to a medium in the March reporting period.</p> <p>2/27/2019: BHA continues to work with ETS to get additional information regarding the State's Enterprise Agreement with Microsoft specific to performance standards. Based on information received from Microsoft, changes to the State's EA with Microsoft may be required to ensure that the State gets the needed performance SLAs. However, the State's EA is not set to be renegotiated for approximately 16 months, which means that significant change to the EA is not likely in the near future. In response to this, BHA is regularly working with Microsoft to improve interactions and response time, and recently has implemented a new streamlined approach to contacting Microsoft to get performance issues addressed. BHA and ETS plan to continue to work with Microsoft to improve Microsoft's commitment to performance levels and response time. This remains a high risk for the February Reporting period.</p> <p>1/31/2019: This finding remains open as a High Risk. BHA continues to work with both Microsoft and ETS to get more information regarding Microsoft's responsibilities and performance targets per the state's Enterprise Agreement (EA). The current state of the SLAs makes enforcement of critical SLAs, such as page load time, solution response time, etc., extremely difficult to monitor, track, and enforce. If additional EA details and requirements are not present, then this issue should be elevated to ETS as the current EA could have negative impacts on the INSPIRE/Max solution, as well as any other Microsoft product used by the state of HI.</p> <p>12/31/2018: IV&amp;V was informed that BHA has reached out to MS to get additional information, but to date,</p>	Project Management	Issue	Medium	Open			Darren MacDonald

Final BHA IVV Findings Log - April 2019 Reporting Period

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
39	11/2/2018	<b>Requirements to user stories' associations are inconsistent within TFS</b>	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that approximately 9% of the sample size (and thus, potentially the entire project) are missing required TFS relationships between requirements and all user stories. [This finding is related to requirements / user stories missing documentation.]	Inconsistent or incomplete documentation within TFS of the relationships between requirements and their elaboration in all user stories causes the RTM to be incomplete and/or incorrect. Without proper relationships being established within TFS for all requirements to their respective user stories, complete requirements traceability is unfortunately flawed.	DOH to work with IV&V and RSM to address all inconsistencies in requirements to user story relationships within TFS, in order to ensure that complete requirements traceability is established for the project. Incomplete traceability can cause missing requirements in the software.	<p>4/30/2019: IV&amp;V has no update on this risk for the April reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&amp;V will no longer track this risk.</p> <p>3/29/2019: IV&amp;V has no update on this risk for the March reporting period, and maintains this is a low risk to the project.</p> <p>2/27/2019: RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of 2/27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&amp;V's involvement in this effort remains on hold. This remains a low risk in the February Reporting period.</p> <p>1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January.</p> <p>12/31/2018: IV&amp;V was made aware that RSM and BHA agreed that this documentation will now be provided in January, as a result of RSM focusing December efforts on resolving and delivering on UAT defects and requests.</p> <p>11/27/2018: BHA and RSM agreed to determine why some requirements are not tied to user stories (i.e., due to requirement satisfaction via out-of-the-box functionality) and identify those that should be tied to user stories. It is IV&amp;V's understanding that a target of mid-December was decided on for providing updates on this effort.</p>	Requirements Management	Issue	Low	Open			Darren MacDonald
40	11/2/2018	<b>A subset of contractual requirements may not fully be included in user stories or the developed / configured BHA-ITS software.</b>	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that there are requirements that are not included in user stories and/or the BHA-ITS software. Initial RTM efforts indicate that this may affect upwards of 9% of the sample reviewed during the RTM effort. [This finding is related to requirements with no user stories.]	All RTM and contractual requirements need to be satisfied to ensure that the BHA-ITS solution to meets all intended business needs.	DOH to work with IV&V and RSM to address all inconsistencies in requirements implementation in user stories and the BHA-ITS software. Where gaps are mutually agreed to, IV&V recommends remediation via incorporation of all requirements determined to be missing in both user stories and the BHA-ITS software solution.	<p>4/30/2019: IV&amp;V has no update on this risk for the April reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&amp;V will no longer track this risk.</p> <p>3/29/2019: IV&amp;V has no update on this risk for the March reporting period, and maintains this is a medium risk to the project.</p> <p>2/27/2019: RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of February 27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&amp;V's involvement in this effort remains on hold. This remains a medium risk in the February Reporting period.</p> <p>1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January.</p> <p>12/31/2018: IV&amp;V was made aware that RSM and BHA agreed that this documentation will now be provided in January, as a result of RSM focusing December efforts on resolving and delivering on UAT defects and requests.</p> <p>11/27/2018 - DOH and RSM to meet to determine gaps and remediate.</p>	Requirements Management	Risk	Medium	Open			Darren MacDonald



Final BHA IVV Findings Log - April 2019 Reporting Period

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
47	12/31/2018	<b>The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met.</b>	ADA testing has not been planned or executed, and RSM currently does not plan to perform this set of contractual requirements.	ADA requirements are mandated by the Federal and State governments, and are imposed to ensure that visually impaired users can best utilize the system. If ADA testing is not performed in accordance with Section 508 of the Web Accessibility Guidelines Levels 1 and 2, RSM cannot ensure this requirement is met. In the worst case, visually impaired users would not be able to use the system.	IV&V recommends that DOH work with RSM to ensure this contractually required testing is adequately planned and executed prior to GO LIVE, to ensure ADA requirements will be met in production. If test results indicate issues, IV&V recommends remediation prior to GO LIVE.	<p>4/30/2019: Per April 30 RSM status report, ADA and Performance Testing planning was completed last week and ADA testing began last week and will continue at least the next two weeks. IV&amp;V has no additional updates on the execution of testing at this time, but will continue to monitor this low risk in the May reporting period.</p> <p>3/29/2019: RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what ADA Testing will focus on. Additionally, the vendor will incorporate ADA testing activities into each remaining project phase, beginning with P2.1 in April. IV&amp;V will continue to monitor this low risk until ADA Testing has been completed, and maintains this is a low risk to the project.</p> <p>2/27/2019: In February, RSM and BHA agreed to an acceptable ADA testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&amp;V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.</p> <p>1/31/2019: As part of its Transition Readiness Assessment (TRA), IV&amp;V reviewed the "MS Dynamics 365 WCAG" document provided by RSM to show that the INSPIRE/Max system meets ADA Section 508 requirements, and therefore ADA testing is not needed. IV&amp;V has discussed this risk with both RSM and the State and continues to recommend that ADA testing to address the nine components (out of 38 total) listed in the "MS Dynamics 365 WCAG" as "Met with Exceptions" are tested to determine if the solution as configured meets those components. If this level of testing is not performed and any exceptions to the requirements are not tested and identified, there is risk that both solutions are not fully compliant with ADA Section 508 requirements. BHA is including the requirement that RSM perform and report on the testing of the nine (9) ADA components marked "Met with Exceptions" in the "Deliverables List" for Years 2 and 3 in the current contract modification.</p> <p><i>New Finding as of the December 2018 Reporting Period</i></p>	Requirements Management	Risk	Low	Open			Darren MacDonald
48	12/31/2018	<b>The lack of performance testing prevents the State from validating that contractual performance requirements will be met.</b>	Performance testing has not been planned or executed, and RSM currently does not plan to perform this set of contractual requirements.	Performance testing is planned and executed to ensure that system response time requirements are met or exceeded. Without planning and executing performance testing, the likelihood of performance issues in production are likely to increase. At minimum, this could result in user adoption issues based on dissatisfaction with the system. In the worst case, this could result in performance issues that could prevent users from being able to complete tasks within the system. Performance issues were reported during UAT.	IV&V recommends that DOH work with RSM to ensure this contractually required testing is adequately planned and executed prior to GO LIVE, to ensure performance requirements will be met in production. If test results indicate issues, IV&V recommends remediation prior to GO LIVE.	<p>4/30/2019: Per April 30 RSM status report, ADA and Performance Testing planning was completed last week and Performance testing began last week and will continue at least the next two weeks. IV&amp;V has no additional updates on the execution of testing at this time, but will continue to monitor this low risk in the May reporting period.</p> <p>3/29/2019: RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what Performance Testing will focus on. BHA, ETS, and HISO are planning to conduct performance and tuning activities in the May timeframe to get a better understanding of network and system-level performance. IV&amp;V will continue to monitor this low risk until performance testing has been completed, and maintains this is a low risk to the project.</p> <p>2/27/2019: In February, RSM and BHA agreed to an acceptable performance testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&amp;V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.</p> <p>1/31/2019: IV&amp;V escalated this risk through the Transition Readiness Assessment (TRA) to both the State and RSM. IV&amp;V provided the contractual language requiring Performance Testing, and an associated results report, to both the State and RSM. IV&amp;V does not have any further update at the moment, however continues to recommend that this testing take place, and that this remains a High risk to the solution. BHA is including the requirement that RSM perform and report on Performance Testing in the "Deliverables List" for Years 2 and 3 in the current contract modification.</p>	Requirements Management	Risk	Low	Open			Darren MacDonald

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ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
49	12/31/2018	<b>The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met.</b>	Load testing has not been planned or executed, and RSM currently does not plan to perform this set of contractual requirements.	Load testing is planned and performed to ensure that user load capacity is met or exceeded. This is accomplished to mimic the volume of expected volumes of transactions at peak usage times of the day, and ensures that the number of planned concurrent users can adequately utilize the system in production within performance requirement thresholds. Without planning and executing load testing, the likelihood of load issues in production are likely to increase. At minimum, this could result in user adoption issues based on dissatisfaction with the system. In the worst case, this could result in load or capacity issues that could prevent users from being able to complete tasks within the system. Performance issues were reported during UAT, and without load capacity testing, it is unclear if load and/or capacity contributed to the performance issues.	IV&V recommends that DOH work with RSM to ensure this contractually required testing is adequately planned and executed prior to GO LIVE, to ensure load and capacity requirements will be met in production. If test results indicate issues, IV&V recommends remediation prior to GO LIVE.	4/30/2019: IV&V has no update to this risk for the April reporting period, but will continue to monitor this low risk as load testing is planned for and executed during Phase 2.  3/29/2019: RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what Load Testing will focus on. BHA has been made aware of restrictions that Microsoft places on some of its products that limits the scope of load testing that customers can perform. These limitations will need to be understood, documented, and planned for prior to execution of load testing. IV&V will continue to monitor this low risk until load testing has been completed, and maintains this is a low risk to the project.  2/27/2019: In February, RSM and BHA agreed to an acceptable load testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.  1/31/2019: IV&V escalated this risk through the Transition Readiness Assessment (TRA) to both the State and RSM. IV&V provided the contractual language requiring Load Testing, and an associated results report, to both the State and RSM. IV&V does not have any further update at the moment, however continues to recommend that this testing take place, and that this remains a High risk to the solution. BHA is including the requirement that RSM perform and report on Load Testing in the "Deliverables List" for Years 2 and 3 in the current contract modification.	Requirements Management	Risk	Low	Open			Darren MacDonald
56	2/28/2019	<b>BHA Report Writing Responsibilities</b>	A portion of the Phase 2 report writing (based on report complexity and assigned US Points) is the responsibility of BHA, with 2.25 FTE being required. BHA is currently concerned that they do not have staff with sufficient knowledge of SQL Server Reporting Services (SSRS) to fulfill this task.	If BHA staff does not have the knowledge and/or experience with SSRS to write the needed reports and complete them when needed, there could be impacts to both DDD and CAMHD business operations, which could lead to impacts on both project and program staff.	BHA must determine what reports are needed by when, and develop a prioritized order for report development. Then, BHA must determine if there are any knowledge gaps in developing the reports that needs to be addressed, and develop a plan to implement training before writing activities begin.	4/30/2019: IV&V was informed by BHA and RSM that significant progress was made by BHA on writing P2.1 and P2.2 reports in April. As of the end of April, BHA was approximately 30 user story point behind pace for P2.1 reports. Currently on track with the original baselined reports anticipated for the upcoming release. A Power BI training session was provided to CAMHD and DDD staff, with another training planned for early June. IV&V is encouraged by the progress but due to the project still being behind pace for hitting P2.1 report targets, further investigation is needed. IV&V will prioritize attending the daily Report Writing stand-up meeting in May while continuing to determine the validity for this concern.  3/29/2019: BHA has identified the resources that will be responsible for report writing, and training sessions have been scheduled. IV&V will continue to evaluate this concern in the April reporting period, but is not escalating to a risk as more time is needed to determine the availability of resources and their ability to fulfill report writing responsibilities.  New preliminary concern as of the February 2019 reporting period.	Design & Development	Preliminary Concern	N/A	Open		P2 IT1	Brian Nagy
57	3/29/2019	<b>DDD End User Training for LifeCourse methodology</b>	The core functionality of the Phase 2.1 release is specific to the LifeCourse methodology, which is a new way of doing business to be adopted by DDD case managers.	If DDD case managers are not sufficiently trained on the LifeCourse methodology prior to the release of the 2.1 functionality, there is risk that the case managers will not be able to perform their expected job duties, which could have a profoundly negative impact on user adoption of the INSPIRE system. As of March 29, training plans and details are in process of being developed, with a round of LifeCourse training scheduled to start the week of April 8. Additional training details are being worked out and a DDD INSPIRE Training Calendar has been developed.	Finalize and publicize the dates and details of the LifeCourse training for case managers, to be completed prior to the beginning of DDD end user training.	4/30/2019: IV&V is aware that DDD has identified the need for more training for Case Managers on the business processes changes that are at the core of the P2.1 release (including LifeCourse methodology ISPs, and Service Authorizations), prior to the P2.1/P2.2 early use date of May 20. Upon completion of early training in April, it was determined by DDD that the LifeCourse methodology, combined with the new approach to ISPs, Service Authorizations, and Calculator 3.0, is more complicated than originally thought to be and necessitates additional training to ensure proper user adoption. DDD is in process of developing and re-working critical training documentation such as the training calendar, instructional materials, and the training plan, and IV&V will review and provide feedback as it is received. Additionally, due to the need for remedial training for some Case Managers, and the complicated nature of the P2.1 training content, IV&V recommends that DDD consider ramping up its post go-live training support to further ensure Case Managers have sufficient access to business and solution help. Due to the criticality of the LifeCourse methodology to DDD business operations and success of the P2.1/P2.2 functionality, IV&V is escalating this to a high risk for the April reporting period.	Organizational Change Management	Risk	High	Open		P2.1	Brian Nagy
58	3/29/2019	<b>Lack of Provider Portal reporting capabilities</b>	The Microsoft Portal does not offer the needed functionality for Provider Portal Users to generate the necessary reports, which is currently preventing US #7229 from being fulfilled. RSM is currently working on a solution and discussions with Microsoft of options are ongoing, but the most probable resolution will likely require custom coding and buying additional licenses to use the Microsoft Flow tool.	This functionality gap will prevent Providers from generating needed reports specific to their customers in real-time. There are a limited number of available workarounds to address this solution, all of which will require significant manual work (i.e., custom code, integration of ancillary applications and/or api, etc.) on the part of RSM, and potentially CRM users. Currently, it looks like purchasing Microsoft Flow licenses in order to bridge the gap between CRM, SharePoint, and the Provider Portal will be necessary, which could have cost and resource impacts. Should the Flow tool not be a viable solution, contingency planning has begun with the discussion of moving 2.1 and 2.2 User Stories into phase 2.3 and 2.4 to allow for RSM to focus on any custom development that would be needed to devise a solution.	RSM should continue to actively work on the resolution for the delivering Provider Portal reporting requirements – whether that be custom development or using the MS Flow tool – and stay in regular communication with BHA regarding both progress. Until a solution is solidified, contingency planning should continue to plan for the worst case scenario.	4/30/2019: RSM and BHA have been actively working together to develop a resolution for the Provider Portal reporting limitation. As of the week of 4/15, RSM had identified and tested a resolution that would satisfy these requirements. Going forward and until the MS Flow application is available, the project will limit the amount of custom code and configuration as much as possible, in an effort to make any future transition to using Flow as seamless as possible. IV&V is encouraged by the progress made on this risk, however maintains that this remains a medium risk for the April reporting period, and will continue to monitor through testing of the resolution.  New risk as of the March 2019 reporting period	Design & Development	Risk	Medium	Open		P2.1 and P2.2	Brian Nagy

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ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
59	3/29/2019	<b>Project transition from WaterScrumFall to full agile approach</b>	Starting with P2.2, the project will adopt a full agile approach to development, testing, and training. This represents a significant shift in how state resources will be involved with and responsible for aspects of testing and training.	In addition to the shift in project approach, there will be three concurrent workstreams being worked in unison by RSM and the State: M&O, P2.1 testing, and P2.2 development and testing. This will require a significant increase in weekly testing throughput of (currently) 14 USP to (projected) 79 USP. Planning and strategy documentation has been developed and is being shared, and resource planning and estimation is under way. However, the change in approach introduces new challenges to the project team such as adopting agile processes, the State owning all aspects of training, and the	The vendor and BHA must ensure that all new agile processes, and the related roles and responsibilities, are thoroughly documented, communicated, and understood by project team members. For those project resources who may be inexperienced in agile, the project should consider offering coaching or training to ensure velocity does not suffer.	4/30/2019: The project began P2.2 development, and therefore adopted the new full agile approach, in early April. Thus far, the transition has not negatively impacted the project. IV&V continues to monitor the project's burndown rate for dev, M&O, and report writing, as well as monitors the progress on training and testing. As of the April reporting period, IV&V is encouraged by what has been seen to date, however, would like to continue to monitor this risk through the P2.1/2.2 go-live to fully understand the changes and impacts to the project resulting from this transition.  New risk as of the March 2019 reporting period	Project Management	Risk	Medium	Open		P2	Brian Nagy