



Hawaii BHA Integrated Case Management System Project

*Final IV&V Report for the period of
September 1 - 30, 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, the time available during cutover to remediate errors in the data migration files, pending migration to Government cloud instance, and delayed OCM Plan. Three 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 a freeze on changes to user stories (requirements) for Phase 1 has been initiated.

| Jul 18 | Aug 18 | Sept 18 | Process Areas | IV&V Observations | Overall Health |
|--------|--------|---------|-------------------------|---|----------------|
| M | M | M | Project Management | This process area continues to be rated Yellow since there are outstanding planning items for Phase 1 Implementation; changes requests from Iteration 5 demonstration are not yet known; the IAPD for Phase 2 is pending approval from CMS; and BHA resource for identified deployment tasks have not been confirmed. | Y |
| L | L | L | Requirements Management | IV&V completed a pilot (with a select 3% sample of requirements) for the Part 2 requirements traceability evaluation to verify the completeness of requirements across Iterations and is continuing until 25% of requirements have been evaluated. | G |
| M | M | L | Design and Development | Analysis of the latest drafts of the outstanding Iteration 0 deliverables reveals that there are likely no impacts to the design and development of the Phase 1 solution. Though it is unclear from the current Architecture Blueprint what the specific system performance service levels are that must be met, the project has confirmed that service level agreements are defined in the contract. IV&V has reduced the rating of this process area to Green since the project is rigorously evaluating and developing alternatives for pending change requests. | G |

Executive Summary

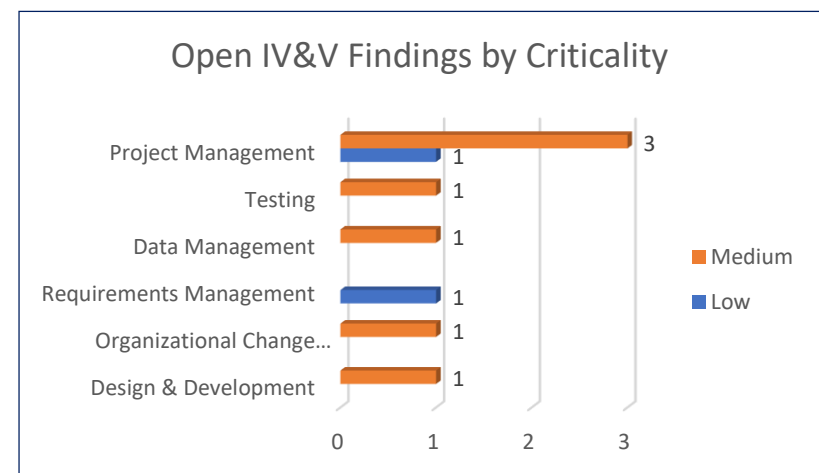
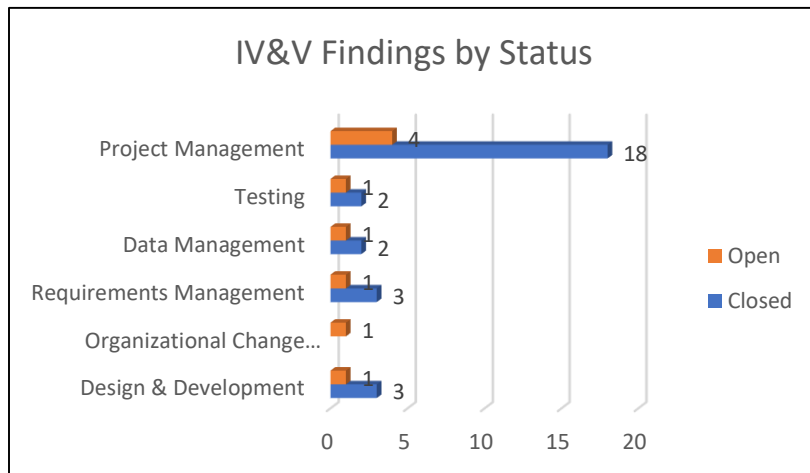
| Jul 18 | Aug 18 | Sept 18 | Process Areas | IV&V Observations | Overall Health |
|--------|--------|---------|----------------------------------|---|----------------|
| M | M | M | Testing | The team continues to work with Microsoft to resolve errors/issues with the migration to Government instance of the cloud. The project successfully completed a proof of concept for the migration and verified that the project is able and ready to migrate once Microsoft has provided resolution on pending issues. This category remains at risk until the project completes the migration and is able to execute the SharePoint integration testing activities. | Y |
| M | M | M | Data Management | 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 during the Implementation Phase. In addition, the latest draft of the Data Management Plan has been resubmitted for review and is pending approval. | Y |
| M | H | M | Organizational Change Management | Though the OCM Plan is not yet finalized, the team has made significant planning progress related to OCM activities. 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 built-in mitigation to ensure user adoption, IV&V has lowering the rating for this process area. However, 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 (3 medium and 1 low) and 5 Issues (4 medium and 1 low).

IV&V closed 3 (1 low Issue and 2 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.



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] Meetings and discussions continue (e.g. with MedQuest and provider agencies) in order to address pending decisions on interfaces. The deadline for requesting scope changes to user stories was in Aug. 2018; and the project submitted clarifications in Sept. 2018 following the Iteration 4 demonstration that will be implemented in Phase 2. The Iteration 5 demonstration has not yet occurred. | M |
| 16 | Unclear review and approval process for project deliverables: [Lead Entity: Vendor] The last development Iteration (5) is underway and deliverables from Iterations 1 through 4 have been approved. IV&V has closed this risk since the project agreed to the delivery timing of the remaining project deliverables throughout the Implementation Phase and will use the same review and approval process. | |
| 19 | Access to enhanced federal funding may impact the project budget and/or scope: [Lead Entity: State] The final IAPD was submitted to CMS in Sept. 2018 without the MOA attached. The risk transfers to the length of time it will take for CMS to review and approve the IAPD, which may require the MOA. | M |
| 33 | Execution of project activities occurring prior to approval of respective plans: [Lead Entity: Vendor] 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 to be addressed. | L |
| 34 | Unassigned BHA Lead resources may slow project progress: [Lead Entity: State] 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., go live readiness activities). | M |

IV&V Findings and Recommendations

Project Management (cont'd)

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none">BHA and SI to work together to confirm the list of contract deliverables to be produced for the project. | Completed |
| <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">Prioritize and expedite the completion and approval of 'planning' related tasks and deliverables as quickly as possible | In process |
| <ul style="list-style-type: none">Identify and onboard Testing, OCM, Data Migration, and Cutover BHA Leads as quickly as possible | In process |
| <ul style="list-style-type: none">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 |
| <ul style="list-style-type: none">Evaluate all the user stories (requirements) deferred beyond Iteration 5 (collectively) to analyze the impact | 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 |

Positive Observations

- The project has implemented a Heat Map dashboard for both CAMHD and DDD which visually represents the state of readiness of each business function based on the status of development and testing results
- The system demonstrations following the completion of each demonstration have yielded critical and early feedback on system functions which allowed for early and appropriate planning for resolution and increased end user confidence

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 a pilot requirements evaluation, analyzing 3% of the requirements and their associated user stories, to validate the process and anticipated outputs. Results were reviewed and confirmed with BHA before continuing to evaluate ~25% of the requirements as outlined in evaluation approach document. | L |

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none">DOH work with IV&V to conduct a detailed assessment of the completeness of the mapping of user stories to requirements | In process |

IV&V Findings and Recommendations

Design and Development

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 21 | Architecture Blueprint deficiencies: The latest draft of the Architecture Blueprint has addressed most of the previously identified deficiencies and is still under review. Though it is unclear from cross-references in the document to external sources what the specific system performance service levels that must be met and maintained in production, IV&V has reduced the rating of this risk to Low. | L |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">SI to include the specific system performance service level agreements (SLAs) to be met into the Architecture Blueprint | In process |
| <ul style="list-style-type: none">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. | Complete |
| <ul style="list-style-type: none">SI to analyze the completed Iteration 0 Plans (Architecture Blueprint, System Security, and Data Management) and document the gap between the approved deliverables and the project's artifacts developed to date | Complete |

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 team continues to work with Microsoft to resolve errors/issues with the migration to Government instance of the cloud. Since RSM successfully completed a proof of concept for the migration and verified that the project is able and ready to migrate once Microsoft has provided resolution on pending issues, IV&V has reduced the severity of this issue to Medium. The new target date for completing the migration is 10/8/18 in time for UAT Cycle 2 testing. | M |
| 37 | Level of detail for test scripts in user stories may not fully address the nature of the mapped requirement: IV&V has closed this risk since UAT Cycle 1 has completed and provided the BHA team an opportunity to develop and confirm the process for verifying and elaborating test scripts when needed. | |

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none"> 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 |
| <ul style="list-style-type: none"> 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. | Completed |

IV&V Findings and Recommendations


Data Management

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 31 | Errors in the data migration files may impact the overall implementation schedule: The project continues to address issues associated with the data migration files as well as data cleanup, and has identified new complexity with future data migration iterations scheduled during the cutover period. The time available to remediate data "catch up" migration and cleanup issues may not be sufficient. | M |
| 32 | No Finalized Data Management Plan to guide downstream activities: The latest version of the Data Management Plan is under review and pending approval. IV&V has closed this risk since the level of detail within in the plan has been analyzed and confirmed to not have an impact on downstream data migration activities. | |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none"> 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 |
| <ul style="list-style-type: none"> Determine alternative methods for piloting, analyzing, and/or remediating data migration activities and outputs during the cutover period. | In process |

IV&V Findings and Recommendations

Organizational Change Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 7 | <p>Minimal attention to User Adoption (buy-in): The team conducted targeted planning sessions 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 decisions. 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 built-in mitigation to ensure user adoption, IV&V is lowering the rating for this process area.</p> |  |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none"> Request the SI support DOH in the development of a comprehensive OCM strategy. | In process |
| <ul style="list-style-type: none"> DOH to document and finalize the state's comprehensive approach for OCM as soon as possible | In process |
| <ul style="list-style-type: none"> DOH to begin the detailed planning for OCM activities such as delivering Provider Training | Completed |

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.

4

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