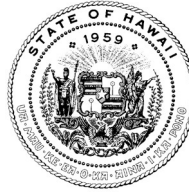


DAVID Y. IGE
GOVERNOR



DEPT. COMM. NO. 78
DOUGLAS MURDOCK
CHIEF INFORMATION
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August 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 (Aug 22, 2019)

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
July 1 - 31, 2019*

Overview









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

Executive Summary

The project continued down the path towards project closeout with successful Phase 2.3 releases in July, and continued planning efforts regarding User Story swaps and prioritization for Phase 2.4. The project teams continue to work collaboratively and effectively to build, test, and deploy to production, coupled with on-the-job training for BHA resources in these and other disciplines.

IV&V completed its Transition Readiness Assessment #2 (TRA2) and found that BHA, in general, has the knowledge and skills requisite to own and operate the BHA-ITS solution, however, is lacking practical experience and/or sufficient resources to manage many key processes such as test management, release planning and management, system architecture planning and support, and project management. Due to this, IV&V has opened a new high risk, and strongly recommends that BHA evaluate options to increase the number of resources to manage and operate the solution after RSM's departure.

In addition to the project's transition to M&O, concerns regarding project funding remain. Although discussions with CMS occurred during this reporting period, the outcome of DOH's funding request is unclear. Overall, IV&V closed three findings in the July report, and again saw sustained improvement in project progress and collaboration. As the project nears closeout, IV&V will focus more critically on key project closeout activities such as knowledge transfer, requirements sign-off, and M&O preparation.

May 19	Jun 19	July 19	Process Areas	IV&V Observations	Overall Health
			Project Management	The July 2019 reporting period risk rating and the Overall Health rating for the Project Management process area remain high (red). Project funding (enhanced FFP) is still at risk. Additionally, IV&V has opened a new risk regarding insufficient BHA resources to support State-Managed M&O.	
			Requirements Management	The July 2019 reporting period risk rating and the Overall Health rating for the Requirements Management process area remain medium (yellow). IV&V closed out risks related to ADA and Performance testing as the project successfully completed, and continues to conduct, this testing. Remaining risks are specific to Phase 1 requirements verification, which the state has not yet begun, and limitations to the project's ability to perform Load Testing, due to Microsoft restrictions.	

Executive Summary

May 19	Jun 19	July 19	Process Areas	IV&V Observations	Overall Health
L	L	L	Design and Development	The July 2019 reporting period risk rating and the Overall Health rating of the Design and Development process area remain low (green). While the project is now just about caught up on planned User Story development, QA testing has fallen behind schedule. RSM is now shifting development resources over to assist QA testing in an effort to make up ground. BHA report development and testing, is also behind schedule, but does not currently pose a significant risk to project functionality or go-live dates.	G
L	L	L	Test Management	The July 2019 reporting period risk rating and the Overall Health rating for the Test Management process area remain low (green) as IV&V does not have any active findings.	G
M	L	L	Data Management	The July 2019 reporting period risk rating and the Overall Health rating for the Data Management process area remain low (green) as IV&V does not have any active findings.	G
M	M	M	Organizational Change Management	The July 2019 reporting period risk rating and the Overall Health rating for OCM remain at a medium (yellow) rating. DDD again is working to improve their approach to ongoing user support and education, as they continue to offer training opportunities for INSPIRE users, and plan to roll out the INSPIRE Wiki site the first week of August. Additionally, DDD leadership is working to ensure better governance of the INSPIRE solution, focusing on stronger communication with end users, and enforcement of policies requiring system usage. IV&V is encouraged by the progress shown but would like to monitor this risk for another month in hopes of seeing further growth and improvement.	Y

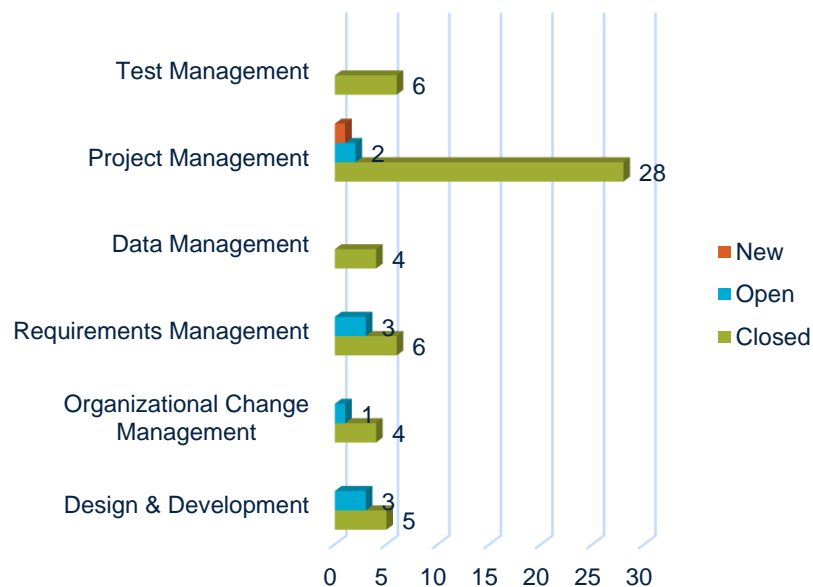
Executive Summary

As of the July 2019 reporting period, IV&V has 10 open findings: 7 risks (2 high, 2 medium, 3 low), 2 issues (both low) and 1 preliminary concern.

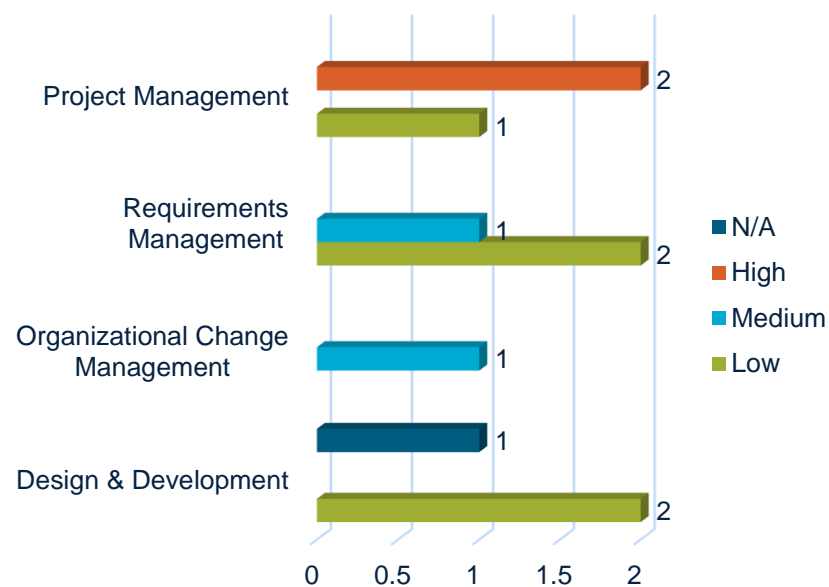
IV&V opened 1 high risk, and closed 3 risks in the July reporting period (1 medium, 2 low).

To date, IV&V has identified a total of 63 findings (10 issues, 43 risks, 7 observations, and 2 preliminary concerns) on the project; 53 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



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]. During this reporting period DOH was informed that CMS accepted Hawaii's response to the Request for Additional Information (RAI) based on the BHA Integrated Case Management System IAPD (submitted in March 2019 and December 2018) with no further questions. DHS and DOH plan to meet with CMS representatives to confirm next steps; access to federal funding remains unknown as of the end of this reporting period.	
38	Service Level Agreements (SLAs) are insufficiently documented: [Lead Entity: State]. IV&V maintains that until the Enterprise Agreement (EA) with Microsoft can be updated and performance requirements can be improved, this will remain a low risk to the project. BHA, ETS, and HISO are managing this risk and are doing what they can to ensure network capabilities and solution performance are optimized, within the limitations given the current EA. IV&V will no longer update this risk on a monthly basis, but will continue to monitor for improvements made, or changes to the EA.	
60	Closed - Changes to P2.1/P2.2 go-live approach impact on P1 M&O [Lead Entity: Vendor]. Swaps for Phase 2.4 have been made, and the remaining backlog has been prioritized. Swaps were made based on urgency, with those items either of lower urgency, or those dependent on unprepared external parties, have been deferred to post-Phase 2.4. It is IV&V's understanding the BHA and RSM have engaged in talks regarding a "Phase 3" to occur in the future that would address the outstanding backlog items. As the User Story swaps have been made, and the remaining User Stories have been prioritized and scope, IV&V is closing this risk , however, will continue to monitor development efforts through the life of the contract.	Closed

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
63	<p>New Risk – As a result of BHA project resources not having sufficient bandwidth to assume full ownership of the BHA-ITS solution, the state may be ill-equipped to provide the level of support needed to maintain and operate the solution. [Lead Entity: State]. RSM's contract is scheduled to end on September 23, 2019. At that point, positions that are currently filled by outside contractors (RSM and DataHouse) will be vacated. Some of these positions (and associated functions) include:</p> <ul style="list-style-type: none">• Project Management• Test Planning and Management• Release Planning and Management• System Architecture activities• Business Analyst support activities• Technical Analyst support activities <p>In response to this risk, BHA is currently making a concerted effort to build up their workforce resources' knowledge and skill-sets on critical processes and concepts. This is being accomplished via on-the-job training with RSM, Microsoft training, and in documentation efforts. Additionally, since approximately May 2019, BHA has been discussing post-Phase 2 support options with RSM, and as of the issuance of this report, is fully engaged in discussions with RSM regarding a new contract modification for post-Phase 2 M&O work to ensure BHA has the appropriate level of support for both M&O and the ability to meet anticipated future business needs in the system.</p> <p>If BHA is unable to fill/perform these functions, there is risk that the solution will not be sufficiently supported and unable to meet the needs of DDD and CAMHD.</p>	

IV&V Findings and Recommendations

Project Management (cont'd)

Recommendations	Progress
<ul style="list-style-type: none">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
<ul style="list-style-type: none">Continue to work with HISO, ETS, and Microsoft to pursue available improvements to reinforce network stability and performance.	In process
<ul style="list-style-type: none">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
<ul style="list-style-type: none">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.	Completed
<ul style="list-style-type: none">IV&V recommends that the project continues the process to identify the staffing needed for a State-Managed M&O, and either dedicate existing BHA staff to perform these activities or acquire additional staff through available contract vehicles. Contracting options may include RSM, DataHouse, another integrator, or potentially independent consultants, which may require the need for additional funding.	New

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 July 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. And, as the project is now nearing the end of RSM's contract, the urgency to review this documentation has increased.	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 July 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. And, as the project is now nearing the end of RSM's contract, the urgency to review this documentation has increased.	M
47	Closed - The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met [Lead Entity: Vendor]. RSM performed ADA testing of items referenced as 'Supported with Exceptions' within the 'Microsoft Section 508 Report for the Dynamics 365 Customer Engagement – Portal' document dated 6/6/2018. Identical tests cases were executed by RSM/DataHouse for both Phases 2.1 and 2.2. BHA staff did not participate in the test planning or execution. Results in the RSM Phase 2 Release 1, and Phase 2 Release 2 'ADA Performance Plan and Results' work products indicate that all tests passed for both releases. IV&V is closing this risk .	Closed

IV&V Findings and Recommendations

Requirements Management (cont'd)

#	Key Findings	Criticality Rating
48	Closed - The lack of performance testing prevents the State from validating that contractual performance requirements will be met [<i>Lead Entity: Vendor</i>]. RSM performed Performance Testing of what was termed in the results document as ‘the most resource intensive BHA deployment items within Phases 2.1 and 2.2.’ BHA did not participate in the research and planning for this exercise, however RSM reported that ‘one or two BHA users participated in the test execution in a sandbox environment at peak time of day, on the same server as production.’ Results in the RSM Phase 2 Release 1, and Phase 2 Release 2 ‘ADA Performance Plan and Results’ work products indicate that all tests passed for both releases. IV&V notes that no automated tools were used for this testing. Instead, a ‘stopwatch’ was used. IV&V is closing this risk .	Closed
49	The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met [<i>Lead Entity: Vendor</i>]. RSM did not execute Load testing, as this activity must be conducted in accordance with the limitations in the Microsoft Licensing Agreement. BHA and RSM are currently not able to mitigate this risk due to the licensing limitations. IV&V maintains that this is a low risk to the project, however, will no longer update this risk as there is no further action that can be taken by BHA at this time.	L

IV&V Findings and Recommendations

Requirements Management (cont'd)

Recommendations	Progress
<ul style="list-style-type: none">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
<ul style="list-style-type: none">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
<ul style="list-style-type: none">DOH work with RSM to ensure all contractually required testing is adequately planned and executed as specified in the contract	Completed
<ul style="list-style-type: none">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.	Completed
<ul style="list-style-type: none">RSM should work with BHA as needed to perform Load and Capacity Testing in accordance with contract terms.	In process

IV&V Findings and Recommendations

Design and Development

#	Key Findings	Criticality Rating
56	BHA Report Writing Responsibilities [<i>Lead Entity: State</i>]. IV&V does not have a material update for this risk for the July reporting period, as report writing continues to progress behind anticipated targets, however, is not currently posing a significant to risk to the project, or the system's functionality. Report writing will remain a priority for BHA and will continue to be a fairly resource-intensive activity until all reports are designed, built, tested, and released to production. Ongoing maintenance of reports will continue throughout the life of the BHA ITS solution. Additionally, IV&V acknowledges that BHA is receiving more requests from management (both for new reports, and changes to existing reports) than anticipated, which is adding to their workload. IV&V is aware that with BHA and RSM discussing the possibility for a "Phase 3", as well as an ongoing support contact, report writing could be addressed as part of RSM scope. IV&V will continue to monitor the project's progress on building and testing reports, as well as any changes to report writing approach..	L
58	Lack of Provider Portal reporting capabilities [<i>Lead Entity: Vendor</i>]. IV&V has no update on this risk as this User Story (#7229) is listed as "Ready for Test" in TFS. It is anticipated that this functionality will be released as part of Phase 2.4. IV&V will verify its successful release, and will update this finding at that time.	L
62	The Project is behind schedule on building and testing Phase 2 User Stories [<i>Lead Entity: Vendor</i>]. RSM is making progress to catch up on development of Phase 2 User Stories. Next, they will focus on catching up on their testing efforts. To do this, they are "reassigning" resources from Dev to Test activities (as appropriate) to help crash the testing effort and schedule. IV&V will continue to monitor this concern throughout August.	N/A

IV&V Findings and Recommendations

Design and Development (cont'd.)

Recommendations	Progress
<ul style="list-style-type: none">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
<ul style="list-style-type: none">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.	In process
<ul style="list-style-type: none">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
<ul style="list-style-type: none">BHA and RSM should ensure that user stories are scoped correctly in terms of level of effort (US points), and that any high priority user stories that are time sensitive be developed by the due date, deferring lower priority user stories as necessary. Additionally, more development and testing resources should be provided by RSM in an effort to catch up with the schedule.	In process

IV&V Findings and Recommendations

Test Management

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

IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
	No active findings in the Data Management process area for the July 2019 reporting period	

IV&V Findings and Recommendations

Organizational Change Management

#	Key Findings	Criticality Rating
57	DDD End User Training on business process and solution changes <i>[Lead Entity: State]</i> . DDD continues to plan for and roll out additional training and educational/support opportunities for its employees. Over the next several weeks, additional training will be provided to the neighboring islands. Additionally, DDD plans to roll out the INSPIRE Wiki site, providing DDD employees with access to training session materials, training session recordings, announcements, general information and announcements, and training session announcements. Additionally, DDD continues to work with Case Management to ensure that all DDD employees/INSPIRE solution users are following the appropriate workstreams and process flows, and that "one-off" materials and processes are identified and discontinued. This will be an ongoing process to increase user adoption, but DDD is showing improvements. IV&V maintains this is a medium risk to the project, but anticipates downgrading the severity (or even closing) after the next round of training occurs, and roll out of the Wiki takes place.	M

Recommendations	Progress
<ul style="list-style-type: none">• 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.

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 July 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. Daily Report Scrum (selected)
7. Weekly IV&V Deliverable Reviews meeting
8. Standing IV&V Report Review meeting
9. Monthly BHA IV&V PCG-RSM Report Review meeting
10. Executive Steering Committee Meeting
11. Phase 2 Deployment Planning Meeting
12. Bi-Weekly Check-in: CAMHD
13. Bi-Weekly Check-in: DDD
14. Monthly Check-in: RSM

Eclipse IV&V® Base Standards and Checklists



Eclipse IV&V
Standards

Artifacts reviewed during the July 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. 17-216 Schedule of Deliverables rev 02-13-19
7. DCF-Phase 2.3 Iteration Test Plan
8. DCF-Phase2.3 Backlog
9. DCF-Phase2.3 Iteration 1 Defect Log
10. DCF-Phase2.3 Iteration Plan
11. DCF-Phase2.3Release to ProductionSource Code
12. DCF-Phase 2.3 Release Schedule
13. DCF-RSM BHA-ITS System Documentation_Phase 2
14. DCF-Phase 2.4 Iteration Test Plan
15. DCF-Phase 2.4 DED
16. DCF-Phase2.4 Iteration Plan

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	R	R	R	
Requirements Management	Y	G	G	G	Y	G	G	G	G	Y	Y	R	R	Y	Y	Y	Y	Y	Y	
Design and Development	Y	Y	G	G	Y	Y	Y	Y	G	G	G	G	G	G	Y	Y	G	G	G	
Testing					G	G	Y	Y	Y	G	Y	Y	Y	G	G	G	G	G	G	
Data Management					G	G	Y	Y	Y	Y	Y	Y	Y	G	G	G	G	G	G	
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R	Y	Y	Y	Y	Y	G	Y	Y	Y	Y	Y	
Total Open Findings	18	17	19	17	17	15	17	12	9	9	10	13	13	13	12	13	13	12		
Issue - high							1			1	1	1	1	2	0	0	0	0		
Issue - medium				1	1	2	4	5	4	1	0	0	0	0	1	1	0	0		
Issue - low								1	1	3	3	1	1	1	1	1	2	2		
Risk - high								1			2	5	5	1	1	2	1	1		
Risk - medium	10	4	5	9	3	1	3	1	3	4	4	5	5	3	5	5	5	3		
Risk - low	6	10	10	3	10	11	9	4	1			1	1	4	3	3	5	5		
Observations - high														0	0	0	0	0		
Observations - medium	2	1	1	2	1	1								0	0	0	0	0		
Observations - low		2	3	2	2						1			0	0	0	0	0		
Preliminary Concern														0	2	1	1	0	1	



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Final BHA IVV Findings Log - July 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	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.	<p>7/31/2019: During this reporting period DOH was informed that CMS accepted Hawaii's response to the Request for Additional Information (RAI) based on the BHA Integrated Case Management System IAPD (submitted in March 2019 and December 2018) with no further questions. DHS and DOH plan to meet with CMS representatives to confirm next steps; access to federal funding remains unknown as of the end of this reporting period.</p> <p>6/28/2019: MQD received confirmation from CMS that DOH has provided all the needed information. DOH continues to wait for CMS to make a determination on their request for enhanced federal funding.</p> <p>5/31/2019: The status of the IAPD and the possibility of receiving federal reimbursement for the project</p>	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.	<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&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.</p>	<p>7/31/2019: IV&V maintains that until the Enterprise Agreement (EA) with Microsoft can be updated and performance requirements can be improved, this will remain a low risk to the project. BHA, ETS, and HISO are managing this risk and are doing what they can to ensure network capabilities and solution performance are optimized, within the limitations given the current EA. IV&V will no longer update this risk on a monthly basis, but will continue to monitor for improvements made, or changes to the EA.</p> <p>6/28/2019: IV&V has no updates for the June reporting period, but will continue to monitor the state's progress. IV&V is aware that MS and the State were to debrief on possible next steps, and will seek information on this in July.</p> <p>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.</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&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&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</p>	Project Management	Issue	Low	Open			Darren Macdonald

Final BHA IVV Findings Log - July 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	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.	<p>7/31/2019: IV&V has no update on this risk for the July 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. And, as the project is now nearing the end of RSM's contract, the urgency to review this documentation has increased.</p> <p>6/28/2019: IV&V has no update on this risk for the June 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 be updating this risk.</p> <p>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.</p> <p>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.</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&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&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.</p>	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.	<p>7/31/2019: IV&V has no update on this risk for the July 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. And, as the project is now nearing the end of RSM's contract, the urgency to review this documentation has increased.</p> <p>6/28/2019: IV&V has no update on this risk for the June 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 be updating this risk.</p> <p>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.</p> <p>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.</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&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&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

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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.	<p>7/31/2019: RSM did not execute Load testing, as this activity must be conducted in accordance with the limitations in the Microsoft Licensing Agreement. BHA and RSM are currently not able to mitigate this risk due to the licensing limitations. IV&V maintains that this is a low risk to the project, however, will no longer update this risk as there is no further action that can be taken by BHA at this time.</p> <p>6/28/2019: IV&V has reviewed the Load Testing work products for Releases 2.1 and 2.2, reviewed the RSM DCF responses, and discussed related concerns with both RSM and DOH. IV&V determined that additional collaboration and analysis is needed for this item, and will conduct that effort in July. Additionally, IV&V is reviewing Load testing as part of its Transition Readiness Assessment #2.</p> <p>IV&V recognizes that per DOH, Load Testing within the Microsoft environment is restricted in accordance with the State's licensing agreement. As such, IV&V is downgrading this risk to low as of the June reporting period.</p> <p>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 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.</p> <p>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.</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 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.</p> <p>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 Contract Amendment. IV&V will continue to monitor this risk through the completion of</p>	Requirements Management	Risk	Low	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 implement training before writing activities begin.	<p>7/31/2019: IV&V does not have a material update for this risk for the July reporting period, as report writing continues to progress behind anticipated targets, however, is not currently posing a significant risk to the project, or the system's functionality. Report writing will remain a priority for BHA and will continue to be a fairly resource-intensive activity until all reports are designed, built, tested, and released to production. Ongoing maintenance of reports will continue throughout the life of the BHA ITS solution. Additionally, IV&V acknowledges that BHA is receiving more requests from management (both for new reports, and changes to existing reports) than anticipated, which is adding to their workload. IV&V is aware that with BHA and RSM discussing the possibility for a "Phase 3", as well as an ongoing support contact, report writing could be addressed as part of RSM scope. IV&V will continue to monitor the project's progress on building and testing reports, as well as any changes to report writing approach.</p> <p>6/28/2019: IV&V has increased efforts to monitor the project's progress in this area. Development and testing of reports remains a concern, as the project is behind user story production targets. The project has stated that, even though some reports currently targeted for releases 2.3 and 2.4 are not likely to be ready, they are not showstoppers, as report writing and production is an ongoing activity that will continue throughout the life of the solution. IV&V maintains this is a low risk to the project as of the June reporting period, and will continue to seek more details on the report writing activities, logistics, and production in July.</p> <p>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.</p> <p>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.</p>	Design & Development	Risk	Low	Open		P2 IT1	Brian Nagy

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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.	<p>7/31/2019: DDD continues to plan for and roll out additional training and educational/support opportunities for its employees. Over the next several weeks, additional training will be provided to the neighboring islands. Additionally, DDD plans to roll out the INSPIRE Wiki site, providing DDD employees with access to training session materials, training session recordings, announcements, general information and announcements, and training session announcements. Additionally, DDD continues to work with Case Management to ensure that all DDD employees/INSPIRE solution users are following the appropriate workstreams and process flows, and that "one-off" materials and processes are identified and discontinued. This will be an ongoing process to increase user adoption, but DDD is showing improvements. IV&V maintains this is a medium risk to the project, but anticipates downgrading the severity (or even closing) after the next round of training occurs, and roll out of the Wiki takes place.</p> <p>6/28/2019: DDD continues to evolve and mature their approach to user training and ongoing support. DDD has a contract with the University of HI and is considering how to enlist their assistance with future training support. Additionally, DDD continues to provide training (new and update) to the neighboring islands, while developing the Provider Training materials. Finally, leadership addressed and remediated the dissemination of unapproved "cheat sheet" materials designed to circumvent usage of the INSPIRE solution. IV&V maintains this is a medium risk to the project, as ensuring the defined business processes related to LifeCourse, ISPs, and Service Authorizations are controlled and executed correctly across the organization, as enforcement of these business processes is vital to the correct and successful usage of the INSPIRE solution.</p> <p>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 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.</p> <p>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</p>	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.	<p>7/31/2019: IV&V has no update on this risk as this User Story (#7229) is listed as "Ready for Test" in TFS. It is anticipated that this functionality will be released as part of Phase 2.4. IV&V will verify its successful release, and will update this finding at that time.</p> <p>6/28/2019: IV&V understands that the project is working to utilize Microsoft Flow to develop this functionality. IV&V will continue to monitor progress through to deployment, which is currently scoped for release as part of Phase 2.3.</p> <p>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.</p> <p>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.</p>	Design & Development	Risk	Low	Open		P2.1 and P2.2	Brian Nagy

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62	6/28/2019	The Project is behind schedule on building and testing Phase 2 User Stories.	Due to user story development and testing being behind schedule, some contractually required functionality may not be delivered as currently scheduled for P2.3/P2.4, which could result in an extension of DDI activities, or added scope and effort to the P2.4 warranty and stabilization period.	As user stories have been scoped out and prioritized by BHA based on importance and timing of when functionality is needed, if development and testing falls behind schedule, there is the potential that some system functionality will not be available when needed.	RSM has identified that they are currently behind schedule and has communicated this status to the project, and is actively working to make up ground. BHA and RSM should ensure that user stories are scoped correctly in terms of level of effort (US points), and that any high priority user stories that are time sensitive be developed by the due date, deferring lower priority user stories as necessary. Additionally, more development and testing resources should be provided by RSM in an effort to catch up with the schedule.	7/31/2019: RSM is making progress to catch up on development of Phase 2 User Stories. Next, they will focus on catching up on their testing efforts. To do this, they are "reassigning" resources from Dev to Test activities (as appropriate) to help crash the testing effort and schedule. IV&V will continue to monitor this concern throughout August. New preliminary concern as of the June reporting period.	Design & Development	Preliminary Concern	N/A	Open		P2	Brian Nagy