



Hawaii BHA Integrated Case Management System Project

*Final IV&V Report for the period of
October 1 - 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:



The overall project health remains Yellow, a caution rating, due to unassigned BHA Leads who are dedicated to Implementation Phase activities, unclear service level agreements to be achieved, inconsistent documentation to support requirements validation, the time available during cutover to remediate errors in the data migration files, and outstanding detailed resource planning and analysis to support the OCM Plan. Four findings were closed during this reporting period and four new findings were opened. Thus far, the project remains on schedule for Phase 1 deployment.

Aug 18	Sept 18	Oct 18	Process Areas	IV&V Observations	Overall Health
M	M	M	Project Management	This process area continues to be rated Yellow since the IAPD for Phase 2 is pending approval from CMS; detailed planning continues for deployment activities; BHA resource requirements for deployment tasks have not been confirmed; agreed upon service level agreements are unclear.	Y
L	M	M	Requirements Management	IV&V completed a Part 2 requirements traceability evaluation for 25% of the requirements and flagged 9% for further research. After review with DOH and the vendor, IV&V has opened two new findings in this process and has increased the severity to Yellow, or Caution.	Y
M	L	L	Design and Development	Iteration 5 has completed and the Development Phase has ended. IV&V closed Issue #21 – Architecture Blueprint and Roadmap since the project has approved this deliverable. IV&V has opened finding #38 to address the documentation gap for service level agreements.	G

Executive Summary

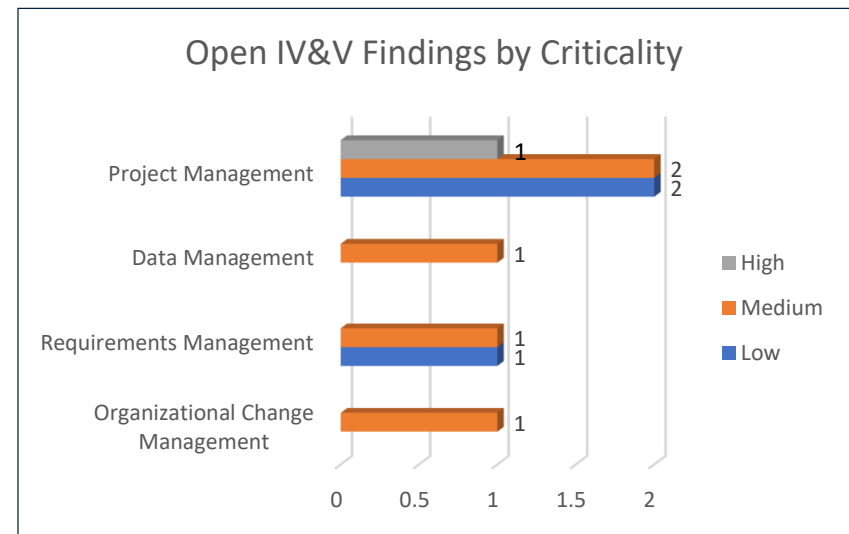
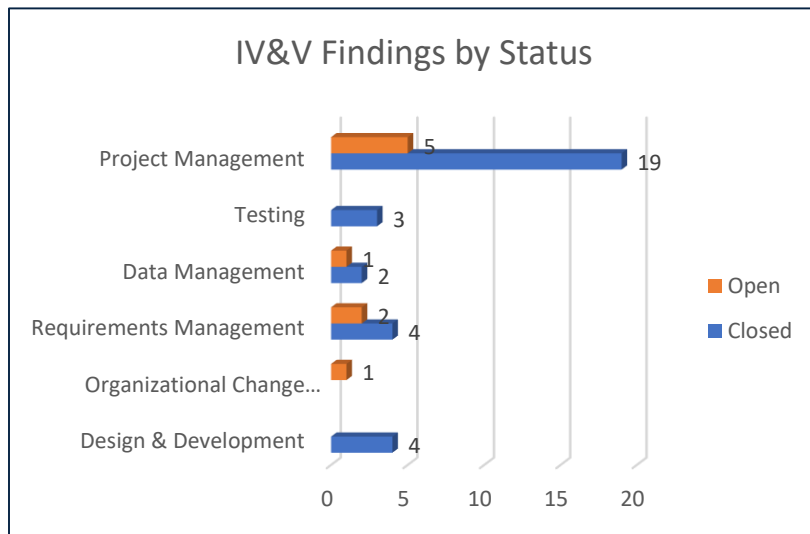
Aug 18	Sept 18	Oct 18	Process Areas	IV&V Observations	Overall Health
M	M	L	Testing	The migration to the Government Cloud was successfully completed in October 2018 and, though the UAT Cycle 2 testing duration was shortened due to the migration, the project was able to commence with testing activities and stay on schedule. The project provided pre-UAT training for Cycle 3 testers and is preparing for the broader system, regression, and performance testing activities.	G
M	M	M	Data Management	The project has approved the Data Management Plan and DOH has made significant progress in loading the minimum set of data. However, 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.	Y
H	M	M	Organizational Change Management	The OCM Plan released in October provides a high-level strategy to support end user adoption; it outlines the approach that will be taken by the state to guide end users to transition to the new case management system but is still absent 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. Without a completed OCM Plan, the project is unable to validate that the OCM activities can be aligned with the project's schedule or completed in a timely manner.	Y

Executive Summary

As of this reporting period, IV&V has 9 open findings: there are 4 Risks (all medium) and 5 Issues (1 high, 1 medium and 3 low).

IV&V closed 3 findings (all medium Issues).

To date, IV&V has identified 41 findings in total: 10 issues, 25 risks, and 6 observations) on the Hawaii BHA Integrated Case Management System Project; and 32 findings have been closed.



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
- Data Management
- Organizational Change Management

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
5	Late-game analysis of requirements awaiting details from external sources: [Lead Entity: Vendor] The project has completed Iteration 5 and a code freeze for new development is now in effect. IV&V has closed this issue since any further analysis of requirements will not impact the development timeline for Phase 1.	
19	Access to enhanced federal funding may impact the project budget and/or scope: [Lead Entity: State] The project awaits feedback from CMS regarding the IAPD submitted in September 2018. There is increasing risk that the duration of CMS' review will hinder the project's timeline. Meanwhile, the state continues to work on finalizing the MOA.	M
33	Execution of project activities occurring prior to approval of respective plans: [Lead Entity: State] The project has completed most of the high-level planning to support the Implementation Phase and the Iteration 0 deliverables are in the final approval stages. However, the project continues to collaborate on planning the detailed activities and define the roles and responsibilities which support the project plans while the activities are occurring. For example, 'project champions' are now engaged in UAT and Training activities yet these details are still pending for the OCM Plan.	L
34	Unassigned BHA Lead resources may slow project progress: [Lead Entity: State] Since this risk was opened, three full-time resources have been added to the DOH team (two at CAMHD, one at DDD). 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.	M
38	NEW Issue! Service Level Agreements (SLA's) are unclear in the RSM contract: [Lead Entity: State] 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 necessary for all projects to measure success.	H

IV&V Findings and Recommendations

Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
41	NEW Issue! Discrepancies in project documentation have been identified in several project deliverables or work products: [Lead Entity: Vendor] The system documentation regarding custom code elements is scheduled to be delivered in early January; details for SLAs across work products are unclear; varying formats or methods for documenting requirement and user stories in TFS. The lack of sufficient documentation poses risk to DOH's ability to validate that requirement have been correctly met, to communicate and work with end users appropriately, and to support the system once its been implemented into production.	L

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"> 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
<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
36	Many-to-one mapping of user stories to requirements increases the complexity of validation activities: IV&V completed the requirements evaluation (part 2), analyzing 25% of the requirements and their associated user stories, to validate the process and anticipated outputs. The results were reviewed with DOH and RSM, and IV&V has closed this risk in lieu of new findings #39 and #40 below.	
39	NEW Issue! 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. Incomplete traceability can cause missing requirements in the software.	L
40	NEW Risk! A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software: As 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. Until further review of documentation from the vendor, initial RTM efforts indicate that this may affect upward of 9% of the sample reviewed during the RTM effort.	M

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


IV&V Findings and Recommendations

Design and Development

#	Key Findings	Criticality Rating
21	Architecture Blueprint deficiencies: The project approved the latest version of the Architecture Blueprint deliverables and accepted the risk associated with the documentation. Therefore, IV&V has closed this issue. See new IV&V Issue #38 in the Project Management process area regarding service level agreements.	

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 migration to the Government cloud was completed in October 2018. IV&V has closed this issue.	

IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
31	Errors in the data migration files may impact the overall implementation schedule: 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.	M

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

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.	M

Recommendations	Progress
<ul style="list-style-type: none">Complete the detailed activities, definitions of roles/responsibilities definitions, and development of process flows to support the deployment activities.	In process
<ul style="list-style-type: none">Initiate an OCM forum which meets regularly to focus on the execution and mitigation of OCM-related activities	Not started

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

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- 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.




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- 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.

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. (Continued) Weekly Post Iteration 5 / Deployment planning meeting (9/18/18)
10. BHA IT Solution DDD Iteration 4 Demo (9/11/18)
11. DOH BHA - CAMHD Case Management Solution Demo - Iteration 4 (9/12/18)
12. DOH BHA IT Solution Project - Steering Committee (9/13/18)

Artifacts reviewed during the reporting period:

1. Iteration 4 DED
2. Iterations 4 and 4 Plan
3. Iterations 5 Test Plan
4. Iteration 4 TFS Backlog Report
5. Iteration 4 Defect Log
6. Iteration 4 Unit Test Results
7. Iteration 4 Review
8. Daily Scrum Notes (selected)
9. Data Management Meeting Notes (selected)
10. SI Project Schedule (ongoing)
11. RSM Weekly Status Reports (ongoing)
12. Iteration 0 – Data Management Plan v2.1
13. Iteration 0 – Architecture Blueprint v3.0

Eclipse IV&V® Base Standards and Checklists



Eclipse IV&V
Standards

Appendix C

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



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