Hawaii BHA Integrated Case Management System Project

Final IV&V Report for the period of
July 21 - August 31, 2018

:

Overview

- Executive Summary
- IV&V Activities
- IV&V Findings and Recommendations
- Appendices
  - A – Findings and Recommendations Log
  - B – Inputs

Executive Summary

Overall Project Health:	Y

The overall project health remains Yellow, a caution rating, due to the untimely completion of Iteration 0 deliverables, unassigned dedicated BHA Leads for Implementation Phase activities, the time remaining to remediate errors in the data migration files, pending migration to Government cloud instance, and delayed OCM approach. Five findings were closed during this reporting period and no new findings were opened. Thus far, the project remains on schedule though many tasks are beginning to fall behind and the contingency time built into the schedule has been consumed by the delay in the Portal work.

Jun 18	Jul 18	Aug 18	Process Areas	IV&V Observations	Overall Health
L	M	M	Project Management	Though three findings have been closed this period, this process area continues to be rated Yellow since scope for Phase 1 and the remaining Iterations continue to shift; the IAPD for Phase 2 has not yet been submitted to CMS; and BHA lead roles are not yet assigned to new resources who have the capacity to perform the full breadth of responsibilities.	Y
L	L	L	Requirements Management	Potential requirement gaps have been identified as part of DOH reviewing test scripts and analyzing requirements for potential user story swaps in Iterations 4 and 5. Therefore, IV&V has initiated a Part 2 requirements traceability evaluation to verify the completeness of requirements across Iterations.	G
M	M	M	Design and Development	DOH provided feedback to the SI regarding the latest draft of the Architecture Blueprint and the SI is currently updating the document for resubmission. Meanwhile, Iterations 2 and 3 have been finalized and Iteration 4 development approaches completion with demonstrations scheduled in September. There continues to be risk of misalignment and potential rework since development continues in the absence these guiding documents. In addition, recent changes to user stories have created a backlog of design questions that must be addressed in order to finalize the user stories for Iterations 4 and 5.	Y

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Executive Summary

Jun 18	Jul 18	Aug 18	Process Areas	IV&V Observations	Overall Health
L	M	M	Testing	The Government Cloud instance has been provisioned by Microsoft and the project is working through the migration from the SI's commercial instance to the Government instance. This category remains at risk until the project completes the migration and is able to execute the SharePoint integration testing activities.	Y
L	M	M	Data Management	While the project has made progress with resolving issues associated with the data migration files, new files have been identified and several are still pending finalization. The time remaining to fix data errors identified in the data migration files may not be sufficient and could impact downstream testing or other project activities. In addition, DOH provided feedback to the SI regarding the latest draft of the Data Management Plan; the SI is currently updating the plan for resubmission.	Y
M	M	H	Organizational Change Management	The OCM Plan is not yet finalized and early planning for the Implementation Phase indicates a large volume of pending decisions surrounding training and cutover, both of which impact the OCM activities for DOH. Without a plan that clarifies roles, responsibilities, and scope, DOH is unable to validate that the OCM activities can be aligned with the project's schedule or completed in a timely manner. IV&V has increased the rating of this category to High due to latency of the OCM plan and the growing number of planning and execution activities in this area juxtaposed with the lack of resources and approved planning documentation to facilitate them.	R

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Executive Summary

As of this reporting period, IV&V has 12 open findings: there are 6 Risks (1 high, 2 medium and 3 low) and 6 Issues (1 high, 4 medium and 1 low).

IV&V closed 5 (1 high Issue and 4 low Risks) findings.

To date, IV&V has identified 37 findings in total: 5 issues, 26 risks, and 6 observations) on the Hawaii BHA Integrated Case Management System Project.

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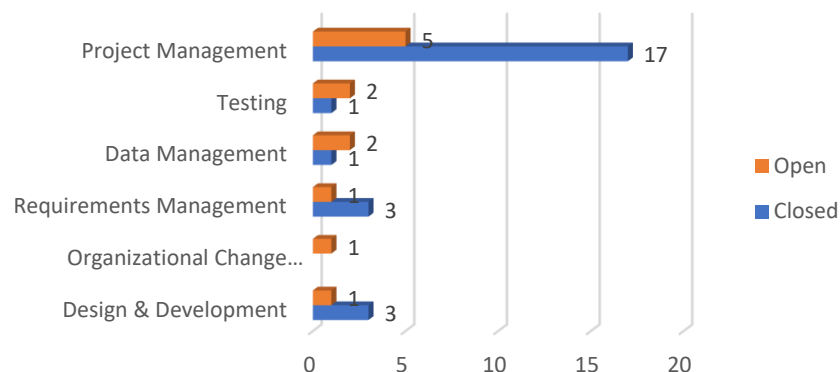
Open IV&V Findings by Criticality
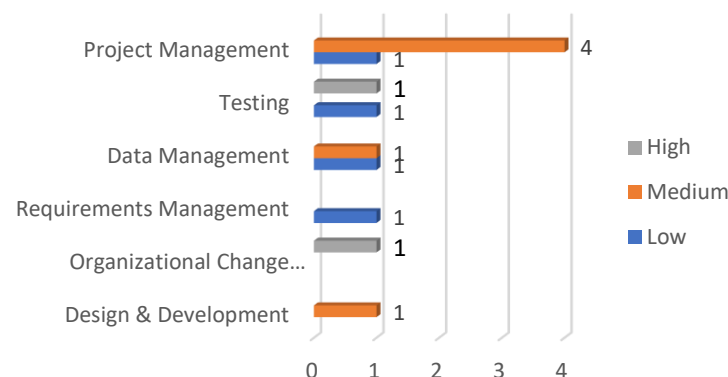
See Appendix C for trend data related to IV&V's monthly ratings for findings and overall project health.

IV&V Findings and Recommendations

Process Areas Reviewed

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

- Vendor Project Management

- Requirements Management

- Design and Development

- Testing

- Data Management

- Organizational Change Management

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
2	**Long sprint / iteration cycles:** The project has mitigated the longer sprint cycle through various activities and meetings which have provided DOH stakeholders more frequent information regarding how requirements will be met. These activities have resulted in much needed clarification regarding the system's functionality and constraints. **IV&V has closed this risk.**	
5	**Late-game analysis of requirements awaiting details from external sources:** [*Lead Entity: Vendor*] Meetings and discussions continue (e.g. with MedQuest and provider agencies) in order to address pending decisions on interfaces. However, this finding **transitioned from a risk to an issue** and the **rating for has increased to Medium** since the SI had reported that the remaining Iterations are at full user story capacity. Any changes to Iteration 4 or 5 user stories require deferral or removal of currently planned requirements for Phase 1.	M
16	**Unclear review and approval process for project deliverables:** [*Lead Entity: Vendor*] There are still three outstanding deliverables from Iteration 0: Data Management Plan, System Security Plan, and Architecture Blueprint. It is unclear what steps are remaining to complete these deliverables or what, if any, remediation will be required once they are finalized. IV&V continues to monitor the deliverable management process throughout Iteration 4 but lowers the rating of this risk to Low in recognition of observed process improvements.	L
19	**Access to enhanced federal funding may impact the project budget and/or scope:** [*Lead Entity: State*] DOH submitted the IAPD to DHS for internal review and has received minimal comments. DOH met with DHS representatives the last week of August in order to finalize the IAPD for submittal to CMS.	M

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IV&V Findings and Recommendations

Vendor Project Management (cont'd)

#	Key Findings	Criticality Rating
30	**Contingency Plan for Portal development resources not determined:** The SI secured the needed Portal resources from Global Logic and conducted knowledge transfer throughout August to quickly get these resources up to speed and working on Iteration 4 Portal user stories. **IV&V has closed this issue** since the contingency for Portal development has been fully deployed, DOH has approved the migration of all Portal stories to Iterations 4 and 5, and the project is back on track.	
28	**Contractual DED Process not consistently being utilized by SI:** Iteration DEDs and deliverables are now inclusive of acceptance criteria and are being created, reviewed, and approved on a flow basis without any major constraint. **IV&V has closed this risk**.	
33	**Execution of project activities occurring prior to approval of respective plans:** [*Lead Entity: Vendor*] IV&V continues to monitor for execution occurring before respective planning efforts have completed, notably in the areas of data migration, training, implementation, and OCM. For example, new data migration files were identified during the period and have been added to the project's scope though the Data Management Plan is not yet finalized.	M
34	**Unassigned BHA Lead resources may slow project progress:** [*Lead Entity: State*] The Implementation Phase, which includes Testing, OCM, and Cutover activities, typically requires heavy state staff participation. Currently, the BHA team does not have dedicated state Leads assigned to manage and guide the successful and timely completion of state-owned project tasks in these areas. IV&V has **increased the rating to Medium** since it has been observed that current assigned Leads are significantly over-allocated and challenged with juggling their current responsibilities with new ones associated with Implementation Phase activities as well as Phase 2 planning.	M

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IV&V Findings and Recommendations

Vendor Project Management (cont'd)

Recommendations	Progress
• SI to clarify acceptance criteria for each Iteration deliverable in the Iteration DED document.	Completed
• BHA and SI to work together to confirm the list of deliverables to be produced for the project.	Not started
• BHA to work closely with DHS to pursue available funding options.	In process
• Develop and document a contingency plan for development the Portal functionality.	Completed
• Prioritize and expedite the completion and approval of 'planning' related tasks and deliverables as quickly as possible	In process
• Identify and onboard Testing, OCM, and Cutover BHA Leads as quickly as possible	Not started
• Evaluate user stories (requirements) being deferred to Phase 2 and analyze the impact of not having these features in place prior to go live	In process
• Evaluate all the user stories (requirements) deferred beyond Iteration 5 (collectively) to analyze the impact	In process
• BHA to initiate Transition Planning activities to identify DOH's support requirements and develop a plan for securing and training help desk staff prior to go live	In process
• BHA to work within DOH to identify additional resources who can either work on the project or alleviate key project resources from their day-to-day (non-project) responsibilities so they can be fully allocated to the project until post implementation; alternatively, consider hiring temporary staff	In process

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IV&V Findings and Recommendations

Requirements Management

#	Key Findings	Criticality Rating
20	**TFS governance process**: TFS (Microsoft's Team Foundation Server) is the Project's central repository database of all requirements, user stories, development tasks, test cases, bugs, and source code. The concerns surrounding the completeness of the queries developed to analyze the data have been addressed. **IV&V closed this risk**.	
36	**Many-to-one mapping of user stories to requirements increases the complexity of validation activities**: Multiple user stories map to a single requirements; a single user story maps to multiple requirements and have multiple test scripts; and requirements are scheduled for delivery across Iterations. This complex mapping constrains DOH's ability to verify the accuracy of test scripts or the completeness of requirements as they perform day-to-day validation activities. Inaccurate mapping may result in incomplete test scripts or gaps in requirements.	L

Recommendations	Progress
• DOH work with IV&V to conduct a detailed assessment of the completeness of the mapping of user stories to requirements	In process

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IV&V Findings and Recommendations

Design and Development

#	Key Findings	Criticality Rating
12	**Use of accelerator:** The SI has provided DOH with the documentation that describes the level of customization and level of effort of making changes using the accelerator. **IV&V has closed this risk.**	
21	**Architecture Blueprint deficiencies:** DOH has provided feedback to the SI regarding the latest draft of the Architecture Blueprint; the SI is currently updating the document for resubmission. Planning for Phase 2, which includes interfaces, new resources, and potentially a revised approach, is underway and until the Blueprint is finalized, it is unclear if Phase 2 planning activities are appropriately aligned with the Blueprint.	M

Recommendations	Progress
• BHA to ensure SI design decisions are based on what's best suited for BHA and not on existing (base) accelerator functionality.	In process
• SI to document sufficient design details in the architectural blueprint, and that the content should focus on what the SI will do as opposed to what the products/platform can do.	In process
• SI to analyze the completed Iteration 0 Plans (Architecture Blueprint, System Security, and Data Management an document the gap between the approved deliverables and the project's artifacts developed to date	Not started

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IV&V Findings and Recommendations

Testing

#	Key Findings	Criticality Rating
35	**Inability to move to Government Cloud may impact the execution and quality of SharePoint Integration Testing**: The Government instance has been provisioned by Microsoft and the project is now able to migrate from the SI's commercial instance to the Government instance. The current approach is to align with the end of Iteration 4, to avoid migrating an incomplete solution mid way through an iteration. However, this risk became an issue in early August when UAT began and required work-around processes in lieu of the Government instance being available.	H
37	**Level of detail for test scripts in user stories may not fully address the nature of the mapped requirement**: Test cases mapped to user stories can lack the level of test script data (number of steps) necessary to fully test the whole requirement. Though, test cases are reviewed and test scripts are updated on a regular basis, it is difficult to discern whether all the test scripts across test cases and user stories cover the full scope of the requirement. IV&V has initiated a Part 2 requirements traceability evaluation which includes a cursory review of test scripts.	L

Recommendations	Progress
• SI to include test cases, scripts, and expected and actual results associated with each Iteration Test Plan for DOH review and approval	In process
• DOH work with SI to begin planning the implementation of the contingency for Integration Testing, if the Government Cloud instance is not ready in time)	In process
• DOH work with IV&V to conduct a detailed assessment of the completeness of the test scripts, across user stories, to fully address the mapped requirements	In process
• DOH to analyze the testing results from UAT Cycle 1 to determine if any testing activities was impacted as a result of the alternative UAT approach due to delay in Microsoft's migration to Government cloud.	Not started

IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
31	**Errors in the data migration files may impact the overall implementation schedule:** While the project has made progress with resolving issues associated with the extracted data migration files, new files have been identified and several are still pending finalization. If the data migration files or data are not formatted correctly, they will not process and migrate the data. Errors in the data files may delay testing and implementation if additional time is required to resolve them.	M
32	**No Finalized Data Management Plan to guide downstream activities**: DOH provided feedback to the SI regarding the latest draft of the Data Management Plan; the SI is currently updating the document for resubmission. In the absence of completed data management and control procedures, there may be ambiguity for project activities involving data. A Data Management Plan clarifies how data will/should be managed and controlled across environments.	L

Recommendations	Progress
• Form a dedicated task force with both DOH and RSM resources to meet daily and work on data migration tasks until the effort is back on track.	In process
• Expedite the completion of the Data Management Plan	In process

IV&V Findings and Recommendations

Organizational Change Management

#	Key Findings	Criticality Rating
7	**Minimal attention to User Adoption (buy-in):** The OCM Plan is not yet been finalized and early planning for the Implementation Phase indicates a large volume of pending decisions surrounding training and cutover, both of which impact the OCM activities for DOH. A documented OCM Plan serves to alleviate ambiguity regarding roles, task ownership, and activity timelines. OCM tasks are shared between DOH and RSM and include more than training. The OCM plan should be tactical and inclusive of all tasks so that a work plan can be created with resources assigned to activities. In the absence of a detailed plan, DOH is unable to validate that the OCM activities can be aligned with the project's schedule or completed in the allotted timeframe by the designated resources. IV&V plans to review the draft OCM plan when it becomes available from DOH.	H

| Recommendations	Progress
• Request the SI support DOH in the development of a comprehensive OCM strategy.	In process
• DOH to document and finalize the state's comprehensive approach for OCM as soon as possible	In process
• DOH to begin the detailed planning for OCM activities such as delivering Provider Training	In process

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Appendix A

This appendix provides the details of each finding and recommendation identified by IV&V. Project stakeholders are encouraged to review the findings and recommendations log details as needed.

- See Findings and Recommendations Log (provided under separate cover)
- Project Health Rating Definitions

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

Y
- The project is under control but also actively addressing resource, schedule or scope challenges that have arisen. There is a clear plan to get back on track.
- The project's risk and/or issues have been identified, and further mitigation is required to facilitate forward progress. The known impact of potential risks and known issues are likely to jeopardize the project.
- Schedule issues are emerging (> 30 days but < 60 days late).
- Project Leadership attention is required to ensure the project is under control.

R
- The project is not under control as there are serious problems with resources, schedule, or scope. A plan to get back on track is needed.
- The project's risks and issues pose significant challenges and require immediate mitigation and/or escalation. The project's ability to complete critical tasks and/or meet the project's objectives is compromised and is preventing the project from progressing forward.
- Significant schedule issues exist (> 60 days late). Milestone and task completion dates will need to be re-planned.
- Executive management and/or project sponsorship attention is required to bring the project under control.

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Appendix A (cont'd.)

Criticality Ratings

Criticality Rating	Definition
H	A high rating is assigned if there is a possibility of substantial impact to product quality, scope, cost, or schedule. A major disruption is likely and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately.
M	A medium rating is assigned if there is a possibility of moderate impact to product quality, scope, cost, or schedule. Some disruption is likely and a different approach may be required. Mitigation strategies should be implemented as soon as feasible.
L	A low rating is assigned if there is a possibility of slight impact to product quality, scope, cost, or schedule. Minimal disruption is likely and some oversight is most likely needed to ensure that the risk remains low. Mitigation strategies should be considered for implementation when possible.

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Appendix B: Inputs

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

Meetings attended during the reporting period:
1. Weekly SI project status meetings (7/21/18 – 8/31/18)
2. BHA ITS Weekly Status Meeting (selected)
3. Weekly Data Migration Meeting (selected)
4. Daily Scrum meetings (selected)
5. Weekly Meeting to address targeted questions (selected)
6. Weekly BHA IT Schedule Meeting (selected)
7. Weekly IV&V Deliverable Reviews meeting
8. Weekly Standing IV&V Report Review meeting
9. Monthly BHA IV&V PCG-RSM Report Review meeting
10. BHA IT Solution DDD Iteration 3 Demo (7/31/18)
11. DOH BHA - CAMHD Case Management Solution Demo - Iteration 3 (7/31/18)
12. DOH BHA IT Solution Project - Steering Committee (8/14/18)

Artifacts reviewed during the reporting period:
1. Iteration 3 DED
2. Iterations 3 and 4 Plan
3. Iterations 3 and 4 Test Plan
4. Iteration 3 TFS Backlog Report
5. Iteration 3 Defect Log
6. Iteration 3 Unit Test Results
7. Iteration 3 Review
8. Daily Scrum Notes (selected)
9. Data Management Meeting Notes (selected)
10. SI Project Schedule (ongoing)
11. RSM Weekly Status Reports (ongoing)

Eclipse IV&V® Base Standards and Checklists

Eclipse IV&V
Standards

Appendix C

Trend Data

Process Area	2018												2019				
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
Overall Project Health				G	Y	G	Y	Y									
Project Management	Y	Y	G	G	Y	G	Y	Y									
Requirements Management	Y	G	G	G	Y	G	G	G									
Design and Development	Y	Y	G	G	Y	Y	Y	Y									
Testing					G	G	Y	Y									
Data Management					G	G	Y	Y									
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R									
Total Open Findings	**18**	**17**	**19**	**17**	**17**	**15**	**17**	**12**									
Issue - high							1										
Issue - medium				1	1	2	4	5									
Issue - low								1									
Risk - high								1									
Risk - medium	10	4	5	9	3	1	3	1									
Risk - low	6	10	10	3	10	11	9	4									
Observations - high																	
Observations - medium	2	1	1	2	1	1											
Observations - low		2	3	2	2												

Trend: Overall Project Health

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Id	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
5	09/01/17	**Late-game analysis of requirements awaiting details from external sources** [Lead Entity: Vendor]	Appears the SI does not perform late game analysis of requirements, preferring to define all user stories upfront until other dependencies are known. For example, instead of putting the DHS interface requirement specification on hold until it's clear whether DHS will provide a web	One of the primary benefits of an Agile approach is that requirements that are not ready to be fully defined (e.g. requirements that are awaiting outside agency information/details) can be addressed later without a loss of productivity. An unwillingness to define requirements at a later date may increase the risk that the SI develops features that are not needed or no longer meet the needs of the users. This could also incur additional project costs if the SI fails to accurately estimate late-game user stories and considers any late-game requirements as enhancements that will incur additional cost or swaps (see observation #26).	Recommend BHA evaluate all the user stories (requirements) being deferred past Iteration 5 and analyze the impact of not having these features in place prior to go live as well as evaluate the plan for when these features will be delivered during Phase 1 M&O. Recommend BHA and the SI come to agreement on a limited list of requirements that will be defined at a later date. Recommend the SI avoid spending time, where it makes sense, on requirements with external dependencies. Once an agreement is reached, IVV will continue to monitor to validate that the BHA's expectations are met.	8/31/18: During the period, DOH requested changes to requirements resulting from the feedback received at the Iteration 3 demonstrations. With only two Iterations remaining, the additional user story scope could not be accommodated by the SI and BHA worked quickly to reviewk, prioritize, and ultimately swap existing user stories out to accommodate the new requested user stories. Those user stories (requirements) pulled from Iteration 4 or 5 will need to be scheduled for delivery post implementation. It is unclear how this deferred functionality is being categorized (e.g., enhancement, deferred requirement, or defect). When details regarding the pending DHS interface are known, it may not be feasible to complete this work during Iterations 4 or 5. 7/20/18: Decisions regarding DHS interfaces are still pending. However, the IAPD approaches completion and is anticipated to be submitted during the next reporting period. 6/19/18: Meetings and discussions continue and the IAPD update is in	Project Management	Issue	Medium	Open
7	09/01/17	**Minimal attention to User Adoption (buy-in)**	SI seems to lack a comprehensive strategy to support user adoption.	Failure to implement an effective user adoption strategy could lead to resistance during system rollout, refusal to participate in the development/rollout process, resistance to use the system, and negative public perceptions (including the media). In the end, this could lead to a reduction of ongoing project funding, a weakened SI reputation, as well as long-term public scrutiny and criticism.	Recognizing that the SI has committed to a training (sandbox) environment for SME validations of functionality and to provide the opportunity for user involvement, IV&V would suggest that other measures should be taken as well. For example, although the State has initiated the practice of tracking pain points, the process for how the SI will utilize this list has not been clearly identified and monitored. Tracking pain points can be an effective OCM strategy for user adoption and buy-in as it provides visibility to the users of problems the system is actually solving and provides traceability of pain points to system features during sprint demos. IV&V also recommends BHA request the SI adopt a general user adoption strategy going forward. IVV will continue to monitor to validate that the BHA's expectations are met.	8/31/18: The OCM Plan is not yet been finalized and early planning for the Implementation Phase indicates a large volume of pending decisions surrounding training and cutover, both of which impact the OCM activities for DOH. IV&V has increased the rating of this risk due to the growing number of planning and execution activities in this area juxtaposed with the lack of resources and approved planning documentation to complete them efficiently and timely. 7/20/18: The draft OCM Plan is still pending and DOH is unable to validate that the OCM activities can be completed in the allotted timeframe by the designated resources. Also, DOH requested that the training curriculum (at least the wire frame) be provided sooner (than Iteration 5 as currently planned) so that DOH can begin analyzing what additional OCM training is needed for the OCM Plan. 6/29/18: DOH continuing to draft the OCM Plan - initial draft should be ready	Organizational Change Management	Risk	High	Open
16	01/23/18	**Unclear review and approval process for project deliverables** [Lead Entity: Vendor]	SI has delivered the Project Management Plan (including project work plan), Deliverable Expectation Document, and Test Strategy. The SI PM/Lead Analyst has stated there is an assumption of tacit signoff on some or all of these deliverables due to the fact that they have been delivered and that BHA has offered little to no response. To date, the SI has not conducted review	The RFP states, "All deliverables require state signoff as acknowledgement that the deliverable was satisfactorily performed/developed." Without an explicit signoff process for deliverables, the SI may assume their customer has agreed to plans, methodologies, activities and processes, when they have serious concerns. For example, the Project Management Plan should provide details of methods, processes and activities that will be employed throughout the project. Lack of clear understanding and agreement of project methods and activities can reduce project productivity, quality, and effective management. Misunderstandings about project approach and process may increase the risk of negative impact to the budget and schedule, not to mention BHA stakeholder	Recommend BHA request the SI clarify and follow an agreed upon deliverable acceptance and sign-off process, which should include review sessions to ensure clear understanding and open dialog around each deliverable. Recommend deliverables only be signed off when all issues have been resolved with BHA leadership as well as a signoff process that leaves no room for ambiguity. Recommend BHA and SI come to agreement on deliverables best suited to be "live" documents (documents that will continue to be updated throughout the project as content becomes available/solidified). Recommend BHA request SI deliverable review sessions on key deliverables (e.g. Architecture Blueprint, Configuration Management Plan, Data Management Plan) prior to signoff. Once an agreement is reached, IV&V will continue to monitor to validate that the BHA's expectations are met. Recommend BHA and SI work together to define detailed acceptance criteria for each Iteration deliverable type.	8/31/18: The three outstanding deliverables from Iteration 0 are still outstanding: Data Management, System Security, and Architecture Blueprint. It is unclear what steps are remaining to complete these deliverables or what, if any, remediation will be required once they are finalized. IV&V continues to monitor the deliverable management process throughout Iteration 4 but lowers the rating of this risk to Low in recognition of observed process improvements. In addition, IV&V awaits confirmation of the remaining deliverables in scope resulting from Amendment 1. 7/20/18: Increasing risk to Medium priority. The overarching DED for all Iteration deliverables has not yet been approved and the Architecture, System Security, and Data Management Plan all continue to be outstanding. Also, IV&V compared the deliverables in the original contract against Amendment 1 to investigate observed ambiguity regarding deliverables in/out of scope and identified several deliverables that need to be confirmed by the project. 6/22/18: DAD (Deliverable Acceptance Document) have been provided for most of the Iteration 1 deliverables and the project initiated a new DED (Deliverable Expectation Document) process for Iteration 2 deliverables. IV&V will continue to monitor the new DED process throughout Iteration 2.	Project Management	Risk	Low	Open

Id	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
19	09/01/17	**Federal funding risk** [Lead Entity: State	Ability to access enhanced federal funding as initially planned is at risk due to State Medicaid Agency delays in completing its MITA State Self Assessment	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.	8/8/18: DOH submitted the IAPD to DHS for internal and has received minimal comments by the August 15 deadline. IV&V awaits confirmation from DOH that the IAPD has been finalized and submitted to CMS for approval. 7/20/18: IV&V understands that the project is working towards submitting the IAPD as soon as possible to address this risk. 7/9/18: Update from Laurie: (1.) DOH is currently analyzing RSM's updated	Project Management	Issue	Medium	Open
21	2/23/18	**Architecture Blueprint and Roadmap deficiencies**	IV&V reviewed the SI's draft Architecture Blueprint and Roadmap deliverables and observed that the documents seem to be missing key information.	The architectural blueprint document provides key system design details (captured during the design phase) and infrastructure details critical to the development phase. Lack of a planned and documented design decisions could lead to confusion and rework by the development team and can hinder strategic planning (e.g. licensing) for the project team. In the end this could lead to a less than optimal development phase. Similar deficiencies were noted in the Roadmap, and due to the significance of this	Revise the latest draft of the Architecture Blueprint to align with industry standards.	8/31/18: DOH and IV&V have provided feedback to the SI regarding the latest draft of the Architecture Blueprint; the SI is currently updating the document for resubmission. In addition, the project added another biweekly Design/Issue meeting to address new design questions stemming from changes requested by DOH for Iterations 4 and 5 based on feedback from Iteration 4 demonstrations. 7/20/18: The Architecture Blueprint was updated and made available for review during the reporting period. IV&V is reviewing the document. 6/22/19: 44% of the stories are in Phase 2 and are for Interfaces. Phase 2 is	Design & Development	Issue	Medium	Open
31	7/20/2018	**Errors in the data migration files may impact the overall implementation schedule**	Files or data unable to be processed as part of the planned data migration may jeopardize the project's schedule.	If the data migration files or data is not formatted correctly, they will not convert. Errors in converted data may delay the implementation if additional time is required to resolve them.	Form a dedicated task force with both DOH and RSM resources to meet daily and work on data migration tasks until the effort is back on track.	8/31/18: While the project has made progress with resolving issues associated with the data migration files, new files have been identified and several are still pending finalization. 7/20/18: Opened as a new risk. DOH is working to resolve file and data format issues to meet data migration objectives, requirements, and success criteria.	Data Management	Risk	Medium	Open
32	7/20/2018	**No Finalized Data Management Plan to guide downstream activities**	Without a documented Data Management Plan, the project is unable to provide guidance or clarifications regarding data-related activities or work products.	In the absence of defined data management and control procedures, the project is unclear regarding when and how to comply with data standards or what data parameters or thresholds are adequate. A Data Management Plan clarifies how data will/should be managed and controlled across environments; however, it is currently unclear what data exists in each environment or how data will managed during UAT.	Expedite the completion of the Data Management Plan Define the minimum data requirements for UAT and other environments	8/31/18: DOH and IV&V have provided feedback to the SI regarding the latest draft of the Data Management; the SI is currently updating the document for resubmission. 7/20/18: Opened as a new issue RSM released a draft plan on July 10; IV&V provided feedback on July 19. IV&V will review the next version of the Data Management Plan evaluating its adequacy to support the remaining project tasks. Meanwhile, for example, interface files are producing errors due to inaccurate formatting and DOH is planning to move forward with the data that can convert. However, it is known whether or not the error-free data that will be sufficient to support all UAT test cases.	Data Management	Issue	Low	Open

Id	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
33	7/20/2018	**Executing project activities before planning is complete and approved** [Lead Entity: Vendor]	Project resources have worked on tasks in hopes of making progress even though the plan and/or approach for doing the work has not yet been approved. Until or after project plans are approved, completed project tasks are subject to rework.	When project resources execute work before planning activities have completed and documented approaches, plans, and procedures are approved, they run the risk of not completing the work appropriately. Then, either later in the project's life cycle the work must be redone or the project must determine if the work is 'good enough' to proceed. The former scenario causes strain on resources and the project's schedule and the latter scenario results in reduced quality in the project's outputs. An example is the data migration files. A documented plan may have assuaged the formatting errors now facing the project. Other examples include: requirements management and defining acceptance criteria.	Focus on completing the Planning activities and obtain agreement on the plan, approach, and/or procedures for these upcoming phases (at a minimum): User Acceptance Testing, Data Migration, Training, Cutover and Implementation, OCM, and Post-Implementation.	8/31/18: IV&V observed continued efforts to complete planning activities whilst executing project activities. For example during the reporting period, DOH requested changes (swaps) to user stories already planned for Iteration 4 in order to prioritize and ensure delivery of functions in Phase 1 identified by DOH stakeholders in the latest demonstration. Changing the scope of Iteration 4 while it was in progress increased the risk of potential development rework. Also, new data migration files were identified during the period and have been added to the project's scope though the Data Management Plan is not yet finalized. Finally, OCM-related emails are being sent to stakeholders, advocating participation and feedback, while the OCM plan is still being drafted. 7/20/18: Opened as a new risk. DOH and RSM continue to work on project deliverables whilst moving forward with development and testing activities for future Iterations.	Project Management	Issue	Medium	Open
34	7/20/2018	**Unassigned BHA Lead resources may slow project progress** [Lead Entity: State]	The project is progressing into the Implementation Phase which includes Training, Testing, and Cutover and typically requires heavy state staff participation. Currently, the BHA team does not have state Leads assigned to manage and guide the successful and timely completion state-owned project tasks in these areas.	Training, Testing and Cutover project activities require a specialized focus during the Implementation Phase to ensure these activities are completed appropriately and are compliant with requirements and high quality standards. When existing project resources take on these late-coming project responsibilities, on top of their existing workload, there is increased risk that insufficient attention will be given to drive these activities to completion. Further, there is additional benefit to assigned SMEs with expertise in these areas to perform Lead responsibilities as their insight and experience can help mitigate risk and foster the implementation of best practices.	Perform analysis on the state-owned tasks for Training, Testing, and Cutover project activities in order to define a role and distinct set of responsibilities for Lead SMEs for each. BHA to identify and assign LEAD SME resources to champion these respective project activities during the Implementation Phase.	8/31/18: The Implementation Phase, which includes Testing, OCM, and Cutover activities, typically requires heavy state staff participation. Currently, the BHA team does not have dedicated state Leads assigned to manage and guide the successful and timely completion of state-owned project tasks in these areas. IV&V has increased the rating to Medium since it has been observed that current assigned Leads are significantly over-allocated and challenged with juggling their current responsibilities with new ones associated with Implementation Phase activities as well as Phase 2 planning. 7/20/18: Opened as a new risk. BHA is already actively searching for a UAT Lead and plans to fill this role in the next reporting period.	Project Management	Risk	Medium	Open
35	7/20/2018	**Inability to move to Government Cloud may impact the execution and quality of SharePoint Integration Testing**	The Azure Government Cloud must run Microsoft Dynamics v9.0 in order to the project to execute the SharePoint Integration Test as planned. The project has been tracking and monitoring this risk throughout 2018 and the July 31 trigger	Azure Government cloud is not yet runnging Dynamics v9.0 which may impact the project's ability to later move from RSM Commercial instance to the Government cloud instance which is needed for SharePoint integration test. This testing could be delayed until the project can move tothe Government cloud instance. The current BHA v8 government instance is being used for Credentialing and the project can proceed with a new instance for CRM on v9. If Government instance is not available, the project must identify a contingency approach for testing using the	DOH to analyze the testing results from UAT Cycle 1 to determine if any testing activities or testing quality was impacted as a result of the alternative approach. DOH work with SI to begin planning the implementation of the contingency for Integration Testing, if the Government Cloud instance is not ready in time.	8/31/18: The Government instance has been provisioned by Microsoft and the project is now able to migrate from the SI's commercial instance to the Government instance. The current approach is to align with the end of Iteration 4, to avoid migrating an incomplete solution mid way through an iteration. However, this risk became on issue in early August when UAT began and required a work-around testing process in lieu of the Government instance being available. 7/24/18: Project was notified during the Draft review cycle that Microsoft reported that the upgrade will be complete by July 31. IV&V added this finding out of reporting cycle in order to expedite the coummunication of this risk to the project.	Testing	Issue	High	Open

Id	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
36	7/20/2018	**Many-to-one mapping of user stories to requirements increases the complexity of validation activities**	There can be multiple user stories mapped to a single requirements; and a single user story can be mapped to multiple requirements and have multiple test scripts. Requirements are scheduled for delivery across Iterations. This	The project has converted the project's requirements into user stories. All the user stories, in the aggregate, should be representative of all requirements. The data that correlates user stories to requirements resides in TFS and the project has had difficulty reviewing and validating the data in and exported out of TFS. Since requirements/user stories are validated Iteration by Iteration, a comprehensive validation may not be able to be completed until all development has completed and user acceptance testing has begun. Lack of	DOH work with IV&V to conduct a detailed assessment of the completeness of the mapping of user stories to requirements	8/31/18: Potential requirement gaps have been identified as part of DOH reviewing test script and analyzing requirements for potential user story swaps in Iterations 4 and 5. Therefore, IV&V has initiated a Part 2 requirements traceability evaluation to verify the completeness of requirements across Iterations. 7/20/18: Opened as a new risk.	Requirements Management	Risk	Low	Open
37	7/20/2018	**Level of detail for test scripts in use storie(s) may not fully address the nature of the requirement**	Test cases mapped to user stories can lack the level of test script data (number of steps) necessary to fully test the whole requirement. Though, test cases are reviewed and test scripts are updated	Incomplete test scripts could lead to a portion of the system or busines process not being testing and validated prior to approving the system for implementation. Once implemented, untested functionality may result in defects that impede the End Users ability to obtain services from DOH.	DOH work with IV&V to conduct a detailed assessment of the completeness of the test scripts, across user stories, to fully address the mapped requirements	8/31/18: IV&V has initiated a Part 2 requirements traceability evaluation to verify the completeness of requirements across Iterations. 7/20/18: Opened as a new risk.	Testing	Risk	Low	Open