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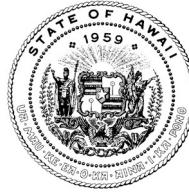GOVERNOR

DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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June 19, 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 (Jun 19, 2019)

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (2)

Hawaii BHA Integrated Case Management System Project

Final IV&V Findings for the period of
May 1 - 31, 2019

:

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Overview

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

Executive Summary

IV&V observed continued progress in the May reporting period, as the project deployed the "UAT Staging for Prod" environment providing DDD early access to a near-production-like solution and prepared for full deployment of P2.1/P2.2. Despite some obstacles (e.g., unannounced Microsoft deployment which is impacting the date/time fields on Contact Notes), the project closed out May with no critical or high severity defects. Additionally, IV&V observed improvements in DDD's approach to providing support at go-live for both "UAT Staging for Prod" and P2.1/P2.2, and learned more about their plans for ongoing end user support and education after go-live.

IV&V continues to monitor a number of project risks, most notably the status of the IAPD and its impact on project funding. Overall, IV&V opened one new risk (promotion of a preliminary concern to a risk) and escalated an existing risk to a medium severity, but also reduced the severity of 4 open findings due to sustained progress.

Mar 19	Apr 19	May 19	Process Areas	IV&V Observations	Overall Health
H	H	H	Project Management	The May 2019 reporting period risk rating and the Overall Health rating for the Project Management process area remain a high (red) rating due to the IAPD pending CMS review and approval. CMS contacted DHS during the reporting period to request additional information to support their review, which was provided on May 31, 2019. With the exception of the IAPD, the Project Management process area is progressing satisfactorily. The project teams (RSM, DDD, and CAMHD) are executing against the project requirements and timeline adequately, and improvement in communication, understanding, teamwork, and integration is continuing.	R
M	M	M	Requirements Management	The May 2019 reporting period risk rating and the Overall Health rating for the Requirements Management process area remain a medium (yellow) rating. IV&V reviewed RSM's ADA, Performance, and Load Testing results document and submitted comments to BHA to obtain additional information on the testing approach and results.	Y

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Executive Summary

Mar 19	Apr 19	May 19	Process Areas	IV&V Observations	Overall Health
M	M	L	Design and Development	The May 2019 reporting period risk rating for the Design and Development process and the overall health of the Design and Development process area both have been downgraded to a low (green) rating. The project has identified a resolution for the ongoing Provider Portal Reporting user story, scheduled for the P2.3 release. IV&V escalated a preliminary concern regarding report writing to a low risk as the progress of report development is behind schedule and continues to fluctuate.	G
L	L	L	Test Management	The May 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.	G
M	M	M	Data Management	The May 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 continues to monitor the risk regarding the need to merge approximately 25 data elements from 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.	G
M	H	M	Organizational Change Management	The May 2019 reporting period risk rating for OCM has been downgraded to a medium (yellow) rating while the Overall Health rating remains at a medium (yellow) rating. IV&V and DDD met multiple times to discuss DDD's approach to training and post-go-live support for INSPIRE. IV&V also attended a training session and was satisfied with the approach and quality of the training delivery. IV&V observed improvement in this area and will continue to monitor OCM activities.	Y

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Executive Summary

As of the May 2019 reporting period, IV&V has 13 open findings: 11 risks (1 high, 5 medium, 5 low) and 2 issues (both low).

IV&V did not close any findings in the May reporting period.

To date, IV&V has identified a total of 61 findings (10 issues, 43 risks, 7 observations, and 1 preliminary concern) on the project; 48 of which have been closed.

IV&V Findings by Status

	New	Open	Closed
Test Management			6
Project Management		3	26
Data Management			3
Requirements Management		5	4
Organizational Change Management		1	4
Design & Development		2	5
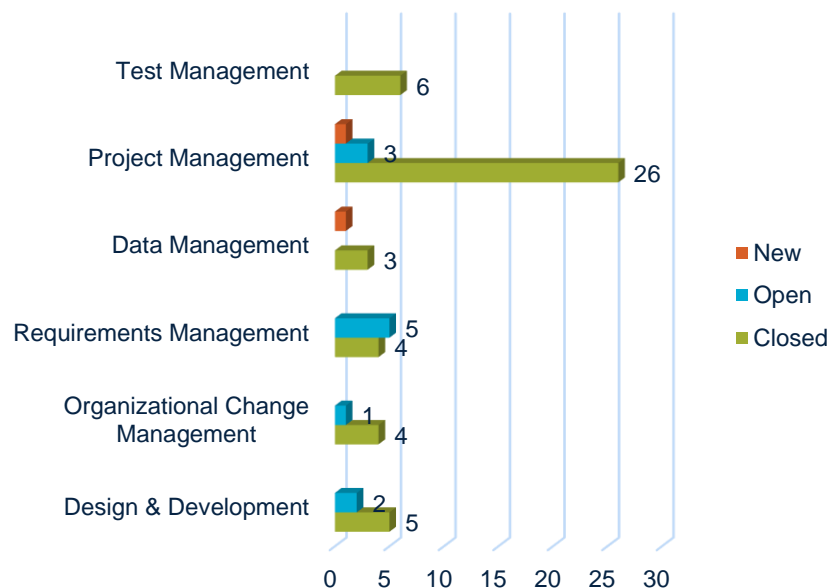
Open IV&V Findings by Criticality

	High	Medium	Low
Project Management	1	1	2
Data Management		1	
Requirements Management		2	3
Organizational Change Management		1	
Design & Development			2
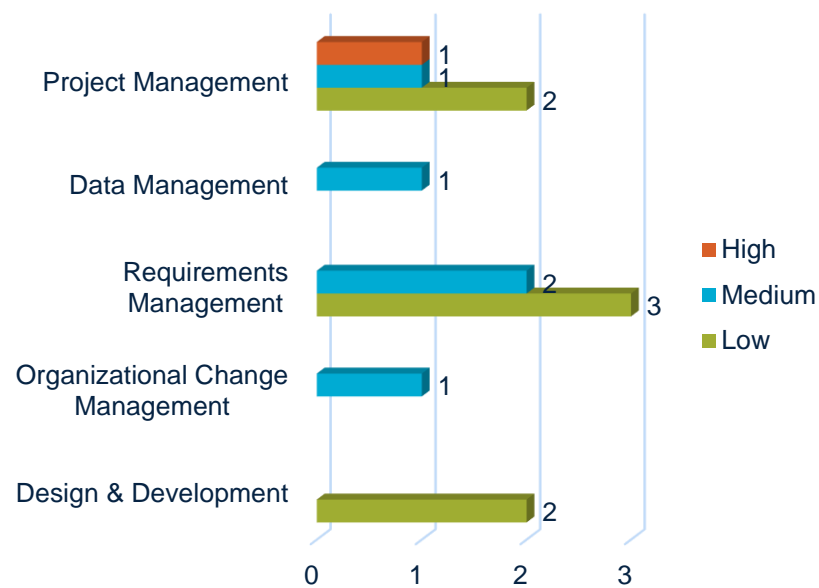
See Appendix C for trend data related to IV&V's monthly ratings for findings and overall project health.

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

- Test Management

- Data Management

- Organizational Change Management

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
19	**Access to enhanced federal funding may impact the project budget and/or scope:** [*Lead Entity: State*] The status of the IAPD and the possibility of receiving federal reimbursement for the project continues to be unknown. CMS contacted DHS on 5/29 requesting traceability between the 11/8 RAI and the 3/25 IAPD. DOH provided this information to DHS for submittal to CMS the last week of May. IV&V maintains this is a high risk to the project, and will continue to monitor.	**H**
38	**Service Level Agreements (SLAs) are insufficiently documented:** [*Lead Entity: State*] Network performance and tuning activities were performed by BHA, ETS, and MS during the second week of May. The testing identified some network-related items that can be addressed to improve performance, as well as hardware issues that DOH is working with ETS to address. All-in-all, the performance of the network appears to be sufficient for current and planned usage. The next recommended step is for BHA to document the steps taken to address the gap in SLAs in the contract, and what is planned for the future State Enterprise Agreement. Due to the continued attention to resolve this issue and continued forward progress, IV&V is lowering this to a low issue for the May reporting period.	**L**

IV&V Findings and Recommendations

Project Management (cont'd.)

#	Key Findings	Criticality Rating
59	**Project transition from WaterScrumFall to full Agile approach** [*Lead Entity: Shared*]. Thus far, the project seems to be adapting well to the agile development and testing approach. When obstacles to dev and testing are identified during daily scrum calls, the project does a good job of adapting and shifting as quickly as possible. A key to agile is communication, which remains strong between RSM and BHA. IV&V will continue to monitor this risk as the project ramps up on P2.3 dev, testing and training, but at this time, is downgrading this finding to a low risk.	L
60	**Changes to P2.1/P2.2 go-live approach impact on P1 M&O** [*Lead Entity: Vendor*]. Due to the no-cost change in scope to the P2.1/P2.2 go-live, a significant number of USPs (92) that were identified as part of M&O have been added to the product backlog and must now be prioritized in relation to the P2.1/P2.2 M&O and P2.3 user stories. The plan for addressing these USPs includes increasing P2.1/P2.2 M&O weekly capacity. Additionally, RSM created a new environment to continue P2.3 dev work during the code freeze, and has added a development resource to help fast track some of the work. IV&V will continue to monitor this risk and the progress made to address the USPs added to the backlog, and maintains this is a medium risk as of the May reporting period.	M

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IV&V Findings and Recommendations

Project Management (cont'd)

Recommendations	Progress
• Continue to seek approval for federal funding reimbursement via the IAPD. Based upon CMS' decision, update DOH's Cost Allocation Plan as appropriate.	In process
• Continue to work with HISO, ETS, and Microsoft to pursue available improvements to reinforce network stability and performance.	In process
• Strongly consider acquiring an IT Service Management (ITSM) tool to support and empower current Help Desk operations, as well as support future M&O efforts at BHA.	In process
• Thoroughly document and communicate the new agile processes and related roles and responsibilities. Ensure an understanding by the project team members and consider offering agile coaching or training to resources as required to ensure velocity of the project does not suffer.	In process
• RSM and BHA should produce 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.	In process

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IV&V Findings and Recommendations

Requirements Management

#	Key Findings	Criticality Rating
39	**Requirements to user stories' associations are inconsistent within TFS** *[Lead Entity: Vendor]*: IV&V has no update on this risk for the May 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 update this risk.	L
40	**A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software** *[Lead Entity: Vendor]*: IV&V has no update on this risk for the May 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 update this risk.	M
47	**The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met** *[Lead Entity: Vendor]*. IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V identified what appears to be multiple gaps in both the planning and the execution of ADA testing, which are noted in the DCF. IV&V needs further clarification from RSM on the testing approach and execution before changing the status of this risk. As of the May reporting period, this remains a low risk to the project.	L

IV&V Findings and Recommendations

Requirements Management (cont'd)

#	Key Findings	Criticality Rating
48	**The lack of performance testing prevents the State from validating that contractual performance requirements will be met** *[Lead Entity: Vendor]*. IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V identified what appears to be multiple gaps in both the planning and the execution of performance testing, which are noted in the DCF. IV&V needs further clarification from RSM on the performance testing approach and execution before changing the status of this risk. As of the May reporting period, this remains a low risk to the project.	L
49	**The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met** *[Lead Entity: Vendor]*. IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V identified that the deliverable does not include any information concerning the planning for and execution of Load and Capacity testing, and as a result has increased the priority of this this finding to medium. IV&V recommends RSM work with BHA and Microsoft as needed to perform Load and Capacity Testing in accordance with contract terms.	M

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IV&V Findings and Recommendations

Requirements Management (cont'd)

Recommendations	Progress
• Identify inconsistencies in requirements to user story relationships within TFS in order to ensure that complete requirements traceability is established for the project.	Not started
• 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.	Not started
• DOH work with RSM to ensure all contractually required testing is adequately planned and executed as specified in the contract	In process
• 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.	In process
• RSM should work with BHA as needed to perform Load and Capacity Testing in accordance with contract terms.	**New**

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IV&V Findings and Recommendations

Design and Development

#	Key Findings	Criticality Rating
56	**New Risk -** **BHA Report Writing Responsibilities** *[Lead Entity: State].* Report writing progress continues, but is behind schedule. However, there are no critical/show stopper reports that are not ready for P2.1/P2.2 release. Reports scheduled for P2.1/P2.2 that are not ready will be re-scoped for release in P2.3 or P2.4. At this point, IV&V is escalating this finding to a low risk due to the fluctuating nature of progress observed over the past two months, but will continue to monitor the progress made for the P2.3 release.	L
58	**Lack of Provider Portal reporting capabilities** *[Lead Entity: Vendor].* Despite a joint effort between BHA and RSM, a resolution for the Provider Portal US was not able to be developed in time to sufficiently test the functionality prior to P2.1/P2.2 code freeze. DDD, CAMHD, and RSM unanimously agreed that this is not showstopper functionality, and this US is now scoped for release as part of P2.3. This US should not pose much risk going forward. IV&V will continue to monitor this risk until development and testing is resolved, but is downgrading to a low risk as the project is confident that this functionality will be ready for P2.3.	L

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IV&V Findings and Recommendations
Design and Development (cont'd.)

Recommendations	Progress
• 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.	In process
• BHA should continue to monitor report writing progress and adjust staff allocation as needed to ensure that all reports are completed and ready by their needed date.	**New**
• 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.	In process

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IV&V Findings and Recommendations

Test Management

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

IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
61	**Merging of P2.1/P2.2 production data and "UAT Staging for Prod" data at go-live** [*Lead Entity: Vendor*]. Approximately 25 data elements are to be merged from the "UAT Staging for Prod" environment into the PROD environment prior to the P2.1/P2.2 go-live. This is planned to begin on 5/31 in time to be completed prior to go-live on 6/3. The project has been planning for this effort, however, IV&V will continue to monitor until after go-live to verify the planning and processes are executed, and the data elements from the Staging environment are successfully moved to PROD.	(M)

Recommendations	Progress
• 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.	Completed

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IV&V Findings and Recommendations

Organizational Change Management

#	Key Findings	Criticality Rating
57	**DDD End User Training on business process and solution changes** *[Lead Entity: State].* DDD has and continues to make improvements in its training, go live, and post-go live support approach. DDD has ramped up resources to support training sessions, and has conducted several solution and business (ISP and Service Auth) trainings. Daily support Zoom lines are available for DDD end users to get help with both solution and business obstacles. Some questions still remain about the usage rates for the "UAT Staging for Prod" environment and how end user readiness will be measured and evaluated. Overall, IV&V is aware of the effort and improvements made in the training approach, and will focus on the ongoing approach to supporting DDD end users after the P2.1/P2.2 go live and the long-term approach to user support and education. As of the May reporting period, IV&V is downgrading this risk to a Medium.	M

Recommendations	Progress
• 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.	Complete
• DDD should continue to ramp 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, and over the long term.	In process

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.

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Appendix A (cont'd.)

Criticality Ratings

Criticality Rating	Definition
H	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.
M	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.
L	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 May 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 May 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. P2.2+ Iteration 0 - Iteration Plan
9. Iteration Plan Phase 2.1 v2
10. Phase 2.1 System Integration Test _ Regression Test Plan v1.3
11. Phase 2 Release 2 Iteration Test Plan v1.1
12. P2.1 I1 Defect Log
13. P2.1 I1 Backlog Report
14. P2.1 I1 Unit Test Results Report
15. P2.2 Iteration 1 Iteration Plan
16. INSPIRE P2.1 Training Slides
17. INSPIRE P2.1 Training Exercises
18. Phase 2.1 Iteration 3 Deliverable Expectations Document (DED)

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	Sep
Project Management	Y	Y	G	G	Y	G	Y	Y	Y	Y	Y	R	R	R	R	R	R				
Requirements Management	Y	G	G	G	Y	G	G	G	G	Y	Y	R	R	Y	Y	Y	Y				
Design and Development	Y	Y	G	G	Y	Y	Y	Y	G	G	G	G	G	G	Y	Y	G				
Testing					G	G	Y	Y	Y	G	Y	Y	Y	G	G	G	G				
Data Management					G	G	Y	Y	Y	Y	Y	Y	Y	G	G	G	G				
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R	Y	Y	Y	Y	Y	G	Y	Y	Y				
Total Open Findings	**18**	**17**	**19**	**17**	**17**	**15**	**17**	**12**	**9**	**9**	**10**	**13**	**13**	**13**	**12**						
Issue - high							1		1	1	1	1	1	2	0						
Issue - medium			1	1	2	4	5	4	1	0	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						

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
19	09/01/17	**Federal funding risk** [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.	5/31/2019: The status of the IAPD and the possibility of receiving federal reimbursement for the project continues to be unknown. CMS contacted DHS on 5/29 requesting traceability between the 11/8 RAI and the 3/25 IAPD. DOH provided this information to DHS for submittal to CMS on 5/31/19. IV&V maintains this is a high risk to the project, and will continue to monitor. 4/30/2019: 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. 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	Project Management	Risk	High	Open		0	Laurie Thornton
38	11/2/2018	**Service Level Agreements (SLA's) are unclear in the RSM contract**	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.	DOH to coordinate with ETS to determine what SLAs are necessary for the state's enterprise agreement Microsoft. DOH to work with IV&V and RSM to determine the service level agreements intended to be in the contract. IV&V recommends that the output of this determination is a contractually binding agreement, such as a contract amendment.	5/31/2019: Network performance and tuning activities were performed by BHA, ETS, and MS during the second week of May. The testing identified some network-related items that can be addressed to improve performance, as well as hardware issues that DOH is working with ETS to address. All-in-all, the performance of the network appears to be sufficient for current and planned usage. The next recommended step is for BHA to document the steps taken to address the gap in SLAs in the contract, and what is planned for the future State Enterprise Agreement. Due to the continued attention to resolve this issue and continued forward progress, IV&V is lowering this to a low issue for the May reporting period. 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&V maintains that this is a medium issue, and will continue to monitor in May. 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&V is lowering this issue to a medium in the March reporting period. 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. 1/31/2019: This finding remains open as a High Risk. BHA continues to work with both Microsoft and ETS to	Project Management	Issue	Low	Open			Darren Macdonald

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
39	11/2/2018	Requirements to user stories' associations are inconsistent within TFS	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.	4/30/2019: 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. 3/29/2019: IV&V has no update on this risk for the March reporting period, and maintains this is a low risk to the project. 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&V's involvement in this effort remains on hold. This remains a low risk in the February Reporting period. 1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January. 12/31/2018: IV&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. 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&V's understanding that a target of mid-December was decided on for providing updates on this effort.	Requirements Management	Issue	Low	Open			Darren Macdonald
40	11/2/2018	A subset of contractual Requirements may not fully be included in user stories or the developed / configured BHA-ITS software.	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.	4/30/2019: 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. 3/29/2019: IV&V has no update on this risk for the March reporting period, and maintains this is a medium risk to the project. 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&V's involvement in this effort remains on hold. This remains a medium risk in the February Reporting period. 1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January. 12/31/2018: IV&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. 11/27/2018 - DOH and RSM to meet to determine gaps and remediate.	Requirements Management	Risk	Medium	Open			Darren Macdonald

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
47	12/31/2018	**The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met.**	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.	5/31/2019: IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V identified what appears to be multiple gaps in both the planning and the execution of ADA testing, which are noted in the DCF. IV&V needs further clarification from RSM on the testing approach and execution before changing the status of this risk. As of the May reporting period, this remains a low risk to the project.

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&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.

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&V will continue to monitor this low risk until ADA 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 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&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.

1/31/2019: As part of its Transition Readiness Assessment (TRA), IV&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&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. | Requirements Management | Risk | Low | Open | | | Darren Macdonald |
| 48 | 12/31/2018 | **The lack of performance testing prevents the State from validating that contractual performance requirements will be met.** | 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. | 5/31/2019: IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V identified what appears to be multiple gaps in both the planning and the execution of performance testing, which are noted in the DCF. IV&V needs further clarification from RSM on the performance testing approach and execution before changing the status of this risk. As of the May reporting period, this remains a low risk to the project.

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&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.

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&V will continue to monitor this low risk until performance 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 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&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 Performance 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 Performance Testing in the "Deliverables List" for Years 2 and 3 in the current contract modification. | Requirements Management | Risk | Low | Open | | | Darren Macdonald |

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
49	12/31/2018	**The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met.**	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.	5/31/2019: IV&V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&V identified that the deliverable does not include any information concerning the planning for and execution of Load and Capacity testing, and as a result has increased the priority of this this finding to medium. IV&V recommends RSM work with BHA and Microsoft as needed to perform Load and Capacity Testing in accordance with contract terms. 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	Medium	Open			Darren Macdonald
56	2/28/2019	**BHA Report Writing Responsibilities**	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 a implement training before writing activities begin.	5/31/2019: Report writing progress continues, but is behind schedule. However, there are no critical/show stopper reports that are not ready for P2.1/P2.2 release. Reports scheduled for P2.1/P2.2 that are not ready will be re-scoped for release in P2.3 or P2.4. At this point, IV&V is escalating this finding to a low risk due to the fluctuating nature of progress observed over the past two months, but will continue to monitor the progress made for the P2.3 release. 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	Risk	Low	Open		P2 IT1	Brian Nagy

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
57	3/29/2019	**DDD End User Training for LifeCourse methodology**	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.	5/31/2019: DDD has and continues to make improvements in its training, go live, and post-go live support approach. DDD has ramped up resources to support training sessions, and has conducted several solution and business (ISP & Service Auth) trainings. Daily support Zoom lines are available for DDD end users to get help with both solution and business obstacles. Some questions still remain about the usage rates for the "UAT Staging for Prod" environment and how end user readiness will be measured and evaluated. Overall, IV&V is aware of the effort and improvements made in the training approach, and will focus on the ongoing approach to supporting DDD end users after the P2.1/P2.2 go live and the long-term approach to user support and education. As of the May reporting period, IV&V is downgrading this risk to a Medium.

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.

New risk as of the March 2019 reporting period. | Organizational Change Management | Risk | Medium | Open | | P2.1 | Brian Nagy |
| 58 | 3/29/2019 | **Lack of Provider Portal reporting capabilities** | 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. | 5/31/2019: Despite a joint effort between BHA and RSM, a resolution for the Provider Portal US was not able to be developed in time to sufficiently test the functionality prior to P2.1/P2.2 code freeze. DDD, CAMHD, and RSM unanimously agreed that this is not showstopper functionality, and this US is now scoped for release as part of P2.3. This US should not pose much risk going forward. IV&V will continue to monitor this risk until development and testing is resolved, but is downgrading to a low risk as the project is confident that this functionality will be ready for P2.3.

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. | Design & Development | Risk | Low | Open | | P2.1 and P2.2 | Brian Nagy |
| 59 | 3/29/2019 | **Project transition from WaterScrumFall to full agile approach** | 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 elimination of UAT in favor of integrated QA testing. | 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. | 5/31/2019: Thus far, the project seems to be adapting well to the agile development and testing approach. When obstacles to dev and testing are identified during daily scrum calls, the project does a good job of adapting and shifting as quickly as possible. A key to agile is communication, which remains strong between RSM and BHA. IV&V will continue to monitor this risk as the project ramps up on P2.3 dev, testing and training, but at this time, is downgrading this finding to a low risk.

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. | Project Management | Risk | Low | Open | | P2 | Brian Nagy |