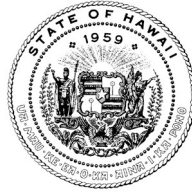


DAVID Y. IGE  
GOVERNOR



DEPT. COMM. INFO  
DOUGLAS MURDOCK  
CHIEF INFORMATION  
OFFICER

**OFFICE OF ENTERPRISE TECHNOLOGY SERVICES**

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September 17, 2019

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

The Honorable Scott K. Saiki,  
Speaker, and  
Members of The House of Representatives  
Thirtieth 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 (Sep 27, 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 August 1 - 31, 2019*

# Overview

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

# Executive Summary

During this reporting period the BHA-ITS project accomplished two major goals: 1) successful completion of the final phased release, with the deployment of Release 2.4.2 on 8/23/19, and 2) notification of 'provisional project approval' from CMS, allowing DOH to receive enhanced federal matching funding based upon the completion and submittal of the MMIS Medicaid Detailed Budget Table (MDBT) Project Summary Cost Report.

Recognizing those successes, the project was not able to develop and test all P2.4 User Stories on schedule, which has resulted in backlogged P2.4 User Stories being added to the Stabilization releases on 9/6 and 9/23. Based on these delays and given that RSM's current schedule of deliverables is nearing completion, IV&V is tracking this as a new project issue. While BHA and RSM continue to work out the details of a proposed contract modification for "Mod 3", IV&V has not received any documented details, although we recognize that rough estimations regarding timing, User Story Points, scope, and FTEs have been established and continue to be refined.

Finally, the project continues on-track towards fulfilling the Project Transition Plan (transitioning work and responsibilities from RSM to BHA, prior to the completion of the RSM schedule of deliverables), which was produced by RSM and agreed to by BHA in August.

Jun 19	July 19	Aug 19	Process Areas	IV&V Observations	Overall Health
			Project Management	The August 2019 reporting period risk rating and the Overall Health rating for the Project Management process area have both been reduced to medium (yellow). During this reporting period the project received "provisional approval" of the IAPD, based upon discussions between DHS MQD Management and CMS, allowing the project to receive enhanced federal matching funding and reduce the State's financial burden. IV&V continues to track the progress of BHA and RSM agreeing to terms of a contract modification ("Mod 3").	
			Requirements Management	The August 2019 reporting period risk rating and the Overall Health rating for the Requirements Management process area remain medium (yellow), as IV&V has no material update to the open findings in this process area.	

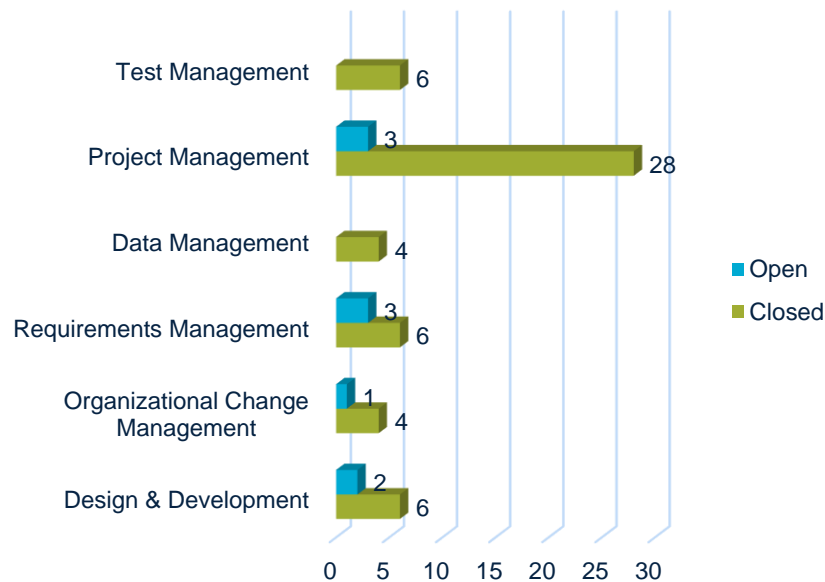
# Executive Summary

Jun 19	July 19	Aug 19	Process Areas	IV&V Observations	Overall Health
L	L	M	Design and Development	The August 2019 reporting period risk rating and the Overall Health rating of the Design and Development process area have both been escalated to a medium (yellow) rating. The Project was unable to complete development and testing of all User Stories in time for the Phase 2.4 release. Recognizing the nature of agile development, the project was prepared for this and is now executing a contingency plan that adds the backlogged P2.4 User Stories to the two planned P2.4 Stabilization releases, as documented in Project Change Request (PCR) #23. IV&V escalated this concern to an Issue. Additionally, BHA report development and testing continues to be behind schedule but does not currently pose a significant risk to project functionality or go-live dates.	Y
L	L	L	Test Management	The August 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 currently active findings.	G
L	L	L	Data Management	The August 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 currently active findings.	G
M	M	L	Organizational Change Management	The August 2019 reporting period risk rating and the Overall Health rating for OCM have been reduced to a low (green) rating. DDD continues to offer training opportunities for INSPIRE users and successfully rolled out the INSPIRE Wiki site the first week of August. User adoption continues to grow and feedback, suggestions, and dialogue about how to use and improve the solution is increasing. DDD successfully addressed issues with users not using the solution as designed and is now working to engage those users in efforts to identify enhancements for the solution.	G

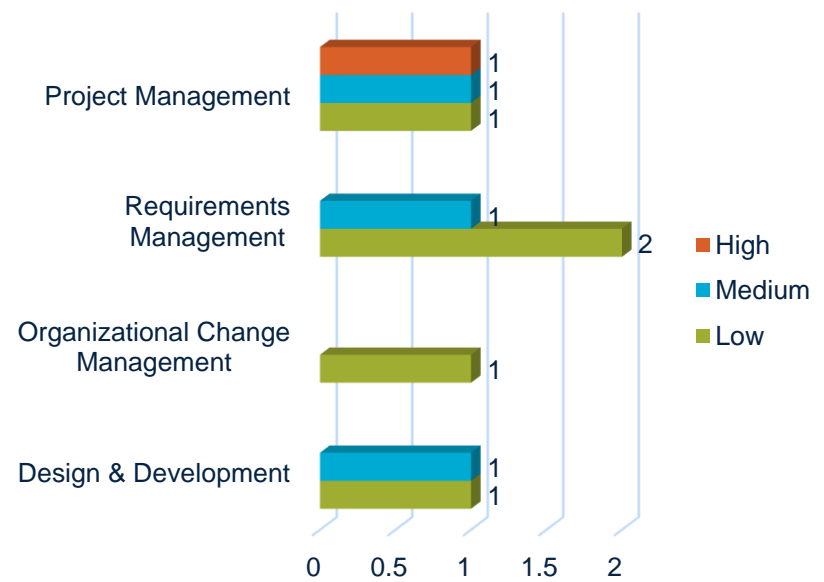
# Executive Summary

As of the August 2019 reporting period, IV&V has 9 open findings: 6 risks (1 high, 2 medium, 3 low), 3 issues (1 medium, 2 low). IV&V opened 1 medium issue (escalated from a preliminary concerns) and closed 1 risk in the August reporting period. To date, IV&V has identified a total of 63 findings (11 issues, 44 risks, 7 observations, and 1 preliminary concerns) on the project; 54 of which have been closed.

### IV&V Findings by Status



### Open IV&V Findings by Criticality



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

# IV&V Findings and Recommendations

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## Process Areas Reviewed

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

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

# IV&V Findings and Recommendations

## Project Management

#	Key Findings	Criticality Rating
19	<b>Risk - Access to enhanced federal funding may impact the project budget and/or scope:</b> [Lead Entity: State]. IV&V is reducing this risk to Medium due to the project being notified of 'provisional approval', which allows DOH to receive enhanced federal matching funding. Once DHS submits the MMIS Medicaid Detailed Budget Table (MDBT) cost tables requested by CMS, DOH should receive formal approval and be able to submit requests to reimburse project costs.	M
38	<b>Risk - Service Level Agreements (SLAs) are insufficiently documented:</b> [Lead Entity: State]. IV&V maintains that until the Enterprise Agreement (EA) with Microsoft can be updated and performance requirements better defined, 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 ETS changes the EA.	L
63	<b>Risk – As a result of BHA project resources not having sufficient bandwidth to assume full ownership of the BHA-ITS solution, the state may not be properly resourced to provide the level of support needed to maintain and operate the solution.</b> [Lead Entity: State]. BHA and RSM continue to work out the details of the contract amendment, termed "Mod 3". Currently, the scope being discussed includes staff training, User Story Point totals, amount of FTEs, and system support. To fund the contract amendment, BHA anticipates being able to submit an IAPDU to CMS and request approval from the ETS PAC in September or October. IV&V will continue to monitor this risk, get details on the contract amendment with RSM, as well as the outcome of BHA's funding request to ETS PAC. At this time, until clarity around "Mod 3" funding is clearer, IV&V maintains this is a high risk to the project.	H



# IV&V Findings and Recommendations

## Project Management (cont'd)

Recommendations	Progress
<ul style="list-style-type: none"><li>Continue to seek approval for federal funding reimbursement via the IAPD. Based upon CMS' decision, update DOH's Cost Allocation Plan as appropriate.</li></ul>	In process
<ul style="list-style-type: none"><li>Continue to work with HISO, ETS, and Microsoft to pursue available improvements to reinforce network stability and performance.</li></ul>	In process
<ul style="list-style-type: none"><li>Continue to work towards procuring an IT Service Management (ITSM) tool to support and empower current Help Desk operations, as well as support future M&amp;O efforts at BHA.</li></ul>	In process
<ul style="list-style-type: none"><li>IV&amp;V recommends that the project continues the process to identify the staffing needed for a State-Managed M&amp;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.</li></ul>	In process

# IV&V Findings and Recommendations

## Requirements Management

#	Key Findings	Criticality Rating
39	<b>Issue - Requirements to user stories' associations are inconsistent within TFS</b> <i>[Lead Entity: Vendor]</i> . IV&V has no update on this risk for the August reporting period. Although discussions between DOH and RSM were planned for the end of August, IV&V is not aware of the outcome. 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.	L
40	<b>Risk - A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software</b> <i>[Lead Entity: Vendor]</i> . IV&V has no update on this risk for the August reporting period. Although discussions between DOH and RSM were planned for the end of August, IV&V is not aware of the outcome. 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.	M
49	<b>Risk - The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met</b> <i>[Lead Entity: Vendor]</i> . Although RSM has not executed load testing because it must be conducted in accordance with the limitations in the Microsoft Licensing Agreement, the Project has accepted this risk. 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"><li>Identify inconsistencies in requirements to user story relationships within TFS in order to ensure that complete requirements traceability is established for the project.</li></ul>	Not started
<ul style="list-style-type: none"><li>Identify inconsistencies in requirements implementation in user stories and the BHA-ITS software and incorporate all requirements determined to be missing in both user stories and the BHA-ITS software solution.</li></ul>	Not started
<ul style="list-style-type: none"><li>RSM should work with BHA as needed to perform Load and Capacity Testing in accordance with contract terms.</li></ul>	In process

# IV&V Findings and Recommendations

## Design and Development

#	Key Findings	Criticality Rating
56	<p><b>Risk - BHA Report Writing Responsibilities</b> <i>[Lead Entity: State]</i>. BHA and RSM continue to work on report development. As anticipated, report development and testing will continue beyond the Phase 2.1 Stabilization period. CAMHD is in the process of hiring a new resource to help with report development, and BHA resources continue to receive training and increase productivity. IV&amp;V will continue to monitor this low risk until the plan for "Mod 3" report development is finalized.</p>	L
58	<p><b>Closed Risk - Lack of Provider Portal reporting capabilities</b> <i>[Lead Entity: Vendor]</i>. IV&amp;V is <b>closing this risk</b> as User Story #7229 was successful released on 8/23 as part of Release 2.4.2.</p>	Closed
62	<p><b>New Issue - The Project is behind schedule on building and testing Phase 2 User Stories</b> <i>[Lead Entity: Vendor]</i>. As not all User Stories originally planned for the P2.4 release were ready, RSM and BHA have agreed on a contingency approach that will augment the two P2.4 stabilization releases with additional P2.4 User Stories. As documented in Project Change Request (PCR) #23, this is in part due to delays in finalizing requirements for some P2.4 User Stories, delays in MS resolving issues with the Dynamics product, and some User Stories taking longer to develop than originally estimated. As of the end of August, the build of P2.4 User Stories is complete with the exception of two stories that are under development (HHIE and DDD data book).</p> <p>RSM continues to provide additional testing resources to get caught up on testing in time for the combined P2.4 and Stabilization releases on 9/6 and 9/23. Due to a number of P2.4 User Stories being re-scoped for Stabilization releases, the RSM schedule of deliverables concluding on 9/23, and "Mod 3" not yet being finalized, IV&amp;V is escalating the preliminary concern to a Medium Issue as of the August reporting period. IV&amp;V will continue to monitor this issue and will update and re-evaluate after the 9/6 release to get a better understanding of the P2.4 backlog.</p>	M

# IV&V Findings and Recommendations

## Design and Development (cont'd.)

Recommendations	Progress
<ul style="list-style-type: none"><li>BHA should immediately identify any gaps in knowledge, skill, and experience in SQL Server Reporting Services (SSRS) and Power BI and seek immediate remediation, such as staff training.</li></ul>	In process
<ul style="list-style-type: none"><li>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.</li></ul>	In process
<ul style="list-style-type: none"><li>RSM should continue efforts to pursue options and for fully delivering the Provider Portal reporting requirements – whether that be custom development or using the MS Flow tool – and stay in regular communication with BHA regarding both progress. Until a solution is solidified, contingency planning should continue to plan for the worst case scenario.</li></ul>	Completed
<ul style="list-style-type: none"><li>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.</li></ul>	In process
<ul style="list-style-type: none"><li>More development and testing resources should be provided by RSM in an effort to catch up with the schedule.</li></ul>	Completed

# IV&V Findings and Recommendations

## Test Management

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

# IV&V Findings and Recommendations

## Organizational Change Management

#	Key Findings	Criticality Rating
57	<b>Risk - DDD End User Training on business process and solution changes</b> [Lead Entity: State]. DDD continued to show progress in improving user adoption of the INSIRE solution during August. The INSPIRE Wiki site was launched, thus far with positive feedback and increasing utilization. In addition, DDD is maintaining an INSPIRE training SharePoint site with a full suite of INSPIRE training materials as well as continuing to provide support opportunities to staff via “Framework Friday’s” and open Zoom lines. DDD plans to wrap up refresher training for Oahu by the end of August and then will move forward with refresher training for the neighbor islands, targeting October to complete all trainings. These sessions are echoing back to the P2.1 training concepts, focusing on LifeCourse, service authorizations, Calculator 3.0, ISPs, and general workflow. Based on the progress observed over the past couple months, IV&V is reducing this risk to a low for the August 2019 reporting period.	L

Recommendations	Progress
<ul style="list-style-type: none"><li>• 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.</li></ul>	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 August 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 August 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. Phase 2.3 Iteration Test Plan
8. Phase 2.4 DED
9. Phase 2.4 Iteration Test Plan
10. Phase 2.4 Iteration Plan
11. Phase 2.3 Release Notes / Release to Production

# 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	Y
Requirements Management	Y	G	G	G	Y	G	G	G	G	Y	Y	R	R	Y	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	Y
Testing					G	G	Y	Y	Y	G	Y	Y	Y	G	G	G	G	G	G	G
Data Management					G	G	Y	Y	Y	Y	Y	Y	Y	G	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	G
<b>Total Open Findings</b>	<b>18</b>	<b>17</b>	<b>19</b>	<b>17</b>	<b>17</b>	<b>15</b>	<b>17</b>	<b>12</b>	<b>9</b>	<b>9</b>	<b>10</b>	<b>13</b>	<b>13</b>	<b>13</b>	<b>12</b>	<b>13</b>	<b>13</b>	<b>12</b>	<b>9</b>	
Issue - high							1			1	1	1	1	2	0	0	0	0	0	
Issue - medium				1	1	2	4	5	4	1	0	0	0	0	1	1	0	0	1	
Issue - low								1	1	3	3	1	1	1	1	1	2	2	2	
Risk - high								1			2	5	5	1	1	2	1	1	1	
Risk - medium	10	4	5	9	3	1	3	1	3	4	4	5	5	3	5	5	5	3	2	
Risk - low	6	10	10	3	10	11	9	4	1			1	1	4	3	3	5	5	3	
Observations - high														0	0	0	0	0	0	
Observations - medium	2	1	1	2	1	1								0	0	0	0	0	0	
Observations - low		2	3	2	2						1			0	0	0	0	0	0	
Preliminary Concern														0	2	1	1	0	1	0



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Final BHA IVV Findings Log - August 2019 Reporting Period

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
19	09/01/17	<b>Federal funding risk</b> [Lead Entity: State	Ability to access enhanced federal funding as initially planned is at risk due to State Medicaid Agency delays in completing its MITA State Self-Assessment (SS-A) prior to the submittal of DOH's IAPD.	Delays in securing enhanced funding has delayed system development. Inability to claim federal funds could negatively impact the project budget, scope and schedule.	Recommend BHA continue to work closely with DHS to pursue available funding options. IV&V will continue to monitor progress.	8/30/2019 - IV&V is reducing this risk to Medium due to the project being notified of 'provisional approval', which allows DOH to receive enhanced federal matching funding. Once DHS submits the MMIS Medicaid Detailed Budget Table (MDBT) cost tables requested by CMS, DOH should receive formal approval and be able to submit requests to reimburse project costs.  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.	Project Management	Risk	Medium	Open		0	Laurie Thornton
38	11/2/2018	<b>Service Level Agreements (SLA's) are unclear in the RSM contract</b>	SLAs were required by RFP Attachment 6, however RFP Attachment 6 was not included in the Final RSM contract. The RTM included in the contract depicts technical service levels, and points to the missing Attachment 6.	Agreed-to service levels are required for any and all projects, and it is clear that contractual agreement on SLAs is not in place for the BHA Project. If at any time during the DD&I or maintenance phases of the contract, if service levels do not meet those depicted in RFP Attachment 6, the State may have little to no compensatory recourse via associated Liquidated Damages clauses.	DOH to coordinate with ETS to determine what SLAs are necessary for the state's enterprise agreement Microsoft.  DOH to work with IV&V and RSM to determine the service level agreements intended to be in the contract. IV&V recommends that the output of this determination is a contractually binding agreement, such as a contract amendment.	8/30/2019 - IV&V maintains that until the Enterprise Agreement (EA) with Microsoft can be updated and performance requirements better defined, 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 ETS changes the EA.  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.  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.  5/31/2019: Network performance and tuning activities were performed by BHA, ETS, and MS during the second week of May. The testing identified some network-related items that can be addressed to improve performance, as well as hardware issues that DOH is working with ETS to address. All-in-all, the performance of the network appears to be sufficient for current and planned usage. The next recommended step is for BHA to document the steps taken to address the gap in SLAs in the contract, and what is planned for the future State Enterprise Agreement. Due to the continued attention to resolve this issue and continued forward progress, IV&V is lowering this to a low issue for the May reporting period.  4/30/2019: BHA remains in contact with both ETS and Microsoft. Currently, network performance and tuning exercises are planned for May 9 and May 10 with BHA, HISO, and Microsoft in attendance. IV&V maintains that this is a medium issue, and will continue to monitor in May.  3/29/2019: Progress continues to be made working this risk. In the March reporting period, BHA continued to work with ETS and now is working on a plan to conduct network testing to identify issues that could impact network performance. On the Microsoft side, progress is a bit slower, but BHA and ETS continue to work with MS to gain access to the information and available tools needed to improve solution performance as much as	Project Management	Issue	Low	Open			Darren Macdonald

Final BHA IVV Findings Log - August 2019 Reporting Period

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
39	11/2/2018	<b>Requirements to user stories' associations are inconsistent within TFS</b>	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that approximately 9% of the sample size (and thus, potentially the entire project) are missing required TFS relationships between requirements and all user stories. [This finding is related to requirements / user stories missing documentation.]	Inconsistent or incomplete documentation within TFS of the relationships between requirements and their elaboration in all user stories causes the RTM to be incomplete and/or incorrect. Without proper relationships being established within TFS for all requirements to their respective user stories, complete requirements traceability is unfortunately flawed.	DOH to work with IV&V and RSM to address all inconsistencies in requirements to user story relationships within TFS, in order to ensure that complete requirements traceability is established for the project. Incomplete traceability can cause missing requirements in the software.	<p>8/30/2019 - IV&amp;V has no update on this risk for the August reporting period. Although discussions between DOH and RSM were planned for the end of August, IV&amp;V is not aware of the outcome. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project.</p> <p>7/31/2019: IV&amp;V has no update on this risk for the July reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. 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&amp;V has no update on this risk for the June reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&amp;V will no longer be updating this risk.</p> <p>4/30/2019: IV&amp;V has no update on this risk for the April reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&amp;V will no longer track this risk.</p> <p>3/29/2019: IV&amp;V has no update on this risk for the March reporting period, and maintains this is a low risk to the project.</p> <p>2/27/2019: RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of 2/27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&amp;V's involvement in this effort remains on hold. This remains a low risk in the February Reporting period.</p> <p>1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January.</p> <p>12/31/2018: IV&amp;V was made aware that RSM and BHA agreed that this documentation will now be provided</p>	Requirements Management	Issue	Low	Open			Darren Macdonald
40	11/2/2018	<b>A subset of contractual Requirements may not fully be included in user stories or the developed / configured BHA-ITS software.</b>	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that there are requirements that are not included in user stories and/or the BHA-ITS software. Initial RTM efforts indicate that this may affect upwards of 9% of the sample reviewed during the RTM effort. [This finding is related to requirements with no user stories.]	All RTM and contractual requirements need to be satisfied to ensure that the BHA-ITS solution to meets all intended business needs.	DOH to work with IV&V and RSM to address all inconsistencies in requirements implementation in user stories and the BHA-ITS software. Where gaps are mutually agreed to, IV&V recommends remediation via incorporation of all requirements determined to be missing in both user stories and the BHA-ITS software solution.	<p>8/30/2019 - IV&amp;V has no update on this risk for the August reporting period. Although discussions between DOH and RSM were planned for the end of August, IV&amp;V is not aware of the outcome. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project.</p> <p>7/31/2019: IV&amp;V has no update on this risk for the July reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. 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&amp;V has no update on this risk for the June reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&amp;V will no longer be updating this risk.</p> <p>4/30/2019: IV&amp;V has no update on this risk for the April reporting period. IV&amp;V maintains that until DOH conducts a verification effort that shows the appropriate relationships between requirements and user stories, this continues to pose risk to the project. However, due to the phase of the project and the lack of progress, IV&amp;V will no longer track this risk.</p> <p>3/29/2019: IV&amp;V has no update on this risk for the March reporting period, and maintains this is a medium risk to the project.</p> <p>2/27/2019: RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of February 27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&amp;V's involvement in this effort remains on hold. This remains a medium risk in the February Reporting period.</p> <p>1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January.</p> <p>12/31/2018: IV&amp;V was made aware that RSM and BHA agreed that this documentation will now be provided</p>	Requirements Management	Risk	Medium	Open			Darren Macdonald

Final BHA IVV Findings Log - August 2019 Reporting Period

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
49	12/31/2018	<b>The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met.</b>	Load testing has not been planned or executed, and RSM currently does not plan to perform this set of contractual requirements.	Load testing is planned and performed to ensure that user load capacity is met or exceeded. This is accomplished to mimic the volume of expected volumes of transactions at peak usage times of the day, and ensures that the number of planned concurrent users can adequately utilize the system in production within performance requirement thresholds. Without planning and executing load testing, the likelihood of load issues in production are likely to increase. At minimum, this could result in user adoption issues based on dissatisfaction with the system. In the worst case, this could result in load or capacity issues that could prevent users from being able to complete tasks within the system. Performance issues were reported during UAT, and without load capacity testing, it is unclear if load and/or capacity contributed to the performance issues.	IV&V recommends that DOH work with RSM to ensure this contractually required testing is adequately planned and executed prior to GO LIVE, to ensure load and capacity requirements will be met in production. If test results indicate issues, IV&V recommends remediation prior to GO LIVE.	<p>8/30/2019 - Although RSM has not executed load testing because it must be conducted in accordance with the limitations in the Microsoft Licensing Agreement, the Project has accepted this risk. IV&amp;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>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&amp;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&amp;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&amp;V determined that additional collaboration and analysis is needed for this item, and will conduct that effort in July. Additionally, IV&amp;V is reviewing Load testing as part of it's Transition Readiness Assessment #2.</p> <p>IV&amp;V recognizes that per DOH, Load Testing within the Microsoft environment is restricted in accordance with the State's licensing agreement. As such, IV&amp;V is downgrading this risk to low as of the June reporting period.</p> <p>5/31/2019: IV&amp;V reviewed the Phase 2 Release 1 ADA and Performance Plan and Results deliverable, and provided DOH with associated DCF comments. IV&amp;V identified that the deliverable does not include any information concerning the planning for and execution of Load and Capacity testing, and as a result has increased the priority of this this finding to medium. IV&amp;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&amp;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&amp;V will continue to monitor this low risk until the plan for "Mod 3" report development is finalized.</p>	Requirements Management	Risk	Low	Open			Darren Macdonald
56	2/28/2019	<b>BHA Report Writing Responsibilities</b>	A portion of the Phase 2 report writing (based on report complexity and assigned US Points) is the responsibility of BHA, with 2.25 FTE being required. BHA is currently concerned that they do not have staff with sufficient knowledge of SQL Server Reporting Services (SSRS) to fulfill this task.	If BHA staff does not have the knowledge and/or experience with SSRS to write the needed reports and complete them when needed, there could be impacts to both DDD and CAMHD business operations, which could lead to impacts on both project and program staff.	BHA must determine what reports are needed by when, and develop a prioritized order for report development. Then, BHA must determine if there are any knowledge gaps in developing the reports that needs to be addressed, and develop a plan to implement training before writing activities begin.	<p>8/30/2019 - BHA and RSM continue to work on report development. As anticipated, report development and testing will continue beyond the Phase 2.1 Stabilization period. CAMHD is in the process of hiring a new resource to help with report development, and BHA resources continue to receive training and increase productivity. IV&amp;V will continue to monitor this low risk until the plan for "Mod 3" report development is finalized.</p> <p>7/31/2019: IV&amp;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&amp;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&amp;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&amp;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&amp;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&amp;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&amp;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&amp;V was informed by BHA and RSM that significant progress was made by BHA on writing P2.1</p>	Design & Development	Risk	Low	Open		P2 IT1	Brian Nagy



Final BHA IVV Findings Log - August 2019 Reporting Period

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
57	3/29/2019	<b>DDD End User Training for LifeCourse methodology</b>	The core functionality of the Phase 2.1 release is specific to the LifeCourse methodology, which is a new way of doing business to be adopted by DDD case managers.	If DDD case managers are not sufficiently trained on the LifeCourse methodology prior to the release of the 2.1 functionality, there is risk that the case managers will not be able to perform their expected job duties, which could have a profoundly negative impact on user adoption of the INSPIRE system. As of March 29, training plans and details are in process of being developed, with a round of LifeCourse training scheduled to start the week of April 8. Additional training details are being worked out and a DDD INSPIRE Training Calendar has been developed.	Finalize and publicize the dates and details of the LifeCourse training for case managers, to be completed prior to the beginning of DDD end user training.	<p>8/30/2019 - DDDD continued to show progress in improving user adoption of the INSPIRE solution during August. The INSPIRE Wiki site was launched, thus far with positive feedback and increasing utilization. In addition, DDD is maintaining an INSPIRE training SharePoint site with a full suite of INSPIRE training materials as well as continuing to provide support opportunities to staff via "Framework Friday's" and open Zoom lines. DDD plans to wrap up refresher training for Oahu by the end of August and then will move forward with refresher training for the neighbor islands, targeting October to complete all trainings. These sessions are echoing back to the P2.1 training concepts, focusing on LifeCourse, service authorizations, Calculator 3.0, ISPs, and general workflow. Based on the progress observed over the past couple months, IV&amp;V is reducing this risk to a low for the August 2019 reporting period.</p> <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&amp;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&amp;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</p>	Organizational Change Management	Risk	Low	Open		P2.1	Brian Nagy
62	6/28/2019	<b>The Project is behind schedule on building and testing Phase 2 User Stories.</b>	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.	<p>8/30/2019 - As not all User Stories originally planned for the P2.4 release were ready, RSM and BHA have agreed on a contingency approach that will augment the two P2.4 stabilization releases with additional P2.4 User Stories. As documented in Project Change Request (PCR) #23, this is in part due to delays in finalizing requirements for some P2.4 User Stories, delays in MS resolving issues with the Dynamics product, and some User Stories taking longer to develop than originally estimated. As of the end of August, the build of P2.4 User Stories is complete with the exception of two stories that are under development (HHIE and DDD data book).</p> <p>RSM continues to provide additional testing resources to get caught up on testing in time for the combined P2.4 and Stabilization releases on 9/6 and 9/23. Due to a number of P2.4 User Stories being re-scoped for Stabilization releases, the RSM schedule of deliverables concluding on 9/23, and "Mod 3" not yet being finalized, IV&amp;V is escalating the preliminary concern to a Medium Issue as of the August reporting period. IV&amp;V will continue to monitor this issue and will update and re-evaluate after the 9/6 release to get a better understanding of the P2.4 backlog.</p> <p>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&amp;V will continue to monitor this concern throughout August.</p>	Design & Development	Issue	Medium	Open		P2	Brian Nagy