



# Hawaii BHA Integrated Case Management System Project

*Final IV&V Report for the period of  
December 1 - 31, 2018*

# Overview

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- IV&V Activities
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# Executive Summary

















*IV&V's report for December 2018 reflects data and information made available up through Friday, December 21<sup>st</sup>, as the majority of project resources – state, vendor, and IV&V – were either observing holidays, on vacation, or off-island from approximately December 19 through December 31, as is evidenced by the Project's Vacation Tracker spreadsheet.*

*As of the December reporting period, Phase 1 Go-Live is scheduled to occur as a soft/internal go-live on January 22, 2019, and full go-live on February 4, 2019, despite new and persisting challenges observed. Although IV&V was aware that OCM and training activities are in process, we had not seen fully developed plans nor could IV&V verify the details that should be in place to support implementation activities related to organizational change management (OCM), maintenance and operations (M&O) and the Help Desk as of 12/21. In addition, it appears that State resources dedicated to implementation are over-extended.*

*IV&V is also concerned about some contractual requirements not being satisfied specific to testing, SLAs and Train-the-Trainer delivery – all of which could impact user adoption rates and system performance upon Go-Live.*

Oct 18	Nov 18	Dec 18	Process Areas	IV&V Observations	Overall Health
			Project Management	This process area continues to be rated as High (red) for December and the Overall Health escalates to Red due to uncertainty regarding the documentation and enforcement of contractual Service Level Agreements (SLAs) and the absence of a Help Desk Plan. While IV&V recognizes that DHS and DOH submitted the revised Implementation Advance Planning Document (IAPD) and other supporting documentation to CMS at the end of this reporting period, the Project's ability to secure enhanced federal funding for Phase 2 activities that are scheduled to begin in February 2019 is unknown.	
			Requirements Management	IV&V opened three new high risks specific to ADA, load, and performance testing requirements that are not being satisfied prior to Go-Live. It was agreed to that details on requirements mapping in TFS that were scheduled to be provided during this reporting period were postponed until the end of January (post Go-Live). For these reasons, IV&V is escalating this process area and the Overall Health rating to a High (red) during this reporting period.	

# Executive Summary

Oct 18	Nov 18	Dec 18	Process Areas	IV&V Observations	Overall Health
			Design and Development	There are no active findings in the Design and Development Process Area for the December reporting period.	
			Testing	IV&V has escalated the Testing process area to a Medium (yellow) as well as the Overall Health. IV&V has opened a new risk based on Cycle 3 of UAT being reduced from 19, to 6 business days in Nov/Dec 2018, which was then extended into January as a result. Downstream impacts of the condensed UAT are not yet known, however could potentially impact User Roles and Teams, training materials, and product quality.	
			Data Management	IV&V is reducing this process area rating to Medium (yellow) as CAMHD and DDD have migrated the minimum amount of data into the TEST environment to support Go Live. Although DDD was unable to convert Tier 3 data, it is IV&V's understanding that this will not significantly impact workers at Go-Live, as it is more important for Phase 2.	
			Organizational Change Management	IV&V maintains that OCM is a Medium (yellow) rating for December, and in terms of Overall Health. Two new risks were opened in December regarding the lack of an M&O Plan and accompanying details, and an outstanding Train-the-Trainer (TTT) requirement that could have downstream impacts on end user adoption. Additionally, IV&V's request for updated OCM documentation was not wholly fulfilled, however IV&V is aware that OCM and training planning and execution continues at DDD and CAMHD.	

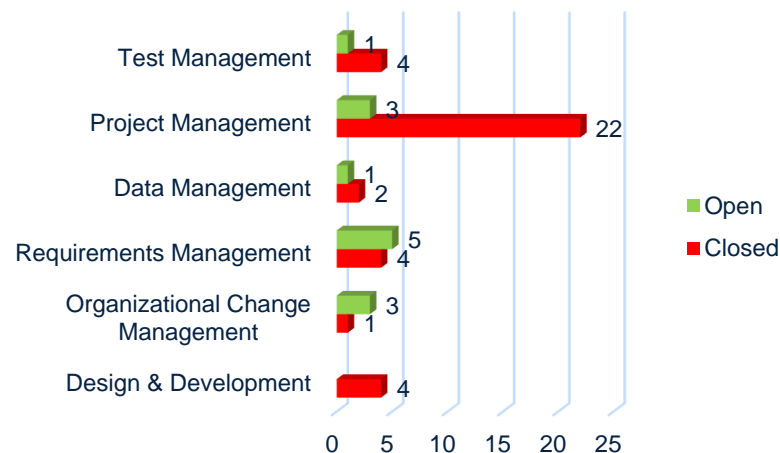
# Executive Summary

As of this reporting period, IV&V has 13 open findings: there are 11 Risks (5 high, 5 medium, and 1 low) and 2 Issues (1 high and 1 low).

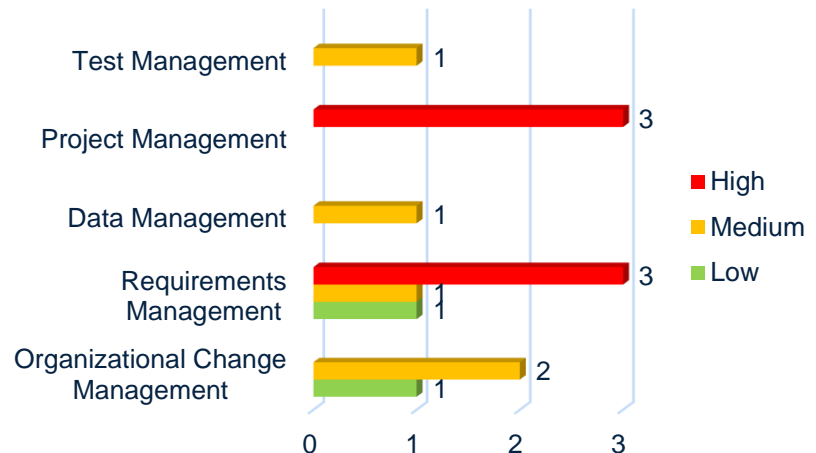
IV&V closed 4 findings (1 low observation, 1 low issue, 1 low risk, and 1 medium risk) in the December reporting period.

To date, IV&V has identified a total of 50 findings (9 issues, 34 risks, and 7 observations) on the Hawaii BHA Integrated Case Management System Project; 37 of those findings have been closed.

**IV&V Findings by Status**



**Open IV&V Findings by Criticality**



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

# IV&V Findings and Recommendations

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## Process Areas Reviewed

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

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


# IV&V Findings and Recommendations

## Project Management

#	Key Findings	Criticality Rating
19	<b>Access to enhanced federal funding may impact the project budget and/or scope:</b> <i>[Lead Entity: State]</i> On 12/31/18, DHS and DOH submitted the revised IAPD to CMS, which CMS has up to 60 calendar days to review. At that time, DHS also submitted responses to CMS' Request for Additional Information (RAI), and the draft Project Partnership Understanding (PPU), which governs the federal Medicaid Enterprise Certification Life Cycle (MELC) process. While DOH, DHS, and IV&V have completed their collective tasks on this activity, without final CMS approval there is still risk that federal funding reimbursement will not be received for Phase 2 of the project.	H
33	<b>Execution of project activities occurring prior to approval of respective plans:</b> <i>[Lead Entity: State]</i> IV&V is <a href="#">closing this issue</a> as OCM and related planning concerns will now be tracked under Finding #7 - Attention to User Adoption.	L
34	<b>Unassigned BHA Lead resources may slow project progress:</b> <i>[Lead Entity: State]</i> IV&V is <a href="#">closing this risk</a> as details and guides specific to the cutover from TEST to PROD were provided in December, and the move was successful. Additional details and requirements for deployment are captured in the GLRA. The remainder of this finding (specific to Training) will be further tracked in findings #7, 44, and 46.	M
38	<b>Service Level Agreements (SLAs) are insufficiently documented:</b> <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. IV&V was informed that BHA has reached out to MS to get additional information, but to date, the information received is not sufficient. BHA will continue to work with ETS and Microsoft to get a more detailed understanding and complete documentation of the SLAs.	H

# IV&V Findings and Recommendations

## Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
45	<b>New RISK - Help Desk Plan not yet developed</b> [Lead Entity: State]. Phase 1 go-live is just over 4 weeks away and the project has not developed a Help Desk Plan. State staff are required to provide Tier 1 Help Desk Support, while the vendor is required to provide Tier 2 (technical) Help Desk Support. To date, there is no plan that defines Help Desk staffing, processes, roles and responsibilities, tools usage, and communication and escalation protocol. Without this critical information documented, the state will be at risk of not being able to support customers who are experiencing issues using the new system.	

Recommendations	Progress
<ul style="list-style-type: none"><li>BHA to continue to work closely with DHS to satisfy any remaining and future requests from CMS.</li></ul>	In process
<ul style="list-style-type: none"><li>Focus on completing the detailed planning and documenting roles and responsibilities to support the deployment activities and post-launch</li></ul>	In process
<ul style="list-style-type: none"><li>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</li></ul>	In process
<ul style="list-style-type: none"><li>Determine and communicate the service level agreements intended to be in the contract and validate project activities support achieving or measuring them</li></ul>	In process
<ul style="list-style-type: none"><li>Create a comprehensive Help Desk Plan that, at a minimum, incorporates all requirements from the contract, and specifically details the roles, responsibilities, and expectations of both state and vendor staff</li></ul>	In process
<ul style="list-style-type: none"><li>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</li></ul>	In process





# IV&V Findings and Recommendations

## Requirements Management

#	Key Findings	Criticality Rating
39	<b>Requirements to user stories' associations are inconsistent within TFS:</b> 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. IV&V was made aware that RSM and BHA agreed that this documentation will now be provided in January, as a result of RSM focusing December efforts on resolving and delivering on UAT defects and requests.	L
40	<b>A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software:</b> 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. IV&V was made aware that RSM and BHA agreed that this documentation will now be provided in January, as a result of RSM focusing December efforts on resolving and delivering on UAT defects and requests.	M
47	<b>New RISK - The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met</b> <i>[Lead Entity: Vendor]</i> . ADA testing has not been planned or executed, and RSM currently does not plan to perform ADA testing, despite ADA compliance requirements in TFS. If ADA testing is not performed in accordance with Section 508 of the Web Accessibility Guidelines Levels 1 and 2, RSM cannot ensure this requirement is met. In the worst case, visually impaired users would not be able to use the system.	H

# IV&V Findings and Recommendations

## Requirements Management (cont'd)

#	Key Findings	Criticality Rating
48	<b>New RISK - The lack of performance testing prevents the State from validating that contractual performance requirements will be met</b> [Lead Entity: Vendor]. Performance testing has not been planned or executed, and RSM currently does not plan to perform this level of testing, despite a contractual requirement to. Performance testing is planned and executed to ensure that system response time requirements are met or exceeded. Without planning and executing performance testing, the potential for performance issues in production are likely to increase.	
49	<b>New RISK - The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met</b> [Lead Entity: Vendor]. Load testing has not been planned or executed, and RSM currently does not plan to perform this level of testing, despite a contractual requirement to. Load testing is planned and performed to ensure that user load capacity is met or exceeded. Without planning and executing load testing, the potential for load issues in production are likely to increase.	
Recommendations		Progress
<ul style="list-style-type: none"> <li>Identify inconsistencies in requirements to user story relationships within TFS in order to ensure that complete requirements traceability is established for the project.</li> </ul>		Not started
<ul style="list-style-type: none"> <li>Identify inconsistencies in requirements implementation in user stories and the BHA-ITS software and incorporate all requirements determined to be missing in both user stories and the BHA-ITS software solution.</li> </ul>		Not started
<ul style="list-style-type: none"> <li>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.</li> </ul>		In process
<ul style="list-style-type: none"> <li>DOH work with RSM to ensure all contractually required testing is adequately planned and executed prior to GO LIVE, to ensure testing requirements are met</li> </ul>		New

# 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	<b>Insufficient entrance and exit criteria details in the “Final System Test / Regression Test” Document</b> [Lead Entity: Vendor]: As System and Regression testing are now complete for Phase 1, IV&V is <a href="#">closing this finding</a> . However, for future iterations of System and Regression testing, IV&V continues to recommend that the full set of entry and exit criteria be linked to in context within the document.	L
50	<b>New RISK - DOH UAT execution duration cut short</b> [Lead Entity: State]. IV&V observed that the third and final UAT Cycle (Cycle 3 aka "Big" UAT) duration was reduced from a plan of approximately 19 business days in Nov/Dec 2018 to approximately 5-6 business days, due to multiple predecessor activity delays, including UAT defect and request resolution, and User Roles not being fully setup. Based on the shortened timeframe, the UAT effort was severely constrained. As result, all Role Based and Team Setup testing will be postponed until January, as part of an “extended” UAT period.	M

Recommendations	Progress
<ul style="list-style-type: none"><li>IV&amp;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.</li></ul>	Complete
<ul style="list-style-type: none"><li>BHA should closely monitor the security roles and team setups testing and any defects/issues uncovered to determine if re-testing is needed, and any potential impacts on go-live.</li></ul>	New

# IV&V Findings and Recommendations

## Data Management

#	Key Findings	Criticality Rating
31	<p><b>Errors in the data migration files may impact the overall implementation schedule</b> [<i>Lead Entity: SHARED State and Vendor</i>]: IV&amp;V is downgrading this risk to a Medium, as the project is making progress towards completing the work needed for migrating the minimum data needed (TIER 1 and TIER 2) for go-live into the TEST environment. IV&amp;V was made aware that DDD, with the help of CAMHD, is close to finalizing the steps needed to complete data migration activities needed for go-live. DDD, however, was unable to complete the migration steps for TIER 3 data, which contains information for Service Authorizations and Contact Notes. DDD confirmed that while not having the TIER 3 data migrated over for Phase 1 go-live is not ideal, it should not have any significant impact on worker day-to-day operations, as this is currently required for the Phase 2.1 release. This TIER 3 data will be needed for the May release. Additionally, neither DDD nor CAMHD will be able to complete the Paper Migration activities prior to go-live, and therefore will have to complete any applicable Paper Migration activities afterwards. DDD, CAMHD, and RSM do not think this will have a significant impact on go-live, as the Paper Migration is more aligned with historical customer information, and will still be available via paper format (as it is today).</p>	M
Recommendations		Progress
<ul style="list-style-type: none"> <li>Determine alternative methods for piloting, analyzing, and/or remediating data migration activities and outputs prior to or during the cutover period.</li> </ul>		In process
<ul style="list-style-type: none"> <li>Ensure that state resources are appropriately allocated to execute and support the planned data migration activities, including catch up activities.</li> </ul>		Completed
<ul style="list-style-type: none"> <li>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.</li> </ul>		In process
<ul style="list-style-type: none"> <li>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 <b><u>immediately</u></b> and provided to the state.</li> </ul>		In Process

# IV&V Findings and Recommendations

## Organizational Change Management

#	Key Findings	Criticality Rating
7	<b>Attention to User Adoption (buy-in)</b> <i>[Lead Entity: State]</i> IV&V was not provided any new or updated OCM documentation during the December 2018 reporting period. IV&V is, however, aware that internal planning, development, and execution of OCM and training activities and documentation is occurring at DDD and CAMHD. IV&V not receiving this material and information is concerning, however, it is partially due to restricted SharePoint access and the holidays impacting work schedules and availability. IV&V's request for this documentation has been made multiple times, and is anticipated to be fulfilled in January. IV&V maintains that this is a Medium risk at this time, however, will focus more intently on the States' OCM planning and execution as part IV&V's Transition Readiness Assessment (TRA), to be delivered in mid-January.	M
43	<b>Insufficient lead time in the delivery of train-the-trainer documentation</b> <i>[Lead entity: Vendor]</i> : IV&V is <u><a href="#">closing this observation</a></u> as TTT sessions have concluded, and as related concerns about the quality of TTT training materials and the satisfaction of TTT requirements are now being tracked in findings 7, 44, and 46.	L
44	<b>New RISK - M&amp;O Plan not yet developed</b> <i>[Lead Entity: Vendor]</i> . The vendor is required to support the system during the warranty period, and, per the contract, "provide OCM support to state IT staff with training and operations manuals until the state IT staff are able to fulfill M&O duties after the warranty period, including but not limited to future new user training, reporting, and help desk responsibilities. These duties shall also include configuring, testing, and supporting solution enhancements, upgrades, and bug fixes as the state's business operations change over time." As of the end of December, IV&V is not aware of any M&O documentation and/or M&O planning taking place, with BHA being required to takeover the M&O of the system on March 11, 2019. Per the contract, RSM is scheduled to deliver the M&O Plan and documentation the second week of January, however, both January and February are very busy months for the project which could complicate the review, approval, and appropriate knowledge transfer of the content of the M&O Plan during that time.	L

# IV&V Findings and Recommendations

## Organizational Change Management (cont'd.)

#	Key Findings	Criticality Rating
46	<p><b>New RISK - Train-the-Trainer contractual requirement outstanding</b> <i>[Lead Entity: Vendor]</i>. IV&amp;V identified that there is a contractual requirement related to the TTT execution that is, thus far, outstanding:</p> <p>- <i>Section 7C: "The CONTRACTOR shall administer proficiency examinations to the "super-users," which shall test "super-users" knowledge and operational ability within the Solution, at the end of each training and shall provide additional training for "super-users" who did not achieve proficient scores"</i></p> <p>While IV&amp;V is aware that the vendor is using other approaches to assess TTT trainee knowledge levels (such as soliciting the group for information that may have been "missed" in the TTT sessions), the contract is explicit about the requirement for proficiency examinations being administered after training sessions, which also aligns to best practices. IV&amp;V will follow up on this in January after the planned Day 5 Training.</p>	M

Recommendations	Progress
<ul style="list-style-type: none"> <li>Complete the detailed activities, definitions of roles/responsibilities, and development of process flows to support the deployment activities.</li> </ul>	In process
<ul style="list-style-type: none"> <li>Initiate an OCM forum which meets regularly to focus on the execution and mitigation of OCM-related activities</li> </ul>	Not started
<ul style="list-style-type: none"> <li>Develop a detailed M&amp;O Plan that considers all aspects and requirements as detailed in the contract.</li> </ul>	Not started
<ul style="list-style-type: none"> <li>BHA and vendor should review contractual requirements and determine an agreed-to approach to ensure that TTT trainees knowledge is sufficiently measured for Day 5 training, and for any additional TTT sessions going forward.</li> </ul>	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.

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# 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. GLRA #2 (12/13)
10. Multiple Transition Readiness Assessment (TRA) Interviews with RSM, DDD, and CAMHD (12/14 – 12/20)

## **Artifacts reviewed during the reporting period:**

1. DDD and CAMHD TTT Day 1 – Day 4 Training Materials
2. Daily Scrum Notes (selected)
3. Data Management Meeting Notes (selected)
4. SI Project Schedule (ongoing)
5. RSM Weekly Status Reports (ongoing)
6. Production Deployment Guide (.zip file)
7. BHA-ITS GLRA #2 v5
8. RSM Final Contract

## **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
Project Management	Y	Y	G	G	Y	G	Y	Y	Y	Y	Y	R					
Requirements Management	Y	G	G	G	Y	G	G	G	G	Y	Y	R					
Design and Development	Y	Y	G	G	Y	Y	Y	Y	G	G	G	G					
Testing					G	G	Y	Y	Y	G	Y	Y					
Data Management					G	G	Y	Y	Y	Y	Y	Y					
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R	Y	Y	Y	Y					
Total Open Findings	18	17	19	17	17	15	17	12	9	9	10	13					
Issue - high							1			1	1	1					
Issue - medium				1	1	2	4	5	4	1	0	0					
Issue - low								1	1	3	3	1					
Risk - high								1			2	5					
Risk - medium	10	4	5	9	3	1	3	1	3	4	4	5					
Risk - low	6	10	10	3	10	11	9	4	1			1					
Observations - high																	
Observations - medium	2	1	1	2	1	1											
Observations - low		2	3	2	2						1						



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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>12/31/2018: IV&amp;V was not provided any new or updated OCM documentation during the December 2018 reporting period. IV&amp;V is, however, aware that internal planning, development, and execution of OCM and training activities and documentation is occurring at DDD and CAMHD. IV&amp;V not receiving this material and information is concerning, however, it is partially due to restricted SharePoint access and the holidays impacting work schedules and availability. IV&amp;V's request for this documentation has been made multiple times, and is anticipated to be fulfilled in January. IV&amp;V maintains that this is a Medium risk at this time, however, will focus more intently on the States' OCM planning and execution as part IV&amp;V's Transition Readiness Assessment (TRA), to be delivered in mid-January.</p> <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&amp;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&amp;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&amp;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</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>12/31/2018: DHS submitted the updated IAPD to CMS on 12/31. Along with the IAPD, was the response to CMS questions (RAI), and the draft Project Partnership Understanding (PPU). The request for funding was reduced to only Phase 2. While DOH, DHS, and IV&amp;V have completed their collective tasks to this point, without CMS approval, there is still risk that Phase 2 will not be funded on time for scheduled activities to begin.</p> <p>11/27/2018: The IV&amp;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>	Project Management	Risk	High	Open		0	Laurie Thornton

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
31	7/20/2018	<b>Errors in the data migration files may impact the overall implementation schedule</b> [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>12/31/2018: IV&amp;V is downgrading this risk to a Medium, as the project is making progress towards completing the work needed for migrating the minimum data needed (TIER 1 and TIER 2) for go-live into the TEST environment. IV&amp;V was made aware that DDD, with the help of CAMHD, is close to finalizing the steps needed to complete data migration activities needed for go-live. DDD, however, was unable to complete the migration steps for TIER 3 data, which contains information for Service Authorizations and Contact Notes. DDD confirmed that while not having the TIER 3 data migrated over for Phase 1 go-live is not ideal, it should not have any significant impact on worker day-to-day operations, as this is currently required for the Phase 2.1 release. This TIER 3 data will be needed for the May release. Additionally, neither DDD nor CAMHD will be able to complete the Paper Migration activities prior to go-live, and therefore will have to complete any applicable Paper Migration activities afterwards. DDD, CAMHD, and RSM do not think this will have a significant impact on go-live, as the Paper Migration is more aligned with historical customer information, and will still be available via paper format (as it is today).</p> <p>Conversely, however, neither DD nor CAMHD will be able to complete the Paper Migration activities prior to go-live, and therefore will have to complete all Paper Migration activities after go-live. DD, CAMHD, and RSM do not think this will have a significant impact on go-live, as the Paper Migration is more aligned with historical customer information, and will still be available via paper format (as it is today). Finally, the project schedule in January has some slack built in to allow for any final steps needed to finalize the data migration effort. IV&amp;V will continue to monitor in January, and will provide additional details in the Transition Readiness Assessment to be provided prior to go-live.</p> <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&amp;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 <del>expected effects of the project in this area are ongoing, requiring the project's ability to resolve data migration issues</del></p>	Data Management	Risk	Medium	Open			Darren MacDonald
38	11/2/2018	<b>Service Level Agreements (SLA's) are unclear in the RSM contract</b>	SLAs were required by RFP Attachment 6, however RFP Attachment 6 was not included in the Final RSM contract. The RTM included in the contract depicts technical service levels, and points to the missing Attachment 6.	Agreed-to service levels are required for any and all projects, and it is clear that contractual agreement on SLAs is not in place for the BHA Project. If at any time during the DD&I or maintenance phases of the contract, if service levels do not meet those depicted in RFP Attachment 6, the State may have little to no compensatory recourse via associated Liquidated Damages clauses.	<p>DOH to coordinate with ETS to determine what SLAs are necessary for the state's enterprise agreement Microsoft.</p> <p>DOH to work with IV&amp;V and RSM to determine the service level agreements intended to be in the contract. IV&amp;V recommends that the output of this determination is a contractually binding agreement, such as a contract amendment.</p>	<p>12/31/2018: IV&amp;V was informed that BHA has reached out to MS to get additional information, but to date, the information received is not sufficient. BHA will continue to work with ETS and Microsoft to get a more detailed understanding and more thorough documentation of SLAs.</p> <p>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.</p> <p>10/31/2018: IV&amp;V has opened this item as new finding. This finding was initially included as part of IV&amp;V finding #21,</p>	Project Management	Issue	High	Open			Darren MacDonald
39	11/2/2018	<b>Requirements to user stories' associations are inconsistent within TFS</b>	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that approximately 9% of the sample size (and thus, potentially the entire project) are missing required TFS relationships between requirements and all user stories. [This finding is related to requirements / user stories missing documentation.]	Inconsistent or incomplete documentation within TFS of the relationships between requirements and their elaboration in all user stories causes the RTM to be incomplete and/or incorrect. Without proper relationships being established within TFS for all requirements to their respective user stories, complete requirements traceability is unfortunately flawed.	DOH to work with IV&V and RSM to address all inconsistencies in requirements to user story relationships within TFS, in order to ensure that complete requirements traceability is established for the project. Incomplete traceability can cause missing requirements in the software.	<p>12/31/2018: IV&amp;V was made aware that RSM and BHA agreed that this documentation will now be provided in January, as a result of RSM focusing December efforts on resolving and delivering on UAT defects and requests.</p> <p>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&amp;V's understanding that a target of mid-December was decided on for providing updates on this effort.</p> <p>10/31/2018: IV&amp;V has opened this item as new finding.</p>	Requirements Management	Issue	Low	Open			Darren MacDonald
40	11/2/2018	<b>A subset of contractual Requirements may not fully be included in user stories or the developed / configured BHA-ITS software.</b>	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that there are requirements that are not included in user stories and/or the BHA-ITS software. Initial RTM efforts indicate that this may affect upwards of 9% of the sample reviewed during the RTM effort. [This finding is related to requirements with no user stories.]	All RTM and contractual requirements need to be satisfied to ensure that the BHA-ITS solution to meets all intended business needs.	DOH to work with IV&V and RSM to address all inconsistencies in requirements implementation in user stories and the BHA-ITS software. Where gaps are mutually agreed to, IV&V recommends remediation via incorporation of all requirements determined to be missing in both user stories and the BHA-ITS software solution.	<p>12/31/2018: IV&amp;V was made aware that RSM and BHA agreed that this documentation will now be provided in January, as a result of RSM focusing December efforts on resolving and delivering on UAT defects and requests.</p> <p>11/27/2018 - DOH and RSM to meet to determine gaps and remediate.</p> <p>10/31/2018: IV&amp;V has opened this item as new finding.</p>	Requirements Management	Risk	Medium	Open			Darren MacDonald

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44	12/31/2018	<b>M&amp;O Plan not yet developed</b> [Lead Entity: Vendor]	Phase 1 go-live is just over 4 weeks away, with the state being required to takeover M&O of the solution on March 11, 2019, and the project has not developed an M&O Plan.	The vendor is required to support the system during the warranty period, and, per the contract, "provide OCM support to state IT staff with training and operations manuals until the state IT staff are able to fulfill M&O duties after the warranty period, including but not limited to future new user training, reporting, and help desk responsibilities. These duties shall also include configuring, testing, and supporting solution enhancements, upgrades, and bug fixes as the state's business operations change over time." As of the end of December, IV&V is not aware of any M&O documentation and/or planning taking place, with the state being required to takeover the M&O of the system on March 11, 2019. IV&V is aware that per the contract, RSM is scheduled to deliver M&O plans and documentation the second week of January, however, both January and February are very busy months for the project which could complicate the review, approval, and appropriate knowledge transfer of the M&O content.	Per the contract, the vendor should develop an M&O Plan or subset of plans that provides sufficient details regarding configuring, testing, and supporting solution enhancements, upgrades, and bug fixes, as well as help desk responsibilities to ensure that state staff have all the knowledge and documentation needed to assume M&O responsibilities after the warranty period.	New Finding as of the December 2018 Reporting Period.	Organizational Change Management	Risk	Low	Open			Brian Nagy
45	12/31/2018	<b>Help Desk Plan not yet developed</b> [Lead Entity: State]	Phase 1 go-live is just over 4 weeks away and the project has not developed a Help Desk / Service Plan.	Per the vendor contract, State staff are required to provide Tier 1 Help Desk Support, while the vendor is required to provide Tier 2 (technical) Help Desk Support. To date, there has not been a plan that defines Help Desk staffing and support model, processes, roles and responsibilities, tools usage, and communication and escalation protocol. Without this critical information documented, the state will be at risk of not being able to support customers who are experiencing issues using the	Create a comprehensive Help Desk Plan that, at a minimum, incorporates all requirements from the contract, and specifically details the roles, responsibilities, and expectations of both state and vendor staff.	New Finding as of the December 2018 Reporting Period.	Project Management	Risk	High	Open			Brian Nagy
46	12/31/2018	<b>Train-the-Trainer contractual requirement outstanding.</b> [Lead Entity: Vendor]	IV&V identified that there is a contractual requirement related to the TTT execution that is, thus far, outstanding:  - Section 7C: "The CONTRACTOR shall administer proficiency examinations to the "super-users," which shall test "super-users" knowledge and operational ability within the Solution, at the end of each training and shall provide additional training for "super-users" who did not achieve proficient scores"  IV&V was made aware that the vendor is using other approaches to gain an understanding of TTT trainee knowledge (such as soliciting the group for any information that may have been "missed" in the TTT sessions), and that to date, there has not been much information relayed back to the vendor. However, the contract is explicit about the requirement for proficiency examinations being administered after training sessions, which also aligns to best practices. IV&V will follow up on this in January after the planned Day 5 Training.	IV&V has found no evidence that "proficiency examinations" were administered during TTT sessions, and further confirmed via interview that these examinations were not conducted.  As a result of this requirement currently being unsatisfied, there is a high risk that the project doesn't know if TTT sessions were sufficient for BHA trainees to both use the system and train end users on the system, as well as to identify if remediation training is needed.	The state and vendor should review contractual requirements and determine an agreed-to approach to ensure that TTT trainees knowledge is sufficiently measured for Day 5 training, and for any additional TTT sessions going forward.	New Finding as of the December 2018 Reporting Period.	Organizational Change Management	Risk	Medium	Open			Brian Nagy
47	12/31/2018	<b>The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met.</b>	ADA testing has not been planned or executed, and RSM currently does not plan to perform this set of contractual requirements.	ADA requirements are mandated by the Federal and State governments, and are imposed to ensure that visually impaired users can best utilize the system. If ADA testing is not performed in accordance with Section 508 of the Web Accessibility Guidelines Levels 1 and 2, RSM cannot ensure this requirement is met. In the worst case, visually impaired users would not be able to use the system.	IV&V recommends that DOH work with RSM to ensure this contractually required testing is adequately planned and executed prior to GO LIVE, to ensure ADA requirements will be met in production. If test results indicate issues, IV&V recommends remediation prior to GO LIVE.	New Finding as of the December 2018 Reporting Period.	Requirements Management	Risk	High	Open			Darren MacDonald

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48	12/31/2018	The lack of performance testing prevents the State from validating that contractual performance requirements will be met.	Performance testing has not been planned or executed, and RSM currently does not plan to perform this set of contractual requirements.	Performance testing is planned and executed to ensure that system response time requirements are met or exceeded. Without planning and executing performance testing, the likelihood of performance issues in production are likely to increase. At minimum, this could result in user adoption issues based on dissatisfaction with the system. In the worst case, this could result in performance issues that could prevent users from being able to complete tasks within the system. Performance issues were reported during UAT.	IV&V recommends that DOH work with RSM to ensure this contractually required testing is adequately planned and executed prior to GO LIVE, to ensure performance requirements will be met in production. If test results indicate issues, IV&V recommends remediation prior to GO LIVE.	New Finding as of the December 2018 Reporting Period.	Requirements Management	Risk	High	Open			Darren MacDonald
49	12/31/2018	The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met.	Load testing has not been planned or executed, and RSM currently does not plan to perform this set of contractual requirements.	Load testing is planned and performed to ensure that user load capacity is met or exceeded. This is accomplished to mimic the volume of expected volumes of transactions at peak usage times of the day, and ensures that the number of planned concurrent users can adequately utilize the system in production within performance requirement thresholds. Without planning and executing load testing, the likelihood of load issues in production are likely to increase. At minimum, this could result in user adoption issues based on dissatisfaction with the system. In the worst case, this could result in load or capacity issues that could prevent users from being able to complete tasks within the system. Performance issues were reported during UAT, and without load capacity testing, it is unclear if load and/or capacity contributed to the performance issues.	IV&V recommends that DOH work with RSM to ensure this contractually required testing is adequately planned and executed prior to GO LIVE, to ensure load and capacity requirements will be met in production. If test results indicate issues, IV&V recommends remediation prior to GO LIVE.	New Finding as of the December 2018 Reporting Period.	Requirements Management	Risk	High	Open			Darren MacDonald
50	12/31/2018	DOH UAT execution duration cut short	IV&V observed that the third and final UAT Cycle (Cycle 3 aka "Big" UAT) duration was reduced from a plan of approximately 19 business days in November and December 2018 to approximately 5-6 business days (approximately 60%), due to multiple predecessor activity delays including: 1. Resolution of outstanding high priority defects and requests resulting from UAT, and 2. User Roles and Teams not being fully and accurately setup. Based on the shortened timeframe, the UAT effort was severely constrained. As result, all Role Based and Team Setup testing was postponed until January, after the close of UAT during an "extended" UAT period.	Shortening the UAT cycle by over 60% resulted in DOH not having sufficient time to complete a thorough and complete acceptance test cycle. All Security Role testing, (which defines what functions users can perform), and Team Setup testing, (which defines the data that users have access to) was delayed until after UAT, and before GO LIVE. Informally extending UAT cycles without changing other key implementation schedule dates is not considered as a Best Practice. Condensing UAT can result in quality issues, ranging from missed tests and/or requirements to the need to re-test items multiple times to determine whether functions work in accordance with specifications. Many UAT tests executed in December may need to be re-tested in January for security roles and team setups.	IV&V recommends that BHA monitors this risk as the implementation cycle continues. If the re-test of functionality stratified by security roles and team setups uncovers additional defects or requests, IV&V recommends that the project strongly analyze the impact on GO LIVE, and the confidence level that activities can be sufficiently completed prior to GO LIVE.	New Finding as of the December 2018 Reporting Period.	Test Management	Risk	Medium	Open			Darren Macdonald