

DAVID Y. IGE
GOVERNOR



TODD NACAPUY
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

P.O. BOX 119, HONOLULU, HAWAII 96810-0119
Ph: (808) 586-6000 | Fax: (808) 586-1922
ETS.HAWAII.GOV

December 11, 2018

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

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

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

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation 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 Independent Verification and Validation (IV&V).

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

Sincerely,

A handwritten signature in black ink, appearing to read "Todd Nacapuy".

TODD NACAPUY
Chief Information Officer
State of Hawai'i

Attachment (2)



Hawaii BHA Integrated Case Management System Project

*Final IV&V Report for the period of
November 1 - 30, 2018*

Overview

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

Executive Summary













Overall
Project
Health:

Y

The overall project health remains Yellow, a caution rating, due to the following: unassigned or overallocated BHA Leads who are dedicated to Implementation Phase activities; unclear management and enforcement of service level agreements; inconsistent documentation to support requirements validation; delays and complications in completing the project's data migration activities; incomplete resource planning and analysis to support the OCM Plan, and the potential impacts resulting from the timing of CMS' review and approval of the state's IAPD. One finding was closed during this reporting period, while one new finding and one new observation were opened. Thus far, the project remains on schedule for Phase 1 deployment, though there is concern regarding the timing of CMS' review and approval of the IAPD, which could impact Phase 2.

Sep 18	Oct 18	Nov 18	Process Areas	IV&V Observations	Overall Health
M	M	H	Project Management	This process area has been upgraded to a High (red) for the November reporting period as a result of the timing of CMS' review and approval of the IAPD and the potential impact it could have on Phase 2 funding; clarity that is needed regarding the documentation and enforcement of contractual SLAs; and unclear BHA resource assignments to upcoming deployment activities.	Y
L	M	M	Requirements Management	IV&V introduced two new findings in the October reporting period specific to the full inclusion of project requirements in TFS, as well as the complete and validated mapping of project requirements to user stories. IV&V is not aware of any updates to either of these findings for the November reporting period.	Y
M	L	L	Design and Development	There are no active findings in the Design and Development Process Area for the November reporting period.	G

Executive Summary

Sep 18	Oct 18	Nov 18	Process Areas	IV&V Observations	Overall Health
			Testing	IV&V opened a new risk in the November reporting period regarding the entrance and exit criteria provided in the Iteration 6 Final System Test / Regression Test Plan. If entrance and exit criteria are not collaboratively planned for and documented, there is a high likelihood that final System Test results may be incomplete and unacceptable, causing schedule delays.	
			Data Management	The project is encountering delays in data migration efforts resulting from unclear instructions being provided to the state regarding both the upload process and tool usage, resource limitations, and outstanding defects owned by Microsoft, which now threaten the quality of downstream activities such as UAT and go-live. Closer and more frequent collaboration between the vendor and state, the full dedication of resources to meet missed milestones, and a detailed checklist specific to the completion of key activities is strongly recommended.	
			Organizational Change Management	The OCM Implementation and the OCM Training Plan both provide information regarding roles and responsibilities, timing, methods and medium for training delivery, expectations, and goals. There are still some gaps that remain and IV&V is looking to review additional information regarding logistics, results, and feedback. Additionally, while train-the-trainer (TTT) materials were delivered ahead of schedule contractually, they were not delivered to BHA with enough lead time for the state to perform a quality review, which resulted in some worker functions not being covered in the material, and therefore needing to be covered ad hoc in the TTT sessions.	

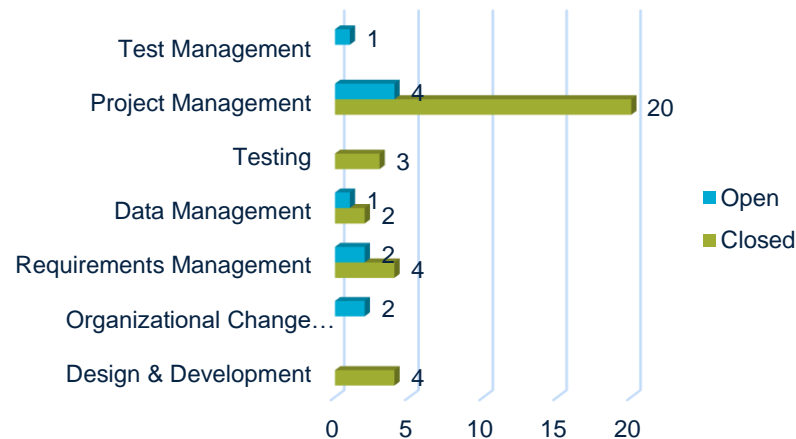
Executive Summary

As of this reporting period, IV&V has 10 open findings: there are 6 Risks (1 low, 2 high and 3 medium), 3 Issues (1 high and 2 low), and 1 observation (low).

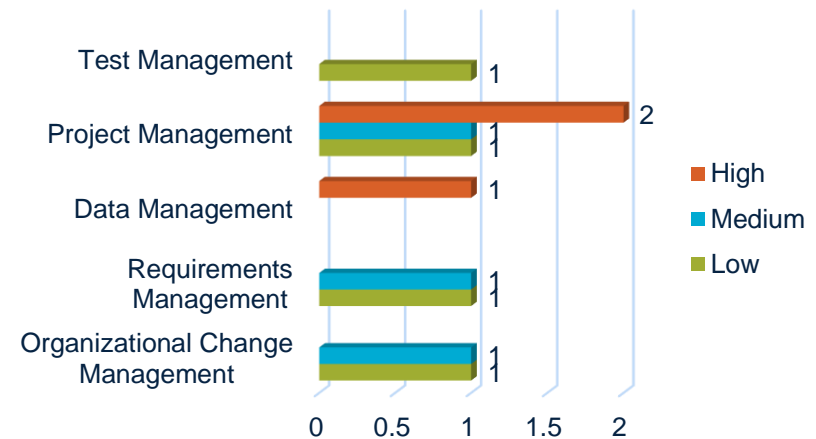
IV&V closed 1 finding during the November reporting period.

To date, IV&V has identified 43 findings in total (9 issues, 27 risks, and 7 observations) on the Hawaii BHA Integrated Case Management System Project; with 33 findings having been closed.

IV&V Findings by Status



Open IV&V Findings by Criticality



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

IV&V Findings and Recommendations

Process Areas Reviewed

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

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


IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
19	Access to enhanced federal funding may impact the project budget and/or scope: <i>[Lead Entity: State]</i> The state received a set of 14 questions from CMS in November, which IV&V and DOH prioritized and jointly addressed. Currently, DOH and DHS are working to finalize these responses to CMS. The timing of CMS' review and approval of the state's IAPD presents a high risk to the project's funding and timeline of Phase 2.	H
33	Execution of project activities occurring prior to approval of respective plans: <i>[Lead Entity: State]</i> BHA has provided updated documentation to ensure that key OCM roles and activities are appropriately assigned. Further, there has been a shifting of resources working on UAT and Data Migration, in an attempt to catch up on lost ground. IV&V is encouraged by this effort, however, will continue to monitor this issue throughout the Implementation phase as we are not aware of any of the following plans being provided and/or updated in November, as recommended: UAT Plan, Training, Cutover and Implementation, and Post-Implementation.	L
34	Unassigned BHA Lead resources may slow project progress: <i>[Lead Entity: State]</i> The BHA resource requirement to satisfy all activities outlined in the deployment schedule and OCM Plan have not been confirmed and current BHA Leads are multi-tasking across project areas. IV&V is not presently aware of Leads being assigned to Training, Testing, or Cutover. However, further details on Implementation Phase and OCM specific activities were provided in the "DRAFT TEMPLATE OCM Implementation - 11-01-18" document as well as the "OCM Training Plan version - 10-31-18".	M
38	Service Level Agreements (SLA's) are insufficiently documented: <i>[Lead Entity: State]</i> The contract does not contain a complete and detailed reference to the state of HI's Enterprise Agreement with Microsoft regarding service and performance levels, specifically incident and problem management, and solution millisecond response times. Due to this, there is some confusion on the project regarding the management and enforcement of contractual SLAs. Both RSM and BHA are aware of this issue, and have agreed to work jointly to resolve the management and documentation of SLAs and to determine how service levels will be measured and enforced.	H

IV&V Findings and Recommendations

Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
41	Discrepancies in project documentation have been identified in several project deliverables or work products: [Lead Entity: Vendor] Upon further review with DOH and RSM, IV&V is closing this issue as it is duplicative of and/or represented in the updates to findings #31, #38, #39, #40, and #42. Through the regular updating of these findings, IV&V will continue to monitor the gaps and discrepancies in project documentation.	

Recommendations	Progress
<ul style="list-style-type: none">BHA to work closely with DHS to pursue available funding options.	In process
<ul style="list-style-type: none">Focus on completing the detailed planning and documenting roles and responsibilities to support the deployment activities and post-launch	In process
<ul style="list-style-type: none">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
<ul style="list-style-type: none">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
<ul style="list-style-type: none">Determine and communicate the service level agreements intended to be in the contract and validate project activities support achieving or measuring them	In process
<ul style="list-style-type: none">Itemize and prioritize the documentation areas that warrant review and revision before closing out Phase 1 and moving forward with Phase 2. Develop an action plan to remediate by the end of January 2019.	In process

IV&V Findings and Recommendations

Requirements Management

#	Key Findings	Criticality Rating
39	Requirements to user stories' associations are inconsistent within TFS: As a component of IV&V's RTM validation effort for requirements to user stories, approximately 9% of the sample size (and thus, potentially the entire project) are missing required TFS relationships between requirements and all user stories. Per previous agreement between BHA and RSM, RSM will provide documentation that proves how specific requirements are met by existing solution functionality (i.e., out-of-the-box), and therefore do not need to be mapped to user stories. It is IV&V's understanding that a target of late-December was decided on for providing updates on this effort.	L
40	A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software: As a component of IV&V's RTM validation effort for requirements to user stories, IV&V identified requirements that are not included in user stories and/or the BHA-ITS software. DOH and PCG have agreed to work together to review PCG's RTM analysis and determine the gaps and any resulting strategy or plan of action needed.	M

Recommendations	Progress
<ul style="list-style-type: none"> Identify inconsistencies in requirements to user story relationships within TFS in order to ensure that complete requirements traceability is established for the project. 	Not started
<ul style="list-style-type: none"> Identify inconsistencies in requirements implementation in user stories and the BHA-ITS software and incorporate all requirements determined to be missing in both user stories and the BHA-ITS software solution. 	Not started
<ul style="list-style-type: none"> Evaluate user stories (requirements) and requests being deferred to Phase 2 and analyze the impact of not having these features developed prior to go live. 	In process

IV&V Findings and Recommendations

Design and Development

#	Key Findings	Criticality Rating
	There are no active findings in the Design and Development Process Area	

IV&V Findings and Recommendations


Testing

#	Key Findings	Criticality Rating
42	New RISK - Insufficient entrance and exit criteria details in the “Final System Test / Regression Test” Document [<i>Lead Entity: Vendor</i>]: The recently delivered “Final System Test / Regression Test” Document does not clearly define and describe entrance and exit criteria. The vendor does provide greater detail on Regression and System test entrance and exit criteria in the "DOH BHA-ITS Testing Strategy _ 021218" document, which has been reviewed and accepted by BHA. However, these criteria are neither cited in the document, nor referenced to at an appropriate location within the "Final System Test / Regression Test" document, thus reading as if the entry and exit criteria are not sufficiently accounted for in this phase of testing. If entrance and exit criteria are not sufficiently documented in a critical test phase such as Regression or System test, the potential for insufficient testing and inappropriately passing defects is increased.	L

Recommendations	Progress
<ul style="list-style-type: none">IV&V recommends that the vendor either re-state the entrance and exit criteria as stated in the approved "DOH BHA-ITS Testing Strategy _ 021218" document, cite and link to the approved document.	Not started
<ul style="list-style-type: none">IV&V recommends that the vendor provide additional language to ensure complete clarity around the exit criteria regarding Sev 2 - High defects, explaining that ONLY high defects approved by BHA leadership can be postponed for resolution after go-live.	Not started

IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
31	<p>Errors in the data migration files may impact the overall implementation schedule [<i>Lead Entity: SHARED State and Vendor</i>]: DOH continues to make progress against data migration milestones, with DD having completed data cleansing for upload of TIER 1 data, and is making good progress against TIER 2 data. Additionally, both state and vendor resources assigned to data migration activities are nearing their capacity. Recently, the state's data migration effort was impacted by incomplete procedures and instructions detailing the pre-load and load processes provided by the vendor, and the usage of the Scribe tool, which resulted in failed load attempts; however progress is being made to improve and deliver the needed documentation to complete these activities. Further, there currently are a number of bugs that BHA is working with Microsoft to resolve, one of which is a High severity with the potential to block critical data migration activities. Microsoft is actively working these issues now, with daily calls scheduled with BHA. Due to the proximity to and potential impact on implementation activities, including go-live, IV&V is escalating this to a high risk.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> Determine alternative methods for piloting, analyzing, and/or remediating data migration activities and outputs prior to or during the cutover period. 	In process
<ul style="list-style-type: none"> Ensure that state resources are appropriately allocated to execute and support the planned data migration activities, including catch up activities. 	Not started
<ul style="list-style-type: none"> The vendor must ensure that all documentation provided to the state to execute and support data migration processes is accurate, complete, and delivered in a timely manner. 	Not started
<ul style="list-style-type: none"> The vendor should create a single, comprehensive checklist of all steps, expectations, and roles/responsibilities for BHA to successfully complete data migration activities. This checklist should be completed <u>immediately</u> and provided to the state. 	Not started

IV&V Findings and Recommendations

Organizational Change Management

#	Key Findings	Criticality Rating
7	Attention to User Adoption (buy-in): The project released a draft OCM Plan in September which provides a high-level strategy to support user adoption. The OCM Plan outlines the approach that will be taken by the state to support end user adoption of the new case management system but lacks the details regarding specific roles and responsibilities, timeline information, metrics for measuring and assessing the transition, communication and escalation procedures, and the processes to be employed to facilitate adoption. In November, the project provided to IV&V the “DRAFT TEMPLATE OCM Implementation – 11 -01 – 18” and the “OCM Training Plan version 10 – 31 – 18” documents for review. These documents further bridge the gap regarding how the project will achieve user adoption, providing additional information on roles and responsibilities, timelines, and communication procedures. While an improvement from last month, IV&V believes that this remains a valid risk, one that should be addressed immediately by BHA, and will continue to monitor in the December reporting period.	M
43	New OBSERVATION - Insufficient lead time in the delivery of train-the-trainer documentation [Lead entity: Vendor]: Train-the-trainer (TTT) materials were delivered ahead of schedule contractually, however, they were not delivered to BHA with enough lead time for the state to perform a quality review, as is best practice. This resulted in some worker functions not being covered in the material, and therefore needing to be covered ad hoc in the TTT sessions. Gaps in training documentation can result in workers not knowing how to sufficiently use the system, which can have multiple impacts on the success of the project, not least of which being user buy-in.	L

Recommendations	Progress
• Complete the detailed activities, definitions of roles/responsibilities, and development of process flows to support the deployment activities.	In process
• Initiate an OCM forum which meets regularly to focus on the execution and mitigation of OCM-related activities	Not started
• Vendor and state to agree to a “no later than date” for delivery of training materials to allow BHA the opportunity to perform a quality review	Not started

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.

4

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 reporting period:

1. BHA ITS Weekly Status Meeting (selected)
2. Weekly Data Migration Meeting (selected)
3. Daily Scrum meetings (selected)
4. Weekly Meeting to address targeted questions (selected)
5. Weekly BHA IT Schedule Meeting (selected)
6. Weekly IV&V Deliverable Reviews meeting
7. Weekly Standing IV&V Report Review meeting
8. Monthly BHA IV&V PCG-RSM Report Review meeting
9. Twice weekly / Issue / Defect meeting (selected)

Artifacts reviewed during the reporting period:

1. Iteration 6 DED
2. Iterations 6 Final System Test / Regression Test Document
3. DRAFT TEMPLATE OCM Implementation - 11-01-18
4. OCM Training Plan version - 10-31-18
5. Hawaii DOH_Data Import
6. Deployment timeline Diagram v16
7. Daily Scrum Notes (selected)
8. Data Management Meeting Notes (selected)
9. SI Project Schedule (ongoing)
10. RSM Weekly Status Reports (ongoing)
11. Iteration 0 – Security Plan

Eclipse IV&V® Base Standards and Checklists



**Eclipse IV&V
Standards**

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



www.publicconsultinggroup.com

BHA Findings 2018 October Report

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
7	09/01/17	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. IV&V will continue to monitor to validate that the BHA's expectations are met.	<p>11/26/2018: The project released a draft OCM Plan in September which provides a high-level strategy to support user adoption. The OCM Plan outlines the approach that will be taken by the state to support end user adoption of the new case management system but lacks the details regarding specific roles and responsibilities, timeline information, metrics for measuring and assessing the transition, communication and escalation procedures, and the processes to be employed to facilitate adoption. In November, the project provided to IV&V the "DRAFT TEMPLATE OCM Implementation – 11 -01 – 18" and the "OCM Training Plan version 10 – 31 – 18" documents for review. These documents further bridge the gap regarding how the project will achieve user adoption, providing specifics on roles and responsibilities, timelines, and communication procedures. While an improvement from last month, IV&V believes that this remains a valid risk that BHA should address immediately, and will continue to monitor in the December reporting period.</p> <p>10/31/18: The project released a draft OCM Plan in September which provides a high-level strategy to support user adoption. The OCM Plan outlines the approach that will be taken by the state to support end user adoption of the new case management system but lacks the details regarding specific roles and responsibilities, timeline information, metrics for measuring and assessing the transition, communication and escalation procedures, and the processes to be employed to facilitate adoption. IV&V has increased the priority of this finding to High since these details are not yet fully defined whilst the project is heavily engaged in executing Implementation Phase activities and already executing OCM-related tasks (e.g., Train-the-Trainer).</p> <p>9/30/18: The team conducted targeted planning session throughout the reporting period and focused on planning the activities required for the Implementation Phase. As a result, many OCM-related decisions have been made related to the approaches, scope, and timing for training, transition activities, and communications for both internal and external (Provider) stakeholder groups. Completion of the OCM plan is pending updates which reflect recent planning decision. Many OCM best practices, such as conducting system overview sessions prior to UAT as well as identifying and including System Champions (or Super Users) in the UAT activities, have been incorporated into the approach. Due to the planning progress and forward thinking mitigation to ensure user adoption, IV&V is lowering the severity of this risk.</p> <p>8/31/18: The OCM Plan is not yet been finalized and early planning for the Implementation Phase</p>	Organizational Change Management	Risk	Medium	Open		0	Brian Nagy
19	09/01/17	Federal funding risk [Lead Entity: State]	Ability to access enhanced federal funding as initially planned is at risk due to State Medicaid Agency delays in completing its MITA State Self-Assessment (SS-A) prior to the submittal of DOH's IAPD.	Delays in securing enhanced funding has delayed system development. Inability to claim federal funds could negatively impact the project budget, scope and schedule.	Recommend BHA continue to work closely with DHS to pursue available funding options. IV&V will continue to monitor progress.	<p>11/27/2018: The IV&V Team helped develop draft responses to the 14 CMS questions asked of DOH. Currently, DOH and DHS are working to finalize the responses to CMS. This poses a high risk to the project's funding and timeline.</p> <p>10/31/2018: The project awaits feedback from CMS regarding the IAPD. Meanwhile, revisions to the MOA related to cost allocations are underway in anticipation of CMS request.</p> <p>9/13/18: BHA and PCG met with MQD on 8/30/18, the draft was revised and resubmitted to MQD on 9/7/18 without the MOA attached. The risk associated with the federal funding will transition from IAPD development to the length of time it will take to get CMS approval, once the IAPD is</p>	Project Management	Risk	High	Open		0	Laurie Thornton
31	7/20/2018	Errors in the data migration files may impact the overall implementation schedule [Lead Entity: SHARED - State and Vendor]	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.	Determine alternative methods for piloting, analyzing, and/or remediating data migration activities and outputs prior to or during the cutover period.	<p>11/27/2018 - DOH continues to make progress against data migration milestones, with DD having completed data cleansing for upload of TIER 1 data, and is making good progress against TIER 2 data. Additionally, both state and vendor resources assigned to data migration activities are nearing their capacity. Recently, the state's data migration effort was impacted by incomplete procedures and instructions detailing the load process provided by the vendor, and the usage of the Scribe tool, which resulted in failed load attempts. Further, there currently are a number of bugs that BHA is working with Microsoft to resolve, one of which is a High severity with the potential to block critical data migration activities. Microsoft is actively working these issues now, with daily calls scheduled with BHA. As a result, the project is contemplating a contingency plan for completing the necessary work before the defined drop-dead date. Due to the proximity to and potential impact on implementation activities, including go-live, IV&V is escalating this to a high risk..</p> <p>10/31/18: DOH has made significant progress in loading the minimum set of data but the project still continues to address data migration anomalies in preparation for deployment. Though there is regular, steady progress, the extended efforts of the project in this area raise concern regarding the project's ability to resolve data migration issues during the cutover window when there is considerably less time available to the team before go live.</p> <p>9/30/18: The project continues to address issues associated with the data migration files and has identified new complexity, and thus additional risk, with future data migration iterations scheduled during the cutover period. The time available to remediate data "catch up" migration issues may not be sufficient.</p> <p>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.</p> <p>7/20/18: Opened as a new risk. DOH is working to resolve file and data format issues to meet data</p>	Data Management	Risk	High	Open			Darren MacDonald?

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
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. 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	11/26/2018: BHA has provided updated documentation to ensure that key OCM roles and activities are appropriately assigned. Further, there has been a shifting of resources working on UAT and Data Migration, in an attempt to catch up on lost ground. IV&V is encouraged by this effort, however, will continue to monitor this issue throughout the Implementation phase as we are not aware of any of the following plans being provided in November, as recommended: UAT Plan, Data Migration, Training, Cutover and Implementation, and Post-Implementation. 10/31/2018: The project is executing OCM activities in the absence of detailed planning. For example, 'project champions' are now engaged in UAT and Training activities but their full roles and responsibilities are not yet fully defined. 9/28/18: The planning for the Implementation Phase activities nears completion and a detailed deployment schedule has been developed. Though there are project plans that are still under development, IV&V has reduced the rating of this issue to Low since there are few remaining planning related items that need to be addressed. 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	Low	Open			Brian Nagy
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 of 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.	11/27/2018: IV&V is not presently aware of Leads being assigned to Training, Testing, or Cutover. However, further details on Implementation Phase and OCM specific activities were provided in the "DRAFT TEMPLATE OCM Implementation - 11-01-18" document as well as the "OCM Training Plan version - 10-31-18". 10/31/2018: Since this risk was initially opened, CAMHD has assigned two additional full-time resources and continues to recruit two more - and DDD has added one full-time resource. The BHA resource requirement to satisfy all activities outlined in the deployment schedule and OCM Plan have not yet been confirmed and current BHA Leads are multi-tasking to accomplish non-strategic activities (e.g., log users on/off the training environment). 9/13/18: BHA has identified new resources to perform training and testing activities during the Implementation Phase. However, the BHA resource requirement to satisfy all activities outlined in the newly developed deployment schedule has not yet been confirmed (e.g., data migration catch up activities). 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	Project Management	Risk	Medium	Open			Brian Nagy
38	11/2/2018	Service Level Agreements (SLA's) are unclear in the RSM contract	SLAs were required by RFP Attachment 6, however RFP Attachment 6 was not included in the Final RSM contract. The RTM included in the contract depicts technical service levels, and points to the missing Attachment 6.	Agreed-to service levels are required for any and all projects, and it is clear that contractual agreement on SLAs is not in place for the BHA Project. If at any time during the DD&I or maintenance phases of the contract, if service levels do not meet those depicted in RFP Attachment 6, the State may have little to no compensatory recourse via associated Liquidated Damages clauses.	DOH to coordinate with ETS to determine what SLAs are necessary for the state's enterprise agreement Microsoft. DOH to work with IV&V and RSM to determine the service level agreements intended to be in the contract. IV&V recommends that the output of this determination is a contractually binding agreement, such as a contract amendment.	11/27/2018: The contract does not contain a complete and detailed reference to the state of HI's Enterprise Agreement with Microsoft regarding service and performance levels, specifically incident and problem management, and solution millisecond response times. Due to this, there is some confusion on the project regarding the management and enforcement of contractual SLAs. Both RSM and BHA are aware of this issue, and have agreed to work jointly to resolve the management and documentation of SLAs and to determine how service levels will be measured and enforced. 10/31/2018: IV&V has opened this item as new finding. This finding was initially included as part of IV&V finding #21, however that risk has been closed, leaving this component of it still open.	Project Management	Issue	High	Open			Darren MacDonald

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
39	11/2/2018	Requirements to user stories' associations are inconsistent within TFS	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that approximately 9% of the sample size (and thus, potentially the entire project) are missing required TFS relationships between requirements and all user stories. [This finding is related to requirements / user stories missing documentation.]	Inconsistent or incomplete documentation within TFS of the relationships between requirements and their elaboration in all user stories causes the RTM to be incomplete and/or incorrect. Without proper relationships being established within TFS for all requirements to their respective user stories, complete requirements traceability is unfortunately flawed.	DOH to work with IV&V and RSM to address all inconsistencies in requirements to user story relationships within TFS, in order to ensure that complete requirements traceability is established for the project. Incomplete traceability can cause missing requirements in the software.	11/27/2018: BHA and RSM agreed to determine why some requirements are not tied to user stories (i.e., due to requirement satisfaction via out-of-the-box functionality) and identify those that should be tied to user stories. It is IV&V's understanding that a target of mid-December was decided on for providing updates on this effort. 10/31/2018: IV&V has opened this item as new finding.	Requirements Management	Issue	Low	Open			Darren MacDonald
40	11/2/2018	A subset of contractual Requirements may not fully be included in user stories or the developed / configured BHA-ITS software.	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that there are requirements that are not included in user stories and/or the BHA-ITS software. Initial RTM efforts indicate that this may affect upwards of 9% of the sample reviewed during the RTM effort. [This finding is related to requirements with no user stories.]	All RTM and contractual requirements need to be satisfied to ensure that the BHA-ITS solution to meets all intended business needs.	DOH to work with IV&V and RSM to address all inconsistencies in requirements implementation in user stories and the BHA-ITS software. Where gaps are mutually agreed to, IV&V recommends remediation via incorporation of all requirements determined to be missing in both user stories and the BHA-ITS software solution.	11/27/2018 - DOH and RSM to meet to determine gaps and remediate. 10/31/2018: IV&V has opened this item as new finding.	Requirements Management	Risk	Medium	Open			Darren MacDonald
42	11/27/2018	Insufficient entrance and exit criteria details in the Final System Test / Regression Test Document	The recently delivered Final System Test / Regression Test Document is missing valid, actionable, and appropriate entrance and exit criteria.	If entrance and exit criteria are not collaboratively planned for and documented, there is a high likelihood that final System Test results may be incomplete and unacceptable, causing schedule delays.	While IV&V understands and acknowledges that the Final System Test / Regression Test Plan is not a contractual deliverable IV&V still recommends that RSM incorporate the best practice-based recommendations made by IV&V via the Deliverable Comment Form to ensure that valid and actionable entrance and exit criteria are clear and agreed to.	12/4/2018 - Upon review with DOH and RSM, IV&V is downgrading this risk from a Medium to a Low, as the entrance and exit criteria for Regression and System testing are defined in the "DOH BHA-ITS Testing Strategy _ 021218" document, however, the reference to this previously defined and approved criteria is not clear in the Regression / System Test document. IV&V recommends that RSM clearly, and even re-state, the approved entrance and exit criteria approved in the "DOH BHA-ITS Testing Strategy _ 021218" in the Regression / System Test document. Additionally, IV&V recommends that the vendor provide additional language to ensure complete clarity around the exit criteria regarding Sev 2 - High defects, explaining that ONLY high defects approved by BHA leadership can be postponed for resolution after go-live. 11/27/2018: IV&V has opened this item as a new finding.	Test Management	Risk	Low	Open			Darren MacDonald
43	11/28/2018	Insufficient lead time in the delivery of train-the-trainer documentation	Critical train-the-trainer (TTT) documentation was not delivered to BHA in a timely manner, therefore not allowing BHA to perform a quality review of the content which was needed to verify that all key daily worker functions were covered.	Gaps in training documentation can result in workers not knowing how to sufficiently use the system, which can have multiple impacts on the success of the project, not least of which being user buy-in. Additionally, training gaps will almost certainly necessitate some degree of a remediation training effort, which is an added cost to and demand on project resources.	It is strongly recommended that the state and vendor agree to a "no later than date" for the delivery of training material, allowing for sufficient lead time for the state to perform a quality review to verify that all necessary content is covered. Additionally, for all training gaps that have already been identified, analysis should be performed to determine what work must be done to bridge the gaps, and how much effort will be required.	11/28/2018 - IV&V has opened this item as a new observation to be followed up on in the next reporting period.	Organizational Change Management	Observation	Low	Open			Brian Nagy