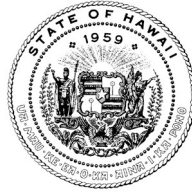


DAVID Y. IGE
GOVERNOR



DEPT. COMM. NO. 02
DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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July 21, 2020

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

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

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

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

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

Sincerely,

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (2)



Hawaii BHA Integrated Case Management System Project – *Phase 3*

*Final IV&V Report for the period of
June 1 – June 30, 2020*

Final submitted: July 10, 2020

Agenda

Executive Summary

IV&V Findings & Recommendations

Appendices

- A – Rating Scales
- B – Inputs
- C – Project Trends



Executive Summary

The project deployed Release 3.9 into production in June and similar to R3.8, ISP Cloning functionality issues were encountered due to deployment issues. Corrective actions have been identified to address the deployment issues which the Project will implement with assistance from RSM.

The RSM Team continued to provide essential support during June alleviating some of the bandwidth concerns expressed by DOH to meet crucial business needs.

The project remains substantially on track with scheduled project tasks/activities and milestones despite the current COVID-19 pandemic.

| Apr | May | Jun | Category | IV&V Observations |
|-----|-----|-----|-----------------------------------|---|
| G | G | G | Sprint Planning | The sprint planning category remains Green (low) for the June reporting period, maintaining one active finding for this category. The RSM Team continued to assist the DOH Team with tasks and activities during June and will continue to do so for upcoming releases which helps to alleviate some of the bandwidth concerns for the DOH staff. |
| G | G | G | User Story (US) Validation | IV&V reports no active findings for User Story (US) Validation category which remains Green (low) for the June reporting period. IV&V will continue to monitor the US development and validation process in upcoming reporting periods. |
| Y | G | G | Test Practice Validation | IV&V reduced the Test Practice Validation category to Green (low) for the June reporting period as a result of the execution of regression testing for both DDD and CAMHD for Release 3.9. The Project plans on setting up automated regression testing during R3.10 and IV&V will continue to monitor. |









Executive Summary

| Apr | May | Jun | Category | IV&V Observations |
|-----|-----|-----|--------------------------------------|--|
| Y | Y | Y | Release / Deployment Planning | As with R3.8, IV&V observed deployment issues with ISP Cloning functionality for R3.9. The Project has identified corrective actions for preventing a recurrence of future deployment issues and will enlist the assistance of RSM to implement these corrective actions. The rating for this category remains as yellow for June and IV&V will continue to monitor deployment activities in July. |
| G | G | G | OJT and KT Sessions | The rating for the OJT and KT Sessions category remains Green (low) for the June reporting period with no active findings. |
| G | G | G | Targeted KT | IV&V continues to rate the Targeted KT category at Green (low) for the June reporting period and maintains one active concern in this category. RSM conducted another Calculator 3.0 Knowledge Transfer session on 6/26/2020 and scheduled a final session for 7/17/2020. |
| G | G | G | Project Performance Metrics | IV&V continues to rate the Project Performance Metrics category Green (low) for the June reporting period. The project met its planned velocity expectation for the R3.9 June deployment. |



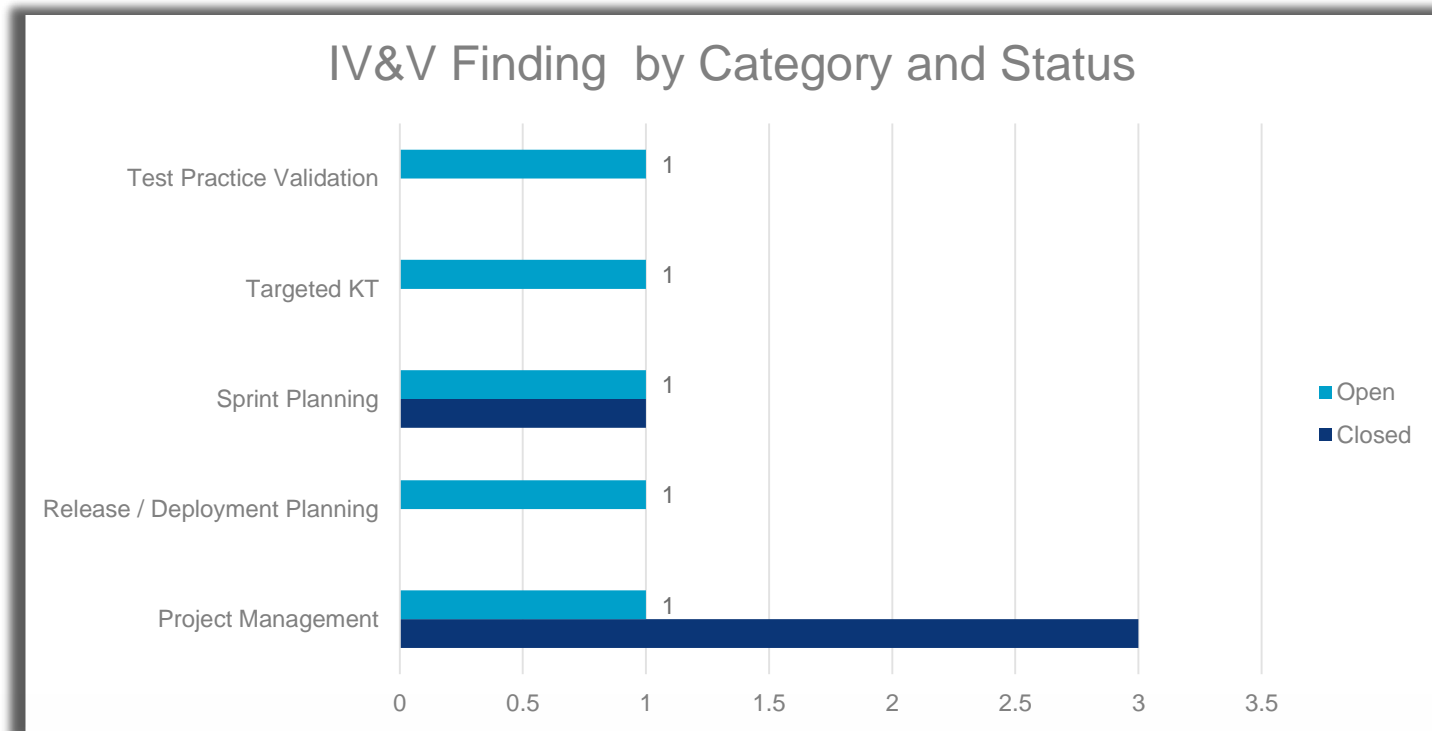
Executive Summary

| Apr | May | Jun | Category | IV&V Observations |
|---|---|---|---|--|
|  |  |  | Organizational Maturity Assessment | IV&V continues to rate the Organization Maturity Assessment (OMA) at Green (low) for the June reporting period. The next OMA will be planned for the next agile release or after R3.11. |
|  |  |  | Project Management | IV&V closed the backlog grooming finding and reduced the COVID-19 risk from a High to a Medium risk for this category which we will keep a Yellow (medium) for the June reporting period and will revisit in July. |



Executive Summary

As of the June 2020 reporting period, there are a total of five open findings - two Medium Risks, two Low Risks, one Low Issue along with one Preliminary Concern spread across the Sprint Planning, Release / Deployment Planning, Test Practice Validation, Targeted Knowledge Transfer, and Project Management assessment areas.



The background is a solid blue color with several decorative elements. There are several light blue rounded rectangles of various sizes scattered across the page. Some of these rectangles have a thin white outline, while others are solid light blue. The rectangles are arranged in a way that suggests a grid or a layout of content, with some overlapping and others spaced out.

IV&V Findings & Recommendations

IV&V Findings & Recommendations

Assessment Categories


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

- Sprint Planning
- User Story Validation
- Test Practice Validation
- Release / Deployment Planning
- On-the-Job Training (OJT) and Knowledge Transfer (KT) Sessions
- Targeted Knowledge Transfer (KT)
- Project Performance Metrics
- Organizational Maturity Assessment
- Project Management



IV&V Findings & Recommendations

Sprint Planning

| # | Key Findings | Criticality Rating |
|---|---|---|
| 8 | <p>Low Risk – The BHA Technical Team bandwidth may not be adequate to meet the needs of the project, which could compromise project productivity. No change during this reporting period. Release 3.10 is being managed by RSM as a water-scrum-fall release, which is helping to limit the impact of minimal bandwidth for the DOH Solution Architect. IV&V will continue to monitor this risk in July.</p> |  |

| Recommendations | Status |
|--|-------------|
| <ul style="list-style-type: none"> The Project should investigate mechanisms of increasing the bandwidth of the BHA Technical Team, either by adding resources through new hires, or existing vendor contracts. | In progress |
| <ul style="list-style-type: none"> The Project should assess, where possible, if there are responsibilities of the BHA Technical Team that can be reassigned to other project staff. | In progress |
| <ul style="list-style-type: none"> The Project should evaluate where process inefficiencies can be addressed and streamlined to possibly free up the BHA Technical Team's availability. | In progress |



IV&V Findings & Recommendations

Test Practice Validation

| # | Key Findings | Criticality Rating |
|---|---|--------------------|
| 2 | Low Issue – As a result of regression testing not being consistently performed, production releases are breaking and/or deprecating existing functionality in the production environment. No changes were noted during the June reporting period. The Project Team used its' DDD and CAMHD regression script assets for Release 3.9 in June. The automation of regression testing is still outstanding and is planned to be developed during Release 3.10 and executed for Release 3.11. IV&V will continue to monitor progress. | L |

| Recommendations | Status |
|---|-----------|
| • Updating the regression test scripts to ensure consistency with system configuration. | Completed |
| • Modifying release schedules to allow for regression testing timeframes. | Completed |
| • Planning releases by functionality type to avoid unnecessary repetitive work being performed in any given section of the solution. | Completed |
| • Performing regression testing after every release, or possibly every other release, or potentially tying regression tests to full solution upgrade releases. In addition, consider alternating the DDD and CAMHD scripts every other release. | Completed |



IV&V Findings & Recommendations


Test Practice Validation (cont'd)

| Recommendations | Status |
|--|-----------|
| <ul style="list-style-type: none">Modifying regression test scripts to start AFTER case creation, limiting the time it takes to execute. | Completed |
| <ul style="list-style-type: none">Modify the deployment scripts based on information gained from previous release deployments. | Completed |
| <ul style="list-style-type: none">Pursuing additional formal training in AzureDevOps for test automation at the earliest possible juncture and commence efforts to automate at least the 2 primary regression test scripts. | Open |
| <ul style="list-style-type: none">Consulting with RSM to determine how the 'interim testing processes' can be improved until such time that automated testing is available for repeatable and complete industry standard regression testing. | Completed |
| <ul style="list-style-type: none">Implementing 'hard' code freeze dates as well as test environment deployment dates to ensure that testing and deployment activities are not rushed. | Completed |



IV&V Findings & Recommendations

Release / Deployment Planning

| # | Key Findings | Criticality Rating |
|---|---|---|
| 5 | <p>Escalated Risk from Low to Medium - Due to the project not following a detailed deployment script, the project may continue to experience defects related to deployment activities. Release 3.9 was promoted to production during the June reporting period. Similar to the mid-sprint push to production on 5/22/2020, ISP cloning features were not successfully deployed to production in this release. When updating non-prod environments with production data, the project discovered technical issues involving workflow and Azure components creating inconsistencies between test environments. The Project acknowledged that this will take a collaborative and dedicated effort to resolve and plans to enlist the assistance of RSM in determining and implementing corrective actions. A mid-sprint deployment is currently planned for 7/17/2020 to address M&O, ISP Cloning, and Calculator 3.0 defects. IV&V has moved the priority for this finding from Low back to Medium for June and will continue to monitor in July.</p> |  |

| Recommendations | Status |
|---|-----------|
| <ul style="list-style-type: none"> IVV recommends documenting deployment scripts for both the patch method and the full solution upgrade method. The script(s) should be in the form of a step-by-step procedure that walks through from start to finish of the deployment process and involve several technical staff to ensure staff availability to accomplish these tasks when primary deployment personnel are unavailable. | Completed |
| <ul style="list-style-type: none"> Standardize the content of all developer deployment task notes, with a goal of eliminating any potential ambiguity to the Deployment Team, resulting in a cleaner and more repeatable set of deployment processes and instructions. | Completed |



IV&V Findings & Recommendations

Release / Deployment Planning (cont'd)

| Recommendations | Status |
|---|-------------|
| <ul style="list-style-type: none"> As appropriate, consult with RSM on best practices that BHA could employ to support deployment. | In Progress |
| <ul style="list-style-type: none"> Look at implementing 'hard' code freeze dates as well as test environment deployment dates to ensure that testing and deployment activities are not rushed. | Completed |
| <ul style="list-style-type: none"> Allow for complete functionality testing in pre-production environments before deploying code to production. | In Progress |
| <ul style="list-style-type: none"> Request the assistance of the RSM Solution Architect in reviewing and correcting issues associated with consistency of the configurations across environments, ensuring that the test environment is capable of testing ALL functions of any given release without the need for using multiple test environments. | <i>New</i> |
| <ul style="list-style-type: none"> Request the assistance of the RSM Solution Architect in review of deployment scripts as a double check for accuracy and completeness prior to commencing deployment activities. | <i>New</i> |
| <ul style="list-style-type: none"> Ensure an operational and fully functional test environment is available to effectively conduct end-to-end regression testing prior to deploying a release to production. | <i>New</i> |



IV&V Findings & Recommendations

Targeted KT

| # | Key Findings | Criticality Rating |
|---|--|--------------------|
| 3 | Low Risk – Usage of open source JavaScript framework for development and ongoing maintenance of Calculator 3.0 requires BHA to take a proactive approach to support and security. RSM conducted another Calculator 3.0 Knowledge Transfer session on 6/26/2020 and scheduled a final session for 7/17/2020. | L |

| Recommendations | Status |
|---|-------------|
| <ul style="list-style-type: none">IV&V recommends BHA work to establish a reliable and repeatable process for keeping abreast of communal updates and support opportunities for a new suite of tools. | Open |
| <ul style="list-style-type: none">IV&V recommends BHA continue to hold targeted KT sessions with RSM on maintaining Calculator 3.0 via a suite of tools, and determine what additional skillsets, training, and/or resources are needed to support BHA's long-term ownership of Calculator 3.0. | In Progress |



IV&V Findings & Recommendations

Project Management

| # | Key Findings | Criticality Rating |
|---|--|--------------------|
| 7 | Closed Low Risk - The lack of consistent backlog grooming could result in the project backlog having obsolete, non-estimated, and poorly defined user stories. IV&V has observed for another month that the project continues to groom the backlog. As a result, we are closing this finding. | Closed |

| Recommendations | Status |
|---|-----------|
| <ul style="list-style-type: none"> CAMHD and DDD should prioritize grooming the backlog to bring it as current and accurate as possible. This should include removing items no longer needed, and ensuring all items are fully defined, readying them for configuration or developer resources. To the extent feasible, BHA should involve RSM SMEs in this process, if only for the interim to get "caught up" on grooming efforts. | Completed |
| <ul style="list-style-type: none"> IVV recommends that the project consider utilizing an age-based methodology for the deprecation of 'older' user stories in the backlog that may no longer be applicable or needed by the Product Owners and developing a process for periodic cleansing of the backlog using the same methodology. | Completed |



IV&V Findings & Recommendations

Project Management (cont'd)

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 10 | <i>Reduced Risk from High to Medium</i> - The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget. The State's 'Safer at Home' orders ended on June 30 th . IV&V notes that although staff are still remote, the project has continued to manage meeting monthly release schedules. As such, IV&V is reducing this risk to a Medium priority. | M |

| Recommendations | Status |
|--|-------------|
| <ul style="list-style-type: none"> IV&V recommends BHA to ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype). | Completed |
| <ul style="list-style-type: none"> IV&V recommends the project and DOH create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. | In Progress |
| <ul style="list-style-type: none"> IV&V recommends updates to the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 situation in the short and long term. | Open |

IV&V Findings & Recommendations

Project Management (cont'd)

| # | Key Findings | Criticality Rating |
|----|---|--------------------|
| 11 | <i>Preliminary Concern</i> - The lack of design reviews for complex user stories has resulted in the promotion of incomplete solutions into production. IV&V acknowledges the Project Team continued to spend additional time on the designs of complex user stories during June to ensure requirements and user story components were fully captured in designs. IV&V will continue to monitor in July. | N/A |

| Recommendations | Status |
|---|-------------|
| <ul style="list-style-type: none"> IV&V recommends (and DOH has commenced) conducting technical design reviews for complex user stories prior to development to ensure designs are complete and all requirements associated with the design are met. IV&V observed this activity has been implemented by DOH in the month of June. | In Progress |



IV&V Findings & Recommendations

Project Performance Metrics

| Metric | Description | IV&V Observations | IV&V Updates |
|-----------------|--|---|---|
| Velocity | <ul style="list-style-type: none"> Review and validate the velocity data as reported by the project Verify the project is on pace to hit the total target number of US/USP for Phase 3 | <p>June - During Sprint Planning for Release 3.9, available velocity was calculated as 88 US Points (USP) with a total of 87 USP being released to production.</p> | <p>June – The project continues to estimate the User Stories in the Backlog.</p> <p>BHA resources are working in sequential order to estimate stories targeting those items tagged with Release 3.10 Iterations 1, 2, and 3.</p> |



IV&V Findings & Recommendations

Project Performance Metrics (cont'd.)

| Metric | Description | IV&V Observations | IV&V Updates |
|--------------------------------------|--|---|--|
| US Point Estimates vs Actuals | <ul style="list-style-type: none"> • Verify the project is tracking US Point estimates and actual data • Determine the delta between estimates and actuals • Based on the delta (if any) investigate the potential root cause for the delta | <p>June - The Project Scrum Master closely tracks the USP on a daily basis. Determining the delta between USP estimates and actuals is work in progress.</p> | <p>June – No change from last month - DDD and CAMHD have standardized a format for resources to track hours. The recording of resource hours is not completed by all team members making it difficult to calculate the variance between actual vs. projected hours.</p> |



IV&V Findings & Recommendations

Project Performance Metrics (cont'd.)

| Metric | Description | IV&V Observations | IV&V Updates |
|-----------------------|---|---|---|
| Defect Metrics | <p>Understand and track the following:</p> <ul style="list-style-type: none"> Defects by category (bug fixes) US Points assigned to defects in a release vs US Points assigned to planned US in a release | <p>June – Release 3.9 was planned for 88 user story points, and 87 user story points were promoted to production on 6/14/2020.</p> <ul style="list-style-type: none"> 80 User Story Points (92% of the total) were associated with planned user stories 7 User Story Points (8% of the total) were associated with defects from the backlog. <p>IV&V notes that some of the “planned” items were production defects identified through previous releases and prioritized as part of the 3.9 backlog along with requests that resulted in User Stories.</p> | <p>June – In addition to the R3.10 efforts, the project is working towards a mid-sprint deployment for approximately six (6) M&O items, the majority of which surround ISP Cloning and Calculator 3.0 functionality. It is anticipated that the mid-sprint deployment will be released to production on 7/17/2020.</p> |



IV&V Findings & Recommendations

Organizational Maturity Assessment

| Measure | IV&V Observations |
|---|-------------------|
| The Organizational Maturity Assessment (OMA) is updated on a bi-monthly basis. The next OMA will be planned for the next agile release which is after the R3.10 & R3.11 scrum-waterfall releases. | |



Appendix A: IV&V Rating Scales

Appendix A

IV&V 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)
- IV&V Assessment Category Rating Definitions




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

Y The assessment category 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 assessment category'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 assessment category. Schedule issues are emerging (> 30 days but < 60 days late). Project Leadership attention is required to ensure the assessment category is under control.

R The assessment category is not under control as there are serious problems with resources, schedule, or scope. A plan to get back on track is needed. The assessment category'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 assessment category under control.

Appendix A

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

Appendix B

Inputs

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

Meetings attended during the June 2020 reporting period:

1. Daily Scrum Meetings (selected)
2. Twice Weekly RSM Issues Meeting
3. Release 3.9 Deployment Planning Meeting
4. Release 3.8 Retrospective Meeting
5. Weekly CCB Meeting
6. Weekly BHA-ITS Project Status Meeting
7. Bi-Weekly Check-in: CAMHD
8. Bi-Weekly Check-in: DDD
9. BHA IAPDU Planning Meeting
10. DHS Interfaces Meeting
11. IV&V Draft IV&V Status Review Meeting with DOH
12. IV&V Draft IV&V Status Review Meeting with RSM and DOH
13. Calculator 3.0 - DOH Knowledge Transfer Session

Artifacts reviewed during the June 2020 reporting period:

1. Daily Scrum Notes (selected)
2. Twice Weekly Issues Meeting Notes (selected)
3. Release Notes – R3.9
4. Phase 3 and Future Phase Extract from TFS Spreadsheet

Eclipse IV&V® Base Standards and Checklists



Document





Appendix C: Project Trends

Appendix C

Project Trends

| Trend: Overall Project Health | | | | | | | | | | |
|---------------------------------|------|----------|----------|----------|----------|----------|----------|----------|-----|-----|
| Process Area | 2019 | | 2020 | | | | | | | |
| | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Sep |
| User Story Validation | N/A | | | | | | | | | |
| Test Practice Validation | N/A | | | | | | | | | |
| Sprint Planning | N/A | | | | | | | | | |
| Release / Deployment Planning | N/A | | | | | | | | | |
| OJT and KT Sessions | N/A | | | | | | | | | |
| Targeted KT | N/A | | | | | | | | | |
| Project Performance Metrics | N/A | | | | | | | | | |
| Organizational Maturity Metrics | N/A | | | | | | | | | |
| General Project Management | N/A | N/A | | | | | | | | |
| Total Open Findings | N/A | 3 | 7 | 5 | 6 | 6 | 6 | 6 | | |
| Issue - high | N/A | 0 | 1 | 1 | 0 | 0 | 0 | 0 | | |
| Issue - medium | N/A | 0 | 0 | 0 | 1 | 1 | 0 | 0 | | |
| Issue - low | N/A | 0 | 0 | 0 | 0 | 0 | 1 | 1 | | |
| Risk - high | N/A | 0 | 0 | 0 | 1 | 1 | 1 | 0 | | |
| Risk - medium | N/A | 0 | 0 | 1 | 1 | 0 | 0 | 2 | | |
| Risk - low | N/A | 0 | 1 | 1 | 3 | 4 | 3 | 2 | | |
| Preliminary Concern | N/A | 3 | 5 | 2 | 0 | 0 | 1 | 1 | | |



Solutions that Matter

| ID No | Identified Date | Title | Observation | Significance | Recommendation | Updates | Process Area | Finding Type | Priority | Status | Closure Reason | Risk Owner |
|-------|-----------------|---|--|---|---|---|--------------------------|--------------|----------|--------|--|-------------|
| 1.000 | 12/31/2019 | Detailed investigation into the project's sprint planning processes and adoption of generally accepted agile best practices. | IV&V is currently investigating the following topics as they relate to Sprint Planning and the project's overall approach to agile software development: - IV&V acknowledges that the project is now planning three sprints out, however, it appears that only a "high-level" sprint planning roadmap has been produced, and it is unclear exactly how the project is targeting features for each release through the end of Mod 4. - IV&V is not aware of how the project is currently defining "done" for Mod 3 and Mod 4 Additionally, in the January 2020 reporting period, IV&V will seek additional information and visibility into the project's processes specific to prioritizing requests and how user stories in TFS are tagged to features, as well as the realignment of project development and configuration resources to complete the scope of Release 3.5. | While having a high level roadmap is good, the project should be able to identify what feature enhancements will be targeted for each planned release. This roadmap will help the project manage scope and productivity. Relatedly, the "definition done" is an important artifact to ensure that the project is successful. Otherwise, the project will struggle to prioritize requests/enhancements and manage scope. | As much as possible, the project should identify what feature enhancements will be targeted for each Release and should clearly map out the roadmap out through the last Phase 3 release in September 2020. Additionally, the project should clearly define "Done" to ensure the project team is working towards the same goal and increase opportunities for success. Having a clear "definition of done" will help provide the project with guidance on how to stay within scope. | 01/31/2020 - IV&V is closing this concern, and will be tracking items related to Definition of Done, roadmap, resourcing, and backlog grooming in new, separate findings. | Sprint Planning | Concern | N/A | Closed | Due to multiple new items being tracked at a more granular level, this item has been closed. | V Ramesh |
| 2.000 | 12/31/2019 | As a result of regression testing not being consistently performed, production releases are both breaking and deprecating existing functionality in the production environment. | R3.3 introduced a defect that deprecated features in production specific to Integrated Support and Life Trajectory functionality. DDD has informed IV&V that there are other examples of functionality being deprecated after a release, some of which are still being investigated. As of this report, IV&V has not evaluated the project's root cause analysis (RCA) process used to determine why such functionality was deprecated but will discuss further with BHA in January 2020. | Thorough vetting and validation of regression test cases is necessary to prevent both defects and the deprecation of production functionality when a release is pushed live. When defects occur in production, the project should follow a defined and repeatable process for determining the root cause of the problem. | To address regression testing, the Project should continue to pursue and/or consider: 1. Updating the regression test scripts to ensure consistency with system configuration. 2. Modifying release schedules to allow for regression testing timeframes 3. Grouping releases by functionality type to avoid unnecessary repetitive work being performed in any given section of the solution. 4. Performing regression testing after every release, or possibly every other release, or potentially tying regression tests to full solution upgrade releases. In addition, consider alternating the DDD and CAMHD scripts every other release. 5. Modifying regression test scripts to start AFTER case creation, limiting the time it takes to execute. 6. Potentially modifying the deployment scripts based on information gained from any or all of the steps listed above. 7. Pursuing additional formal training in AzureDevOps for test automation at the earliest possible juncture and commence efforts to automate at least the 2 primary regression test scripts. 8. Consult with RSM to determine how the 'interim testing processes' can be improved until such time that automated testing is available for repeatable and complete industry standard regression testing. 9. Implementing 'hard' code freeze dates as | 06/30/2020 - No changes were noted during the June reporting period. The Project Team used its' DDD and CAMHD regression script assets for Release 3.9 in June. The automation of regression testing is still outstanding and is planned to be developed during Release 3.10 and executed for Release 3.11. IV&V will continue to monitor progress. 05/31/2020 - CAMHD has invested resources to develop end-to-end regression test scripts, which reduces the time necessary to execute this testing on a recurring basis. Both DDD and CAMHD regression scripts were executed for release 3.8. As a result, IV&V is reducing this issue to a low criticality. Automating regression testing is still outstanding and is planned to occur during Release 3.10. IV&V will continue to monitor progress. 04/30/2020 - DDD has invested resources to develop end-to-end regression test scripts, which reduced the time necessary to execute this testing on a recurring basis. DDD successfully performed end-to-end regression testing prior to the production promotion of R3.7. CAMHD continued the practice of function-based testing in lieu of formal regression testing prior to the production deployment of Release 3.7 in April. This again worked satisfactorily, as IV&V is unaware of any functionality that was deprecated or broken by the 3.7 release. IV&V notes that the project is currently operating with an adjusted testing effort, conducting test sessions several times a week as opposed to once a week. The Project currently targets to commence the future | Test Practice Validation | Issue | Low | Open | | D Macdonald |

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|-------|------------|--|--|---|--|---|-------------------------------|------|-----|------|--|-------------|
| 3.000 | 12/31/2019 | Usage of open source JavaScript framework for development and ongoing maintenance of Calculator 3.0 requires BHA to take a proactive approach to support and security. | IV&V learned in December 2019 that the Calculator 3.0 functionality is built in Vue.JS, an open source JavaScript framework. As this framework is relatively new, the open source support community is small. IV&V's concerns include: - The availability of reliable support for Vue.JS - The project's understanding of any known vulnerabilities with Vue.JS, and development of a process to remain current on vulnerabilities discovered by the support community. - The RSM lead for Calculator 3.0 went on extended parental leave in December 2019 IV&V acknowledges that BHA has downloaded Vue.JS to start getting familiar with it. | Open source tools and frameworks offer organizations great opportunities to build and configure customized solutions at lower costs than through software purchase or licensing. However, open source tools and frameworks often do not come with support models, other than those offered through the tool's community. Because of this, the organization bears the weight of seeking out reliable help and support, as well as much take a proactive approach to security and identifying any vulnerabilities in the tools. | IV&V recommends BHA research and determine the long-term sustainability of Vue.JS for Calculator 3.0 and work to establish a reliable and repeatable process for keeping abreast of communal updates and support opportunities. Additionally, IV&V recommends BHA continue to hold targeted KT sessions with RSM on maintaining Calculator 3.0 using Vue.JS, and determine what additional skillsets, training, and/or resources are needed to support BHA's long-term ownership of Calculator 3.0. | 06/30/2020 - The project continued to focus attention on the Calculator 3.0 defects during the month of June. RSM conducted another Calculator 3.0 Knowledge Transfer session on 6/26/2020 and scheduled a final session for 7/17/2020. 05/31/2020 - The project continued to focus attention on the Calculator 3.0 user stories and defects during the month of May. RSM conducted another Calculator 3.0 Knowledge Transfer session on 5/29/2020 which IV&V attended. This session included the new C3.0 year-end changes. Additional KT sessions is planned for and IV&V will continue to monitor this project component during June. 04/30/2020 - The project continued to focus its attention on Calculator 3.0 User Stories and bug fixes during the month of April. The project scheduled a Calculator 3.0 KT session on April 30, 2020 which IV&V attended. Additional KT sessions have been discussed and will be scheduled. IV&V will continue to monitor this project component during May. 03/31/2020 - Again there was no substantive change to this finding during the March reporting period, as the project focused its attention for the month to Calculator 3.0 User Stories and bug fixes, as opposed to Knowledge Transfer. The project is targeting to potentially schedule the next Knowledge Transfer session on this component during April. | Targeted KT | Risk | Low | Open | | D Macdonald |
| 5.000 | 1/31/2020 | Due to the project not following a detailed deployment script, the project may continue to experience defects related to deployment activities. | There have been several defects pushed to production with Phase 3 releases. Some of the defects introduced to production have been narrowed down to environmental promotional activities. In these instances, the DEV and TEST environments were not in sync with the production environment (missing business rules, missing components, missing dependencies, etc.). IVV is aware that DOH staff shadowed RSM staff for all deployment releases during Phase 2 with RSM providing instruction and DOH staff physically executing the tasks and activities via keyboard. For Phase 3, it is unclear whether a complete, up to date, and documented deployment script, or deployment notes, are being utilized by BHA for deployment activities. | A complete, up to date, and documented deployment script is needed to ensure the repeatability and stability of DOH's production deployments. Since there are currently two deployment types (patches and full solution upgrades), two scripts may be warranted. An embedded process and documented script will help ensure that mistakes are minimized, and that functionality is not mistakenly deprecated when deployments take place. | IVV recommends documenting deployment scripts for both the patch method and the full solution upgrade method. The script(s) should be in the form of a step-by-step procedure that walks through from start to finish of the deployment process, and involve several technical staff to ensure staff availability to accomplish these tasks when primary deployment personnel are unavailable. (COMPLETED) Standardize the content of all developer deployment task notes, with a goal of eliminating any potential ambiguity to the Deployment Team, resulting in a cleaner and more repeatable set of deployment processes and instructions. (COMPLETED) As appropriate, consult with RSM on best practices that BHA could employ to support deployment. (In Progress) Allow for complete functionality testing in pre-production environments before deploying code to production. (In Progress) Request the assistance of the RSM Solution Architect in reviewing and correcting issues associated with consistency of the configurations across environments, ensuring that test environments can test ALL functions of any given release. (NEW) Request the assistance of the RSM Solution Architect in review of deployment scripts as a double check for accuracy and completeness prior to commencing deployment activities. | 06/30/2020 - Release 3.9 was promoted to production during the June reporting period. Similar to the mid-sprint push to production on 5/22/2020, ISP cloning features were not successfully deployed to production in this release. When updating non-prod environments with production data, the project discovered technical issues involving workflow and Azure components creating inconsistencies between test environments. The Project acknowledged that this will take a collaborative, dedicated effort to resolve and plans to enlist the assistance of RSM in determining and implementing corrective actions. A mid-sprint deployment is currently planned for 7/10/2020 to address M&O, ISP Cloning, and Calculator 3.0 defects. IV&V has moved the priority for this finding from Low back to Medium for June and will continue to monitor in July. 05/31/2020 - Release 3.8 was successfully promoted to production during the May reporting period. The project team is producing effective deployment scripts, which has resulted in repeatable deployment activities. However, in a mid-sprint push to production on 5/22/2020, ISP cloning features were not successfully deployed to production. The ISP cloning functionality was successfully tested in the test environment, however the absence of Azure functionality needed in the UAT and SIT2 environments prevented additional final pre-production testing of these features prior to deploying to production. IV&V notes BHA has since configured the Azure components in the SIT2 environment for pre-production testing for this functionality. | Release / Deployment Planning | Risk | Med | Open | | D Macdonald |

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| 6.000 | 1/31/2020 | The project lacks a documented 'Definition of Done', which could challenge the project's ability to fully achieve the goals of Phase 3. | BHA does not have a documented 'Definition of Done' (DOD) for the BHA Top 100 User Stories of for Phase 3. Because of this, it is unclear how proposed functionality/features are prioritized for each sprint, and throughout Phase 3. | The 'Definition of Done' document guides the Project's vision, business, and technical goals that are important inputs for stakeholders to develop a Roadmap for Phase 3. Without the 'Definition of Done' document, the project is likely to struggle to prioritize proposed functionality/features which may be equally important but are at odds with each other. | Project is currently in the process of creating the Definition of Done. IV&V recommends that the project create this document and socialize this with project team before end of Feb 2020. IV&V recommends that the project consider the items from the prioritized list, available resources and define "Done" as a percentage of the identified priority list with room for flexibility to add any other features/enhancements that will be identified during Phase 3. | 02/29/2020 - The project created and documented the Phase 3 Definition of Done and socialized it in February. IV&V recommends the project continually review and update the Definition of Done, adjusting as/if necessary. IV&V will continue to monitor the project's adherence to Definition of Done and progress against it but is closing out this concern as of the February report. | Project Management | Concern | N/A | Closed | Definition of Done completed and socialized. | V Ramesh |
| 7.000 | 1/31/2020 | The lack of consistent backlog grooming could result in the project backlog having obsolete, non-estimated, and poorly defined user stories. | The backlog of defects, requests, and user stories continues to grow. Currently, there are approximately 429 defects and requests, of which almost 200 have a status of 'New'. IVV notes that a large percentage of the backlogged work items do not have user story points estimated. Many of the items listed in the backlog are old, and some may have had needs or requirements change over time or may now be obsolete. IV&V notes that DDD and CAMHD have initiated this effort and agreed to prioritize grooming the backlog by the end of February. | A comprehensive, up-to-date backlog is a primary tenet of agile software development. If a backlog is carrying work items that may not ever be completed for any reason, they should be removed from the backlog to ensure its viability. | IVV recommends that CAMHD and DDD groom the backlog to bring it as current and accurate as possible. This should include deprecating items no longer needed, and fully defining those items that are not yet fully defined, readying them for configuration or developer resources. To the extent feasible, BHA should involve RSM SMEs in this process, if only for the interim to get "caught up" on grooming efforts. (Closed) VV recommends that the project consider utilizing an age-based methodology for the deprecation of 'older' user stories in the backlog that may no longer be applicable or needed by the Product Owners and developing a process for periodic cleansing of the backlog using the same methodology. (Closed) | 06/30/2020 - IV&V has observed for another month that the project continues to groom the backlog. As a result, we are closing this finding. 05/31/2020 - The project team has determined the backlog grooming effort has caught up, as details for release 3.9 are completed and 3.10 is near completion. IV&V will keep this finding open for an additional month to validate that the backlog continues to be groomed as new stories and defects are identified. Efforts to keep the backlog groomed should take place each month so that release planning efforts are not delayed. 04/30/2020 - The project reported that 97% of the original backlog has been estimated at this time. That said, CAMHD has determined that there are several older, and possibly no longer necessary user stories in the backlog that are candidates for deletion. IV&V will keep this finding open and will re-assess it for impact during the month of May. 03/31/2020 - IV&V validates that the backlog grooming effort has made great progress, however it is still in progress. The revised target date for completion was most recently 3/31/2020. The estimation effort has reached 94% completion at the end of March and this includes new requests that have come in over the last three weeks. IV&V notes that this effort also has competing priorities, as the project is also looking to review, develop requirements and develop user stories for releases 3.9 and 3.10 in parallel. IVV will continue to monitor this finding in April. | Project Management | Risk | Low | Closed | The project has demonstrated they are consistently grooming the backlog. | D Macdonald |

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| 8.000 | 1/31/2020 | The BHA Technical Team bandwidth may not be sufficient to meet the needs of the project, which could compromise project productivity. | The BHA Technical Team plays a role that is critical to project success. Currently, the responsibilities associated with the BHA Technical Team have expanded beyond their collective available bandwidth. IV&V notes that BHA began addressing this bandwidth issue, which includes increased collaboration with key RSM resources, and are working to potentially change the structure of the Technical Team. | The BHA Technical Team leads the efforts of all technical DOH staff on the project. As such, the Team's time is both extremely valuable and scarce. If the Team's expected workload exceeds bandwidth, the project could experience bottlenecks. Optimization of the BHA Technical Team's time is to the benefit of the project and plays a critical role in the project's ability to hit performance targets and achieve the Phase 3 definition of done. | IVV recommends the Project investigate mechanisms of increasing the bandwidth of the Solution Architect, either by bringing in additional resources through new hires, or through existing vendor contracts. Additionally, the project should assess, where possible, if there are responsibilities of the Solution Architect that can be reassigned to other project staff. Further, the Project should evaluate where process inefficiencies can be addressed and streamlined to possibly free up the Solution Architect's availability. | <p>06/30/2020 - No change during this reporting period. Release 3.10 is being managed by RSM as a water-scrum-fall release, which is helping to limit the impact of minimal bandwidth for the DOH Solution Architect. IV&V will continue to monitor this risk in July.</p> <p>05/31/2020 - The RSM Team continued to assist the DOH Team with tasks and activities during May, which continued to help alleviate some of the bandwidth concerns for the DOH staff. Release 3.10 will be managed by RSM as a water-scrum-fall release, which should help limit the impact of minimal bandwidth for the DOH Solution Architect. IV&V will continue to monitor this issue in June.</p> <p>04/30/2020 - The RSM Team continued to assist the DOH Team in tasks and activities during April, which helped to alleviate some of the bandwidth concerns for the DOH staff. However, like our March reporting period, with backlog grooming and release planning for future feature sets planned for upcoming releases, DOH staff bandwidth continues to be a concern. IV&V will continue to monitor this finding during the May reporting period.</p> <p>03/31/2020 - The RSM Team assisted the DOH Team in tasks and activities during March, alleviating some of the bandwidth concerns for the DOH staff. However, with backlog grooming and release planning for future feature sets in releases 3.9 and 3.10, DOH staff bandwidth continues to be a concern. IV&V will continue to monitor this finding during the April reporting period.</p> | Sprint Planning | Risk | Low | Open | | D Macdonald |
| 9.000 | 1/31/2020 | The lack of a Product Roadmap that provides direction on the top product features to be delivered in the near term (next 3 months), midterm, and long term could have an adverse impact on the Project's scope and schedule. | BHA does not have a single, definitive Product Roadmap for Phase 3 that addresses the functionalities, features, and / or enhancements to be built in order to fully address BHA's business needs. IV&V met with RSM and BHA on this topic in January, and notes that the project is actively working to address this concern. | A Roadmap is a tool that guides an agile project on what functionalities/features are targeted to be built and released and when users can have access to these functionalities. Without a defined Roadmap the project may not be able to effectively scope the top features to be released within Phase 3 and ensure the correct resources are available to accomplish the goal of each sprint and the Phase. | IV&V understands that the Project is in the process of creating a Short Term; Mid Term, and Long Term Roadmap. IV&V recommends the Project complete this by the end of February 2020 to understand if there are any constraints (resources, budget) that may hinder the project from releasing the needed functionalities/features targeted for Phase 3 as documented in the Definition of Done. | 02/29/2020 - In February, the project further defined the Phase 3 Product Roadmap and aligned it with the Phase 3 Definition of Done. IV&V recommends the project continually review and update both the Product Roadmap and Definition of Done, adjusting as necessary. IV&V will continue to monitor the project's adherence to the Product Roadmap and progress against it but is closing out this concern as of the February report. | Project Management | Concern | N/A | Closed | Product Roadmap aligned with Definition of Done | V Ramesh |

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| 10.000 | 3/31/2020 | The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget. | On 3/23/2020, the Governor issued a "stay at home, work from home order" that has reduced state departments ability to be fully functional as the large majority of state workers will be required to work from home/remotely at least until the end of April and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date. | DOH stakeholder participation in key activities could be significantly hindered, not only by required remote work by DOH and SI staff, but also by the flood of activities that could occur as the department could become overwhelmed processing and providing services due to the resulting economic impacts to citizens. Some stakeholders may be unable (due to stricter shutdown policies) or unwilling to perform these activities during this chaotic time. Planned SI on-site visits will also likely be changed to remote which could reduce the effectiveness of their project activities. Going forward most if not all project activities will more than likely be conducted remotely until this crisis passes. | - IV&V recommends BHA to ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype). - IV&V recommends the project and DOH create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. - IV&V recommends updates to the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 situation in the short and long term. | 06/30/2020 - The State's 'Safer at Home' orders ended on June 30th. IV&V notes that although staff are still remote, the project has continued to manage meeting monthly release schedules. As such, IV&V is reducing this risk to a Medium priority. 05/31/2020 - The COVID-19 pandemic continued to require more staff and management time than anticipated in May, as Departmental priorities are focused on providing services to clients. Both the DDD and CAMHD Product Owners have stated that a significant percentage of available managerial and staff time continues to be redirected to the Department's COVID-19 response, as opposed to being able to focus on the project. To date, project activities have not been impacted IV&V will continue to monitor this risk during the month of June. 04/30/2020 - During this reporting period, DOH's response to the COVID-19 pandemic required more staff time than anticipated, due to the time needed to plan for and provide services to its clients. Both the DDD and CAMHD Product Owners have stated that a significant percentage of available managerial and staff time has been redirected to the Department's COVID-19 response, as opposed to being able to focus on the project. | Project Management | Risk | Med | Open | | Darren |
| 11.000 | 5/31/2020 | The lack of design reviews for complex user stories has resulted in the promotion of incomplete solutions into production. | There were a couple incidents during May where the code promoted to production did not fully meet all requirements of associated user stories for CAMHD Progress Notes. The components that were developed and implemented were functional, however the effort was complicated by additional requirements being added during development that necessitated additional changes to the design. IV&V will continue to monitor the design review activity for large user stories moving forward | If all requirements within a functional design are not met, users could experience the inability to complete required processes, resulting in incomplete data collection and potential issues in service delivery. | IV&V recommends (and DOH has commenced) conducting technical design reviews for complex user stories prior to development to ensure designs are complete and all requirements associated with the design are met. IV&V observed this activity has been implemented by DOH in the month of May. | 06/30/2020 - IV&V acknowledges the Project Team continued to spend additional time on the designs of complex user stories during June to ensure requirements and user story components were fully captured in design sessions. IV&V will continue to monitor in July. | | Concern | | In Progress | | |