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February 13, 2019

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

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

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

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawaii Department of Health Hawaii BHA Integrated Case Management System Project.

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

Sincerely,

DOUGLAS MURDOCK
Chief Information Officer
State of Hawaiʻi

Attachment (2)

Hawaii BHA Integrated Case Management System Project

Final IV&V Status Report for the period of
January 1 - 31, 2019

:

Overview

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

Executive Summary

As of the January reporting period, the Phase 1 "early go-live" for CAMHD on January 22 was successful, and full Phase 1 go-live is on schedule for February 4, 2019. Despite outstanding risks, the solution and the project teams should be ready for go-live on February 4th.

IV&V's persisting concerns include CMS' timely approval of the IAPD, uncertainty regarding the enforcement of some contractual SLAs, unfulfilled contractual requirements specific to ADA, Load, and Performance testing, and one outstanding issue regarding the migration of Essential Health Records that was still unresolved as of the evening of January 31st. Additionally, IV&V is concerned about the Help Desk Plan not being finalized, the M&O Plan not fully aligning to contractual requirements specific to the Warranty and Stabilization period, nor providing sufficient process and resource details, and the late completion of configuring and testing User Roles and Team Setup for DDD. Despite these concerns, it is unlikely that any of these risks will have a significant impact on go-live of the solution, however, they all have the potential to impact the solution and users after the system is live.

Nov 18	Dec 18	Jan 19	Process Areas	IV&V Observations	Overall Health
H	H	H	Project Management	The January 2019 reporting period rating and the Overall Health rating for the Project Management process area remain high (red) due to outstanding risks and concerns regarding the CMS' timely approval of the IAPD, unclear and unenforceable contractual SLAs in the State's Enterprise Agreement with Microsoft, and the project's Help Desk Plan not yet being finalized. Additionally, IV&V opened two new risks in January, specific to the lack of finalized planning and details necessary to start P2.1 activities on February 5th, and proposed contract modifications (to state vs. vendor responsibilities) that are not formally documented and agreed to by the State.	R
M	H	H	Requirements Management	The January 2019 reporting period rating and the Overall Health rating for the Requirements Management process area remain high (red) primarily due to currently unsatisfied contractual requirements specific to Performance and Load Testing, and currently unsatisfied requirements in TFS specific to ADA Testing. BHA is working to address this risk by adding in ADA, Load, and Performance testing activities and reports in the Year 2 and Year 3 contract deliverables.	R

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Executive Summary

Nov 18	Dec 18	Jan 18	Process Areas	IV&V Observations	Overall Health
L	L	L	Design and Development	There are no active findings in the Design and Development Process Area for the January reporting period.	G
L	M	M	Testing	The January 2019 reporting period rating and the Overall Health rating for the Testing Management process area remain medium (yellow). IV&V opened a new risk in the January Reporting Period, specific to DDD User Roles and Team Setup not being completed until the afternoon of January 31 (two business days before go-live) despite being targeted for completion in December 2018.	Y
H	M	M	Data Management	The January 2019 reporting period rating and the Overall Health rating for the Data Management process area remain medium (yellow) as there is still one outstanding Data Migration error impacting DDD just two business days before go-live..	Y
M	M	M	Organizational Change Management	The January 2019 reporting period rating and the Overall Health rating for the Data Management process area remain medium (yellow). IV&V closed two findings in January, however, risk remains around the Warranty and Stabilization Period M&O Processes document not being fully aligned with contractual requirements as well as not providing significant details regarding the term of the period, the breakdown of vendor resources and responsibilities, and the timing of defect resolution.	Y

Executive Summary

As of the January 2019 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 3 findings (3 medium risks) in the January reporting period.

To date, IV&V has identified a total of 53 findings (9 issues, 37 risks, and 7 observations) on this project; 40 of which have been closed.

IV&V Findings by Status

Category	Open	Closed
Test Management	1	4
Project Management	3	22
Data Management	1	2
Requirements Management	5	4
Organizational Change Management	3	1
Design & Development		4
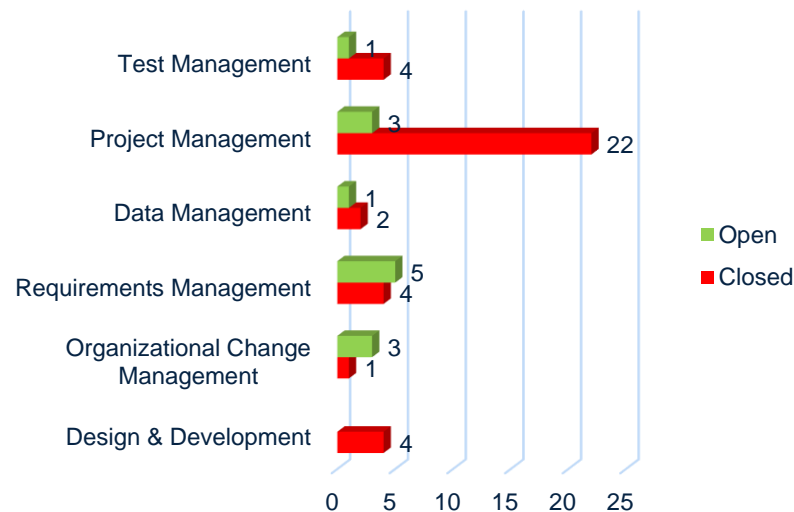
Open IV&V Findings by Criticality

Category	High	Medium	Low
Test Management		1	
Project Management	3		
Data Management		1	
Requirements Management	3		1
Requirements Management			1
Organizational Change Management		2	
Organizational Change Management			1
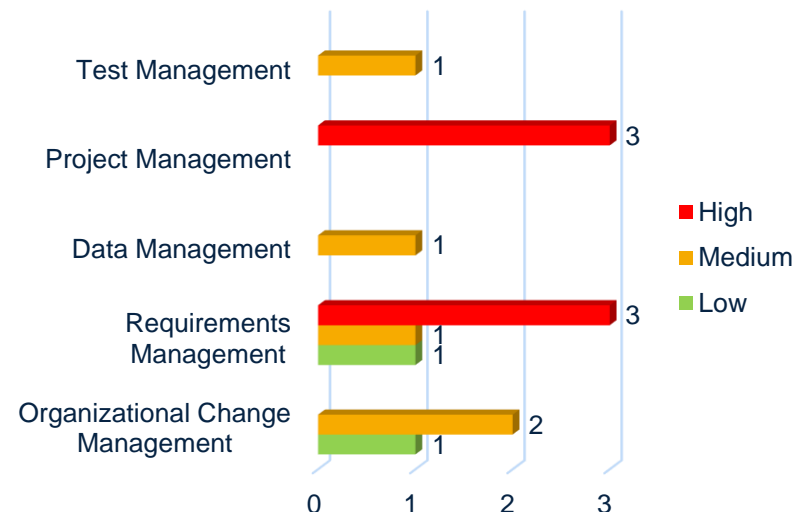
See Appendix C for trend data related to IV&V's monthly ratings for findings and overall project health.

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

- Test Management

- Data Management

- Organizational Change Management

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
19	**Access to enhanced federal funding may impact the project budget and/or scope:** [*Lead Entity: State*] 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. As of the January 2019 reporting period, IV&V does not have an update to this finding as the state continues to wait for CMS' response to the submitted IAPD, RAI, and PPU.	H
38	**Service Level Agreements (SLAs) are insufficiently documented:** [*Lead Entity: State*] 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. BHA continues to work with Microsoft and ETS to obtain information regarding Microsoft's responsibilities and performance targets per the State's Enterprise Agreement (EA). Currently, critical SLAs (e.g., page load time, solution response time, etc.) for the INSPIRE/Max solution are extremely difficult to monitor, track, and enforce. If additional EA details and requirements are not provided, this issue should be escalated to ETS as the current EA could negatively impact the INSPIRE/Max solution, as well as other Microsoft products used by the State of HI.	H
45	**Help Desk Plan not yet developed** *[Lead Entity: State]*. A draft version of the Help Desk Plan has been submitted jointly by DDD and CAMHD, with input from RSM. As of this reporting period, the document has several outstanding comments and questions to be addressed. Additionally, IV&V is concerned that the current Help Desk Plan does not address all of the specifications detailed in Section 1.2.1 of the contract regarding Tiers, staffing of Tiers, responsibilities of state and vendor, and escalation between Tiers.	H

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IV&V Findings and Recommendations

Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
51	**New RISK - Timeliness of Phase 2 Planning** *[Lead Entity: State].* As of the January reporting period, Phase 2.1 of the project is scheduled to begin on February 5th, however, key decisions about the scope and execution of P2.1 have not been agreed to and finalized, including contractor deliverables, staffing, and a firm go-live date. IV&V is aware that BHA and RSM are actively engaged in discussions specific to P2 scope and timing, and are targeting February 6th to reach agreement on a contract modification.	M
53	**New RISK - Proposed modifications to contractual responsibilities are not formally documented** *[Lead Entity: State].* IV&V is aware that there may have been changes or "swaps" in contractual responsibilities (excluding User Stories) between state and vendor that were not recorded by either party. As an example, there is a lack of clarity regarding agreements made between BHA and RSM regarding the amount of RSM staff, their focus, and time period to be worked during P1 Warranty and Stabilization, that was not formally documented. All changes to processes, documentation, staffing, and responsibilities should (at a minimum) be formally documented in project deliverables and/or work products, and changes that effect the scope, cost, or schedule of the contract should be captured in a formal change request.	M

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IV&V Findings and Recommendations

Project Management (cont'd)

Recommendations	Progress
• BHA to continue to work closely with DHS to satisfy any remaining and future requests from CMS.	In process
• Continue to work with State ETS and Microsoft to get agreement on the required service levels for the INSPIRE/Max solution, and have these SLAs formally updated and documented in the states EA with Microsoft	In process
• 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	In process
• Both state and vendor need to prioritize the planning of Phase 2.1 scope, schedule, deliverables, and resources as currently intended to begin on Feb 5, 2019	New
• BHA should create a formal change management plan, process, and document to ensure that all changes or to contractual responsibilities are appropriately documented	New

IV&V Findings and Recommendations

Requirements Management

#	Key Findings	Criticality Rating
39	**Requirements to user stories' associations are inconsistent within TFS** *[Lead Entity: Vendor]***:** 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. RSM has confirmed that this documentation is approximately 97% complete and is on target for delivery at the end of January.	L
40	**A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software** *[Lead Entity: Vendor]***:** 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. RSM has confirmed that this documentation is approximately 97% complete and is on target for delivery at the end of January.	M
47	**The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met** *[Lead Entity: Vendor]***.** As part of its Transition Readiness Assessment (TRA), IV&V reviewed the "MS Dynamics 365 WCAG" document provided by RSM to show that the INSPIRE/Max system meets ADA Section 508 requirements, and therefore ADA testing is not needed. IV&V has discussed this risk with both RSM and the State and continues to recommend that ADA testing to address the nine components (out of 38 total) listed in the "MS Dynamics 365 WCAG" as "Met with Exceptions" are tested to determine if the solution as configured meets those components. If this level of testing is not performed and any exceptions to the requirements are not tested and identified, there is risk that both solutions are not fully compliant with ADA Section 508 requirements. BHA is including the requirement that RSM perform and report on the testing of the nine (9) ADA components marked "Met with Exceptions" in the "Deliverables List" for Years 2 and 3 in the current contract modification.	H

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IV&V Findings and Recommendations

Requirements Management (cont'd)

#	Key Findings	Criticality Rating
48	**The lack of performance testing prevents the State from validating that contractual performance requirements will be met** *[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. IV&V escalated this risk through the Transition Readiness Assessment (TRA) to both the State and RSM. IV&V provided the contractual language requiring Performance Testing, and an associated results report, to both the State and RSM. IV&V does not have any further update at the moment, however continues to recommend that this testing take place, and that this remains a High risk to the solution. BHA is including the requirement that RSM perform and report on Performance Testing in the "Deliverables List" for Years 2 and 3 in the current contract modification.	H
49	**The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met** *[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. IV&V escalated this risk through the Transition Readiness Assessment (TRA) to both the State and RSM. IV&V provided the contractual language requiring Load Testing, and an associated results report, to both the State and RSM. IV&V does not have any further update at the moment, however continues to recommend that this testing take place, and that this remains a High risk to the solution. BHA is including the requirement that RSM perform and report on Load Testing in the "Deliverables List" for Years 2 and 3 in the current contract modification.	H

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IV&V Findings and Recommendations

Requirements Management (cont'd)

Recommendations	Progress
• Identify inconsistencies in requirements to user story relationships within TFS in order to ensure that complete requirements traceability is established for the project.	Not started
• Identify inconsistencies in requirements implementation in user stories and the BHA-ITS software and incorporate all requirements determined to be missing in both user stories and the BHA-ITS software solution.	Not started
• 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
• DOH work with RSM to ensure all contractually required testing is adequately planned and executed as specified in the contract	In process
• If there are components of ADA Section 508 requirements that the MS documentation states Dynamics "Meets with Exception", those exceptions should be reviewed and tested to ensure that there are no gaps in ADA requirements.	New

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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

Test Management

#	Key Findings	Criticality Rating
50	**DOH UAT execution duration cut short** *[Lead Entity: State]***.** IV&V is **closing this risk** as UAT has completed as of January 4th. Additionally, IV&V is now tracking a new risk specific to the configuration and testing of DDD User Roles and Team Setup (finding #52).	M
52	**New RISK -** **User Roles and Team Setup configuration and testing process** *[Lead Entity: Shared].* DDD User Roles and Team Setup were not fully configured, tested, and finalized until the afternoon of January 31st, two business days before go-live. Despite this effort being planned for completion in December, problems related to the clarity of assignments, process, workflows, and users/access persisted, complicating and delaying this effort long past its due date. As this process was completed so late, IV&V is going to keep this risk open until post-go-live to verify that all roles are configured and working as planned. Moving forward, BHA and RSM need to revisit this effort in a Lessons Learned session to identify opportunities for improving this process for future releases.	L

Recommendations	Progress
• DDD, CAMHD, and RSM need to prioritize improving the roles and access setup, configuration, and testing process for future releases, ensuring that all access requirements and restrictions are clearly defined and documented.	New

IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
31	**Errors in the data migration files may impact the overall implementation schedule** *[Lead Entity: Shared]*: As of the evening of January 31st, two business days before go-live, there was still an error related to Essential Health Records not displaying appropriately in the INSPIRE system that was outstanding. RSM and BHA are confident that this is a quick fix that will be resolved before COB February 1, but, as of this report, this error represents the last known roadblock to the State being fully ready for Phase 1 go-live.	(M)

Recommendations	Progress
• Both teams must work together to ensure that all documentation to support data migration processes is accurate, complete, and executed correctly.	In process

IV&V Findings and Recommendations

Organizational Change Management

#	Key Findings	Criticality Rating
7	**Attention to User Adoption (buy-in)** *[Lead Entity: State]* IV&V is **closing this risk** as BHA has provided sufficient documentation to show the efforts placed in the planning, development, and execution of OCM activities. Further, all training feedback thus far (in scope of both Train-the-Trainer and End User training) has been positive, and neither DDD nor CAMHD believe there are any business gaps in training that are known to date.	Ⓜ
44	**M&O Plan not yet developed** *[Lead Entity: Vendor]*. IV&V reviewed the draft "Stabilization M and O Process _ 2019_01_21 v1.3" document and found that the document lacks specific details regarding: • the total number of hours and days to be worked by RSM staff, • the breakdown of RSM FTEs and their responsibilities, • the roles and responsibilities of all parties involved in the Warranty and Stabilization period (i.e., a RACI chart or something similar), • the timeliness in responding to and resolving defects, including critical/show stopper defects, and • the process for balancing the prioritization of defects and requests. While IV&V is aware of discussions between BHA and RSM specific to the above topics, ensuing decisions have not been formalized and documented. Additionally, IV&V is aware that BHA and RSM intend to have further discussions to vet changes and terms of the Warranty and Stabilization period as currently described in the contract. The outcome of these discussions and agreements should be formally documented in a change request, and the resulting policies, processes, and requirements specific to the Warranty and Stabilization period must be documented in an updated version of the M&O Processes document.	Ⓜ

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IV&V Findings and Recommendations

Organizational Change Management (cont'd.)

#	Key Findings	Criticality Rating
46	**Train-the-Trainer contractual requirement outstanding** *[Lead Entity: Vendor].* IV&V is **closing this risk** as all planned RSM-led training sessions (TTT and Day 5) are now complete, this risk is no longer applicable. Going forward, IV&V will work with the project to verify that all training contractual requirements, including proficiency examinations, are adhered to in a quality, and timely manner.	(M)

Recommendations	Progress
• Update and refine the draft "Stabilization M and O Processes" document (M&O Plan) to clearly adhere to all conditions and requirements detailed in the Warranty and Stabilization sections of the contract.	In process

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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.

8

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Appendix A (cont'd.)

Criticality Ratings

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

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Appendix B: Inputs

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

Meetings attended during the reporting period:
1. 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 #3
10. IV&V and BHA TRA report review
11. IV&V and RSM TRA report review

Artifacts reviewed during the reporting period:
1. Daily Scrum Notes (selected)
2. Data Management Meeting Notes (selected)
3. SI Project Schedule (ongoing)
4. RSM Weekly Status Reports (ongoing)
5. Production Deployment Guide (.zip file)
6. RSM Final Contract
7. Various BHA OCM and Training materials

Eclipse IV&V® Base Standards and Checklists

Eclipse IV&V
Standards

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	R				
Requirements Management	Y	G	G	G	Y	G	G	G	G	Y	Y	R	R				
Design and Development	Y	Y	G	G	Y	Y	Y	Y	G	G	G	G	G				
Testing					G	G	Y	Y	Y	G	Y	Y	Y				
Data Management					G	G	Y	Y	Y	Y	Y	Y	Y				
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R	Y	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
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.	1/31/2019: At this time, IV&V does not have an update to this finding as the state continues to wait for CMS' response to the submitted IAPD, RAI, and PPU. 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&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. 11/27/2018: The IV&V Team helped develop draft responses to the 14 CMS questions asked of DOH.	Project Management	Risk	High	Open		0	Laurie Thornton
31	7/20/2018	**Errors in the data migration files may impact the overall implementation schedule** [Lead Entity: **SHARED** - State and Vendor]	Files or data unable to be processed as part of the planned data migration may jeopardize the project's schedule.	If the data migration files or data is not formatted correctly, they will not convert. Errors in converted data may delay the implementation if additional time is required to resolve them.	Determine alternative methods for piloting, analyzing, and/or remediating data migration activities and outputs prior to or during the cutover period.	1/31/2019: As of the evening of January 31st, two business days before go-live, there was still an error related to Essential Health Records not displaying appropriately in the INSPIRE system that was outstanding. RSM and BHA are confident that this is a quick fix that will be resolved before COB February 1, but, as of this report, this error represents the last known roadblock to the State being fully ready for Phase 1 go-live. 12/31/2018: IV&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&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). 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&V will continue to monitor in January, and will provide additional details in the Transition Readiness Assessment to be provided prior to go-live. 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	Data Management	Risk	Medium	Open			Darren MacDonald
38	11/2/2018	**Service Level Agreements (SLA's) are unclear in the RSM contract**	SLAs were required by RFP Attachment 6, however RFP Attachment 6 was not included in the Final RSM contract. The RTM included in the contract depicts technical service levels, and points to the missing Attachment 6.	Agreed-to service levels are required for any and all projects, and it is clear that contractual agreement on SLAs is not in place for the BHA Project. If at any time during the DD&I or maintenance phases of the contract, if service levels do not meet those depicted in RFP Attachment 6, the State may have little to no compensatory recourse via associated Liquidated Damages clauses.	DOH to coordinate with ETS to determine what SLAs are necessary for the state's enterprise agreement with Microsoft. DOH to work with IV&V and RSM to determine the service level agreements intended to be in the contract. IV&V recommends that the output of this determination is a contractually binding agreement, such as a contract amendment.	1/31/2019: This finding remains open as a High Risk. BHA continues to work with both Microsoft and ETS to get more information regarding Microsoft's responsibilities and performance targets per the state's Enterprise Agreement (EA). The current state of the SLAs makes enforcement of critical SLAs, such as page load time, solution response time, etc., extremely difficult to monitor, track, and enforce. If additional EA details and requirements are not present, then this issue should be elevated to ETS as the current EA could have negative impacts on the INSPIRE/Max solution, as well as any other Microsoft product used by the state of HI. 12/31/2018: 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 more thorough documentation of SLAs. 11/27/2018: The contract does not contain a complete and detailed reference to the state of HI's Enterprise Agreement with Microsoft regarding service and performance levels, specifically incident and problem management, and solution millisecond response times. Due to this, there is some confusion on the project regarding the management and enforcement of contractual SLAs. Both RSM and BHA are aware of this issue, and have agreed to work jointly to resolve the management and documentation of SLAs and to determine how service levels will be measured and enforced. 10/31/2018: IV&V has opened this item as new finding. This finding was initially included as part of IV&V finding #21, however that risk has been closed, leaving this component of it still open.	Project Management	Issue	High	Open			Darren MacDonald

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
39	11/2/2018	**Requirements to user stories' associations are inconsistent within TFS**	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that approximately 9% of the sample size (and thus, potentially the entire project) are missing required TFS relationships between requirements and all user stories. [This finding is related to requirements / user stories missing documentation.]	Inconsistent or incomplete documentation within TFS of the relationships between requirements and their elaboration in all user stories causes the RTM to be incomplete and/or incorrect. Without proper relationships being established within TFS for all requirements to their respective user stories, complete requirements traceability is unfortunately flawed.	DOH to work with IV&V and RSM to address all inconsistencies in requirements to user story relationships within TFS, in order to ensure that complete requirements traceability is established for the project. Incomplete traceability can cause missing requirements in the software.	1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January. 12/31/2018: 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. 11/27/2018: BHA and RSM agreed to determine why some requirements are not tied to user stories (i.e., due to requirement satisfaction via out-of-the-box functionality) and identify those that should be tied to user stories. It is IV&V's understanding that a target of mid-December was decided on for providing updates on this effort.	Requirements Management	Issue	Low	Open			Darren MacDonald
40	11/2/2018	**A subset of contractual Requirements may not fully be included in user stories or the developed / configured BHA-ITS software.**	As a component of the RTM validation effort of requirements to user stories, IV&V identified and DOH agreed that there are requirements that are not included in user stories and/or the BHA-ITS software. Initial RTM efforts indicate that this may affect upwards of 9% of the sample reviewed during the RTM effort. [This finding is related to requirements with no user stories.]	All RTM and contractual requirements need to be satisfied to ensure that the BHA-ITS solution to meets all intended business needs.	DOH to work with IV&V and RSM to address all inconsistencies in requirements implementation in user stories and the BHA-ITS software. Where gaps are mutually agreed to, IV&V recommends remediation via incorporation of all requirements determined to be missing in both user stories and the BHA-ITS software solution.	1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January. 12/31/2018: 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. 11/27/2018 - DOH and RSM to meet to determine gaps and remediate.	Requirements Management	Risk	Medium	Open			Darren MacDonald
44	12/31/2018	**M&O Plan not yet developed** [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.	1/31/2019: IV&V reviewed the draft "Stabilization M and O Process _ 2019_01_21 v1.3" document and found that the document lacks specific details regarding: - the total number of hours and days to be worked by RSM staff, - the breakdown of RSM FTEs and their responsibilities, - the roles and responsibilities of all parties involved in the Warranty and Stabilization period (i.e., a RACI chart or something similar), - the timeliness in responding to and resolving defects, including critical/show stopper defects, and - the process for balancing the prioritization of defects and requests. While IV&V is aware of discussions between BHA and RSM specific to the above topics, ensuing decisions have not been formalized and documented. Additionally, IV&V is aware that BHA and RSM intend to have further discussions to vet changes and terms of the Warranty and Stabilization period as currently described in the contract. The outcome of these discussions and agreements should be formally documented in a change request, and the resulting policies, processes, and requirements specific to the Warranty and Stabilization period must be documented in an updated version of the M&O Processes document. New Finding as of the December 2018 Reporting Period.	Organizational Change Management	Risk	Medium	Open			Brian Nagy
45	12/31/2018	**Help Desk Plan not yet developed** [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 new system.	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.	1/31/2019: A draft version of the Help Desk Plan has been submitted jointly by DDD and CAMHD, with input from RSM. As of this reporting period, the document has several outstanding comments and questions to be addressed. Additionally, IV&V is concerned that the current Help Desk Plan does not address all of the specifications detailed in Section 1.2.1 of the contract regarding Tiers, staffing of Tiers, responsibilities of state and vendor, and escalation between Tiers. New Finding as of the December 2018 Reporting Period.	Project Management	Risk	High	Open			Brian Nagy
47	12/31/2018	**The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met.**	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.	1/31/2019:]. As part of its Transition Readiness Assessment (TRA), IV&V reviewed the "MS Dynamics 365 WCAG" document provided by RSM to show that the INSPIRE/Max system meets ADA Section 508 requirements, and therefore ADA testing is not needed. IV&V has discussed this risk with both RSM and the State and continues to recommend that ADA testing to address the nine components (out of 38 total) listed in the "MS Dynamics 365 WCAG" as "Met with Exceptions" are tested to determine if the solution as configured meets those components. If this level of testing is not performed and any exceptions to the requirements are not tested and identified, there is risk that both solutions are not fully compliant with ADA Section 508 requirements. BHA is including the requirement that RSM perform and report on the testing of the nine (9) ADA components marked "Met with Exceptions" in the "Deliverables List" for Years 2 and 3 in the current contract modification.	Requirements Management	Risk	High	Open			Darren MacDonald

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
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.	1/31/2019: IV&V escalated this risk through the Transition Readiness Assessment (TRA) to both the State and RSM. IV&V provided the contractual language requiring Performance Testing, and an associated results report, to both the State and RSM. IV&V does not have any further update at the moment, however continues to recommend that this testing take place, and that this remains a High risk to the solution. BHA is including the requirement that RSM perform and report on Performance Testing in the "Deliverables List" for Years 2 and 3 in the current contract modification.\n\nNew 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.	1/31/2019: IV&V escalated this risk through the Transition Readiness Assessment (TRA) to both the State and RSM. IV&V provided the contractual language requiring Load Testing, and an associated results report, to both the State and RSM. IV&V does not have any further update at the moment, however continues to recommend that this testing take place, and that this remains a High risk to the solution. BHA is including the requirement that RSM perform and report on Load Testing in the "Deliverables List" for Years 2 and 3 in the current contract modification.\n\nNew Finding as of the December 2018 Reporting Period.	Requirements Management	Risk	High	Open			Darren MacDonald
51	1/22/2019	**Timeliness of Phase 2 Planning**	As of January 22, Phase 2.1 of the project is scheduled to begin on February 5th, however, key decisions about the scope and execution of P2.1 have not been agreed to and finalized, including contractor deliverables, staffing, and a firm go-live date. IV&V is aware that BHA and RSM are actively engaged in discussions specific to P2 scope and timing, and are targeting February 6th to reach agreement on a contract modification.	Project success is directly tied to the planning effort, including confirming scope, resource assignments, deliverables, timing, risks, and dependencies. If these critical details are not appropriately detailed, decomposed, and agreed to by both parties (state and vendor) then the scope, cost, and schedule relative to Phase 2.1 will all be at risk.	Both state and vendor need to either prioritize the planning of Phase 2.1 scope, schedule, deliverables, and resources as currently intended to begin on Feb 5, 2019, or, discussions need to happen in which pushing the start of P2.1 back to later in the month is considered.	New Finding as of the January 2019 Reporting Period.	Project Management	Risk	Medium	Open			Brian Nagy
52	1/24/2019	**User Roles and Team Setup configuration and testing process**	User Roles and Team Setup were not fully configured, tested, and finalized until the afternoon of January 31st, two business days before go-live. Despite this effort being planned for completion in December, problems related to the clarity of assignments, process, workflows, and users/access persisted, complicating and delaying this effort long past its due date. As this process was completed so late, IV&V is going to keep this risk open until post-go-live to verify that all roles are configured and	If User Roles and Team Setup is not configured and fully confirmed via testing, then the workflows and permissions designed for specific users and teams may not work as needed. This could result in gaps in functionality and inappropriate access to data and information for certain users.	The project - vendor and state - need to prioritize the configuration and testing of User Roles and Team Setup. If User Roles and Team Setup are not completely configured and sufficiently tested prior to go-live, then the project should consider delaying the go-live of the INSPIRE system. Moving forward, BHA and RSM need to revisit this effort in a Lessons Learned session to identify opportunities for improving this process for future releases.	New Finding as of the January 2019 Reporting Period.	Test Management	Risk	Low	Open			Brian Nagy
53	1/24/2019	**Agreements to Change Contract Responsibilities Not Formally Documented**	IV&V is aware that there may have been changes or "swaps" in contractual responsibilities (excluding User Stories) between state and vendor that were not recorded by either party. As an example, there is a lack of clarity regarding agreements made between BHA and RSM regarding the amount of RSM staff, their focus, and time period to be worked during P1 Warranty and Stabilization, that was not formally documented. All changes to processes, documentation, staffing, and responsibilities should (at a minimum) be formally documented in project deliverables and/or work products, and changes that effect the scope, cost, or schedule of the contract should be captured in a formal change	Changes in contractual responsibilities that are not formally agreed to, detailed, and documented can cause confusion amongst parties regarding who is doing what, and can negatively impact the quality and timing of work delivered. Additionally, without documenting changes to contractual responsibilities, it is impossible to ensure that the changes or "swaps" are clearly understood by all parties, and that the changes or "swaps" are traceable, manageable, and enforceable.	Going forward in Phase 2 and beyond, the state should create a formal change management plan, process, and document to ensure that all changes or "swaps" in contractual responsibilities are appropriately scoped, estimated, approved, and documented, so all parties to the project are aware in any changes to the contract and/or expectations.	New Finding as of the January 2019 Reporting Period.	Project Management	Risk	Medium	Open			Brian Nagy