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March 14, 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,

A handwritten signature in black ink, appearing to read "Douglas Murdock".

DOUGLAS MURDOCK  
Chief Information Officer  
State of Hawai'i

Attachment (2)



# Hawaii BHA Integrated Case Management System Project

*Final IV&V Findings for the period of  
February 1 - 28, 2019*

# Overview









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

















# Executive Summary

*RSM and BHA worked diligently to successfully implement the INSPIRE/MAX Solution on February 4th as planned. The partnership between RSM and BHA proved to play a significant role in the successful go-live, and will serve as a good foundation moving forward in the project. IV&V's focus as of the February reporting period now turns to the Warranty and Stabilization period set to run through March 1<sup>st</sup>, and the design and development efforts of Phase 2.1.*

*IV&V observed great progress during the February reporting period, and has closed three findings and downgraded the severity of another three findings as a result. However, a number of risks to the overall scope of the project remain from Phase 1, most notably the status of project funding as DHS decided to withdraw the current IAPD in favor of submitting a new version; the need for increased clarity and possible enhancements to the State's Enterprise Agreement with Microsoft specific to performance SLAs; and the project's lack of a finalized and approved Help Desk Plan. IV&V opened a new risk based on an active problem with CRM Date/Time settings, and two new preliminary concerns related to the new User Story estimation process and BHA's responsibilities for Phase 2 report writing.*

Dec 18	Jan 19	Feb 19	Process Areas	IV&V Observations	Overall Health
			Project Management	The February 2019 reporting period risk rating and the Overall Health rating for the Project Management process area remain high (red) due to the withdrawal the current IAPD and the potential impact that prolonged approval may have on the project. There are unenforceable contractual SLAs in the State's Enterprise Agreement with Microsoft, the project's Help Desk Plan has not been finalized, and the lack of a formal process for managing project-level change. IV&V is also tracking a new preliminary concern specific to the vendor's User Story Point estimation process.	
			Requirements Management	The February 2019 reporting period risk rating has been downgraded to a medium (yellow) and the Overall Health rating for the Requirements Management process area has been downgraded to a medium (yellow) due to BHA and RSM agreeing to an approach to ensure that ADA, Load, and Performance testing requirements are sufficiently satisfied in P2 and beyond. Additionally, RSM delivered the documentation to show the coverage of all P1 requirements to BHA on February 8, but this documentation has not yet been evaluated by BHA.	

# Executive Summary

Dec 18	Jan 19	Feb 19	Process Areas	IV&V Observations	Overall Health
			Design and Development	The February 2019 reporting period risk rating for the Design and Development process area has been escalated to a medium (yellow), but the overall health of the Design and Development process area remains low (green). IV&V opened a new risk related to the CRM Date/Time problem that is currently being worked by RSM and BHA, as well as a preliminary concern regarding BHA staff's responsibility for Phase 2 report writing and the requisite knowledge needed to produce the reports.	
			Testing	The February 2019 reporting period risk rating and the Overall Health rating for the Testing Management process area have both been downgraded to low (green). IV&V maintains that there is still a low risk regarding the final configuration around DDD and CAMHD user roles, with the possibility of needing to create a new Clerical role.	
			Data Management	The February 2019 reporting period risk rating and the Overall Health rating for the Data Management process area have been downgraded to low (green) as the project successfully resolved the last outstanding problem related to Data Migration prior to go-live.	
			Organizational Change Management	The February 2019 reporting period risk rating and the Overall Health rating for the Organizational Change Management process area have been downgraded to low (green) as IV&V has closed out the last remaining risk related to the finalization of the "Stabilization M and O Process" document, as RSM improved the details of the document and the processes defined in the document are being successfully executed.	

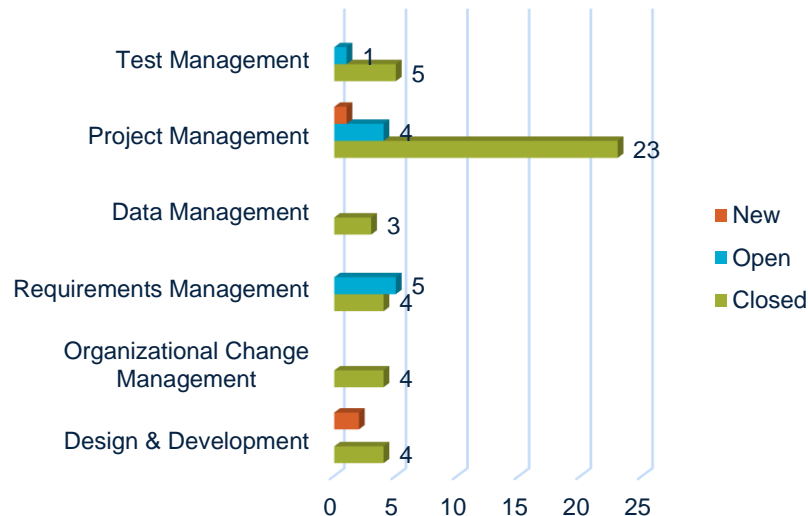
# Executive Summary

*As of the February 2019 reporting period, IV&V has 13 open findings: 8 risks (1 high, 3 medium, 4 low), 3 issues (2 high, 1 low), and 2 preliminary concerns.*

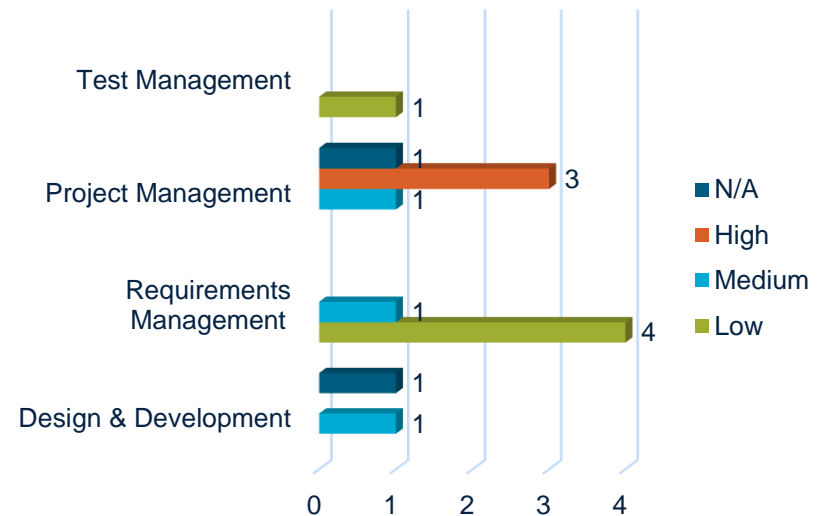
*IV&V closed 3 findings (all medium risks) during the February reporting period.*

*To date, IV&V has identified a total of 56 findings (10 issues, 37 risks, 7 observations, and 2 preliminary concerns) on the project; 43 of which 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
- Test 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. On 2/21 representatives from DOH and DHS met with CMS representatives to discuss the IAPD that was submitted on 12/31/18. CMS' concerns are primarily related to cost allocation, tying the functional/technical requirements to advancing the Medicaid Enterprise's MITA maturity, and obtaining approval for the MECT certification IV&V activities. MQD has withdrawn the IAPD and developed a joint workplan with DOH to address all CMS concerns and requirements, with a planned resubmission date of March 15. This remains a high risk for the February Reporting period.	H
38	<b>Service Level Agreements (SLAs) are insufficiently documented:</b> <i>[Lead Entity: State]</i> The RSM 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 ETS to get additional information regarding the State's Enterprise Agreement with Microsoft specific to performance standards. Based on information received from Microsoft, changes to the State's EA with Microsoft may be required to ensure that the State gets the needed performance SLAs. However, the State's EA is not set to be renegotiated for approximately 16 months, which means that significant change to the EA is not likely in the near future. In response to this, BHA is regularly working with Microsoft to improve interactions and response time, and recently has implemented a new streamlined approach to contacting Microsoft to get performance issues addressed. BHA and ETS plan to continue to work with Microsoft to improve Microsoft's commitment to performance levels and response time. This remains a high risk for the February Reporting period.	H




# IV&V Findings and Recommendations

## Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
45	<b>Help Desk Plan not yet developed</b> [Lead Entity: State]. The project lacks a finalized Help Desk Plan that has been fully vetted, approved, and accepted as final. Despite not having a formalized plan, the Help Desk is fully operational. As there are three different entities in charge of operating the Help Desk (DDD, CAMHD, and RSM) and the technical expertise and experience with MS Dynamics varies amongst each team, having a comprehensive Help Desk Plan that is agreed to and approved by all parties is of significant importance. Additionally, without having documented Help Desk policies and processes, there is no substantive way to govern the process of improving Help Desk performance. IV&V is escalating to a high <i>issue</i> until the document is completed and approved by the project.	
51	<b>Timeliness of Phase 2 Planning</b> [Lead Entity: State]. IV&V is <u><a href="#">closing this risk</a></u> as the details of the Phase 2 Contract Amendment have been documented, vetted, and agreed to by both BHA and RSM, and is expected to be executed in early March.	

# IV&V Findings and Recommendations

## Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
53	<b>Proposed modifications to contractual responsibilities are not formally documented</b> [ <i>Lead Entity: State</i> ]. 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. The details of the Phase 2 Contract Amendment have been documented, vetted, and agreed to by both BHA and RSM, which will result in a formalized update to the current RSM contract. This is a good step forward regarding controlling and managing agreements and changes to the contract. However, IV&V is not aware of any steps taken to define and implement a formalized and repeatable process for controlling and managing contractual changes and agreements. IV&V continues to recommend that BHA develop and implement a process for controlling and managing project-level changes. This remains a medium risk for the February Reporting period.	
55	<b>New Preliminary Concern - New US Point Estimation Tool not yet reviewed or verified for accuracy by the State</b> [ <i>Lead Entity: Vendor</i> ]. RSM is using a new process for estimating US points for bugs/requests in W/S and M&O. Limited details on RSM's process for estimating US Points, and for evaluating estimates vs actuals, have been provided. While RSM does provide burndown metrics for Phase 2 development on a weekly basis it only compares planned US Points vs actual US Points delivered, and does not provide details on the accuracy of estimates. IV&V will work to better understand how the project estimates its resources, plans for allocation, and the processes used for equating effort, tools, and skill to US Points, as this process will impact planning for Phase 2 development efforts coupled with ongoing M&O responsibilities.	N/A

# IV&V Findings and Recommendations

## Project Management (cont'd)

Recommendations	Progress
<ul style="list-style-type: none"><li>BHA to continue to work closely with DHS to determine the appropriate path forward and continue to collaborate to satisfy any remaining and future requests from CMS.</li></ul>	In process
<ul style="list-style-type: none"><li>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.</li></ul>	In process
<ul style="list-style-type: none"><li>Finalize the comprehensive Help Desk Plan, ensure it is appropriately socialized and understood by all parties, and monitor Help Desk activities to verify that the designed processes and tools are utilized as intended.</li></ul>	In process
<ul style="list-style-type: none"><li>BHA should strongly consider acquiring an IT Service Management (ITSM) tool to support and empower current Help Desk operations, as well as support future M&amp;O efforts.</li></ul>	New
<ul style="list-style-type: none"><li>BHA should create a formal change management plan, process, and document to ensure that all changes or to contractual responsibilities are appropriately documented</li></ul>	In process
<ul style="list-style-type: none"><li>RSM's new estimation tool/process should be demonstrated for BHA for information and validation purposes. Additionally, actual duration/LoE should be tracked along with the estimated LoE to enable future process improvement efforts.</li></ul>	New

# IV&V Findings and Recommendations

## Requirements Management

#	Key Findings	Criticality Rating
39	<b>Requirements to user stories' associations are inconsistent within TFS</b> <i>[Lead Entity: Vendor]</i> : 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 submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of 2/27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&V's involvement in this effort remains on hold. This remains a low risk in the February Reporting period.	L
40	<b>A subset of contractual Requirements may not be fully included in user stories or the developed / configured BHA-ITS software</b> <i>[Lead Entity: Vendor]</i> : 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. RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of February 27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&V's involvement in this effort remains on hold. This remains a medium risk in the February Reporting period.	M
47	<b>The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met</b> <i>[Lead Entity: Vendor]</i> . In February, RSM and BHA agreed to an acceptable ADA testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.	L

# IV&V Findings and Recommendations

## Requirements Management (cont'd)

#	Key Findings	Criticality Rating
48	<b>The lack of performance testing prevents the State from validating that contractual performance requirements will be met</b> <i>[Lead Entity: Vendor]</i> . In February, RSM and BHA agreed to an acceptable performance testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.	L
49	<b>The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met</b> <i>[Lead Entity: Vendor]</i> . In February, RSM and BHA agreed to an acceptable load testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.	L

# IV&V Findings and Recommendations

## Requirements Management (cont'd)

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>DOH work with RSM to ensure all contractually required testing is adequately planned and executed as specified in the contract</li></ul>	In process
<ul style="list-style-type: none"><li>Ensure the components of ADA Section 508 requirements that the MS documentation states Dynamics “Meets with Exception” are thoroughly tested to ensure there are no gaps in compliance.</li></ul>	In process

# IV&V Findings and Recommendations

## Design and Development

#	Key Findings	Criticality Rating
54	<b>New Risk - CRM Date and Time issues related to Users Time Zone</b> [ <i>Lead Entity: Shared</i> ]. It was discovered that when a user's CRM time zone is not set to HST, it impacts the date and time stamp of recorded actions and transactions. Root cause analysis has been completed and RSM and BHA are jointly working to implement a solution to fix impacted CRM data. RSM is planning to release a fix to production on March 1 to resolve the problem with 12 billing-related entities, but further analysis is needed to determine how to implement the solution for approximately 15 additional entities that could be impacted downstream.	M
56	<b>New Preliminary Concern - BHA Report Writing Responsibilities</b> [ <i>Lead Entity: State</i> ]. A portion of the Phase 2 report writing (based on report complexity and assigned US Points) is the responsibility of BHA, with 2.25 FTE being required. BHA is currently concerned that they do not have staff with sufficient knowledge of SQL Server Reporting Services (SSRS) to fulfill this task. BHA must determine what reports are needed by when, and develop a prioritized order for report development. Then, BHA must determine if there are any knowledge gaps in developing the reports that needs to be addressed, and develop a plan to implement training before writing activities begin.	N/A

Recommendations	Progress
RSM and BHA should continue to collaborate on the root cause analysis of the problem and jointly determine a long term, permanent solution for all potentially impacted entities. Additionally, once root cause is determined, steps should be taken to identify what can be done by the project to proactively mitigate configuration risks similar to this from occurring in the future.	New
BHA should immediately identify any gaps in knowledge, skill, and experience in SQL Server Reporting Services (SSRS) and reporting writing, and seek immediate remediation, such as training staff up.	New

# IV&V Findings and Recommendations

## Test Management


#	Key Findings	Criticality Rating
52	<b>User Roles and Team Setup configuration and testing process</b> <i>[Lead Entity: Shared]</i> . DDD User Roles and Team Setup were not fully configured, tested, and finalized until the afternoon of January 31 <sup>st</sup> , two business days before go-live. BHA and RSM continue to work on establishing and finalizing the last remaining user roles for both CAMHD and DDD, and are currently weighing the option of creating a new role for Clerical Staff. BHA and RSM remain in regular contact on configuring the user roles and updates are provided during the Twice Weekly Issue Meeting. This remains a low risk in the February Reporting period.	L

Recommendations	Progress
<ul style="list-style-type: none"><li>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.</li></ul>	In process



# IV&V Findings and Recommendations

## Data Management

#	Key Findings	Criticality Rating
31	<b>Errors in the data migration files may impact the overall implementation schedule</b> <i>[Lead Entity: Shared]</i> : The final remaining Data Migration issue was resolved prior to the 2/4 go-live. Data Migration work continues on the "Optional" DDD data (Service Auths and Contact Notes), however, is not considered to be essential to the success of Phase 2. IV&V will continue to monitor the ongoing Data Migration efforts, however, is <a href="#">closing this risk</a> in the February Reporting Period.	

Recommendations	Progress
<ul style="list-style-type: none"><li>Both teams must work together to ensure that all documentation to support data migration processes is accurate, complete, and executed correctly.</li></ul>	In process

# IV&V Findings and Recommendations

## Organizational Change Management

#	Key Findings	Criticality Rating
44	<b>M&amp;O Plan not yet developed</b> <i>[Lead Entity: Vendor]</i> . RSM incorporated some of the comments and feedback provided by both BHA and IV&V prior to the final version of the “Stabilization M and O Process” document was approved by BHA. Additionally, agreement on W/S period FTE, hours, and prioritization were documented and agreed to the upcoming Contract Amendment. IV&V will continue to monitor the progress and results of the Phase 1 W/S period, which includes daily and weekly updates from RSM, and will continue to identify areas for improvement in M&O and future W/S periods. IV&V is <a href="#">closing this risk</a> as of the February Reporting Period.	M

Recommendations	Progress
<ul style="list-style-type: none"> <li>Update and refine the draft “Stabilization M and O Processes” document (M&amp;O Plan) to clearly adhere to all conditions and requirements detailed in the Warranty and Stabilization sections of the contract.</li> </ul>	Complete

# 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

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- The project is under control and the current scope can be delivered within the current schedule.
- The project's risks and issues have been identified, and mitigation activities are effective. The overall impact of risk and issues is minimal.
- The project is proceeding according to plan (< 30 days late).

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- The project is under control but also actively addressing resource, schedule or scope challenges that have arisen. There is a clear plan to get back on track.
- The project's risk and/or issues have been identified, and further mitigation is required to facilitate forward progress. The known impact of potential risks and known issues are likely to jeopardize the project.
- Schedule issues are emerging ( > 30 days but < 60 days late).
- Project Leadership attention is required to ensure the project is under control.




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- The project is not under control as there are serious problems with resources, schedule, or scope. A plan to get back on track is needed.
- The project's risks and issues pose significant challenges and require immediate mitigation and/or escalation. The project's ability to complete critical tasks and/or meet the project's objectives is compromised and is preventing the project from progressing forward.
- Significant schedule issues exist (> 60 days late). Milestone and task completion dates will need to be re-planned.
- Executive management and/or project sponsorship attention is required to bring the project under control.

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# Appendix A (cont'd.)

## Criticality Ratings

Criticality Rating	Definition
	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 February 2019 reporting period:**

1. RSM Weekly Status Meeting (selected)
2. Daily Scrum meetings (selected)
3. Twice Weekly RSM Issues Meeting
4. Weekly CCB Meeting
5. Weekly Change Planning for Dev
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. Phase 2 Deliverables Definition Meeting
10. Executive Steering Committee Meeting
11. Phase 1 Lessons Learned Session

## **Artifacts reviewed during the February 2019 reporting period:**

1. Daily Scrum Notes (selected)
2. Twice Weekly Targeted Questions (selected)
3. SI Project Schedule (ongoing)
4. RSM Weekly Status Reports (ongoing)
5. RSM Final Contract
6. 17-216 Schedule of Deliverables rev 02-13-19
7. P1 Iteration 7 DED
8. P1 Iteration 7 Defect Log Report
9. P1 Iteration 7 Train the Trainer Support
10. P1 Iteration 7 Day 5 IT Training
11. P1 Iteration 7 Transition Plan
12. P1 Iteration 7 Unit Test Results
13. Draft Help Desk Plan

## **Eclipse IV&V® Base Standards and Checklists**



**Eclipse IV&V  
Standards**

# Appendix C: Project Trends

## Trend Data

Trend: Overall Project Health																	
Process Area	2018												2019				
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
Project Management	Y	Y	G	G	Y	G	Y	Y	Y	Y	Y	R	R	R			
Requirements Management	Y	G	G	G	Y	G	G	G	G	Y	Y	R	R	Y			
Design and Development	Y	Y	G	G	Y	Y	Y	Y	G	G	G	G	G	G			
Testing					G	G	Y	Y	Y	G	Y	Y	Y	G			
Data Management					G	G	Y	Y	Y	Y	Y	Y	Y	G			
Organization Change Management	Y	Y	Y	Y	Y	Y	Y	R	Y	Y	Y	Y	Y	G			
<b>Total Open Findings</b>	<b>18</b>	<b>17</b>	<b>19</b>	<b>17</b>	<b>17</b>	<b>15</b>	<b>17</b>	<b>12</b>	<b>9</b>	<b>9</b>	<b>10</b>	<b>13</b>	<b>13</b>	<b>13</b>			
Issue - high							1			1	1	1	1	2			
Issue - medium				1	1	2	4	5	4	1	0	0	0	0			
Issue - low								1	1	3	3	1	1	1			
Risk - high								1			2	5	5	1			
Risk - medium	10	4	5	9	3	1	3	1	3	4	4	5	5	3			
Risk - low	6	10	10	3	10	11	9	4	1			1	1	4			
Observations - high													0	0			
Observations - medium	2	1	1	2	1	1							0	0			
Observations - low		2	3	2	2						1		0	0			
Preliminary Concern													0	2			



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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	<b>Federal funding risk</b> (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>2/27/2019: On 2/21 representatives from DOH and DHS met with CMS representatives to discuss the IAPD that was submitted on 12/31/18. CMS' concerns are primarily related to cost allocation, tying the functional/technical requirements to advancing the Medicaid Enterprise's MITA maturity, and obtaining approval for the MECT certification IV&amp;V activities. MQD has withdrawn the IAPD and developed a joint workplan with DOH to address all CMS concerns and requirements, with a planned resubmission date of March 15. This remains a high risk for the February Reporting period.</p> <p>1/31/2019: At this time, IV&amp;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.</p>	Project Management	Risk	High	Open		0	Laurie Thornton
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>2/27/2019: BHA continues to work with ETS to get additional information regarding the State's Enterprise Agreement with Microsoft specific to performance standards. Based on information received from Microsoft, changes to the State's EA with Microsoft may be required to ensure that the State gets the needed performance SLAs. However, the State's EA is not set to be renegotiated for approximately 16 months, which means that significant change to the EA is not likely in the near future. In response to this, BHA is regularly working with Microsoft to improve interactions and response time, and recently has implemented a new streamlined approach to contacting Microsoft to get performance issues addressed. BHA and ETS plan to continue to work with Microsoft to improve Microsoft's commitment to performance levels and response time. This remains a high risk for the February Reporting period.</p> <p>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.</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, however that risk has been closed, leaving this component of it still open.</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>2/27/2019: RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of 2/27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&amp;V's involvement in this effort remains on hold. This remains a low risk in the February Reporting period.</p> <p>1/31/2019: RSM has stated that this documentation is approximately 97% complete and is on target for delivery at the end of January.</p> <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>	Requirements Management	Issue	Low	Open			Darren MacDonald



ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
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.	2/27/2019: RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). As of February 27, BHA had not yet performed a detailed review of the documentation, and, as a result, IV&V's involvement in this effort remains on hold. This remains a medium risk in the February Reporting period.  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
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 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.	2/27/2019: The project lacks a finalized Help Desk Plan that has been fully vetted, approved, and accepted as final. Despite not having a formalized plan, the Help Desk is fully operational. As there are three different entities in charge of operating the Help Desk (DDD, CAMHD, and RSM) and the technical expertise and experience with MS Dynamics varies amongst each team, having a comprehensive Help Desk Plan that is agreed to and approved by all parties is of significant importance. Additionally, without having documented Help Desk policies and processes, there is no substantive way to govern the process of improving Help Desk performance. IV&V is escalating to a high issue until the document is completed and approved by the project.  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	Issue	High	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.	2/27/2019: In February, RSM and BHA agreed to an acceptable ADA testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.  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	Low	Open			Darren MacDonald
48	12/31/2018	<b>The lack of performance testing prevents the State from validating that contractual performance requirements will be met.</b>	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.	2/27/2019: In February, RSM and BHA agreed to an acceptable performance testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.  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.	Requirements Management	Risk	Low	Open			Darren MacDonald

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
49	12/31/2018	<b>The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met.</b>	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.	2/27/2019: In February, RSM and BHA agreed to an acceptable load testing approach to be executed in the scope of P2, which has been memorialized in the "Deliverable Definitions" document that will be an input to the upcoming Contract Amendment. IV&V will continue to monitor this risk through the completion of testing, but is downgrading the risk priority to low.  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.  New Finding as of the December 2018 Reporting Period.	Requirements Management	Risk	Low	Open			Darren MacDonald
52	1/24/2019	<b>User Roles and Team Setup configuration and testing process</b>	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.	2/27/2019: BHA and RSM continue to work on establishing and finalizing the last remaining user roles for both CAMHD and DDD, and are currently weighing the option of creating a new role for Clerical Staff. BHA and RSM remain in regular contact on configuring the user roles and updates are provided during the Twice Weekly Issue Meeting. This remains a low risk in the February Reporting period.  New Finding as of the January 2019 Reporting Period.	Test Management	Risk	Low	Open			Brian Nagy
53	1/24/2019	<b>Agreements to Change Contract Responsibilities Not Formally Documented</b>	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.	2/27/2019: The details of the Phase 2 Contract Amendment have been documented, vetted, and agreed to by both BHA and RSM, which will result in a formalized update to the current RSM contract. This is a good step forward regarding controlling and managing agreements and changes to the contract. However, IV&V is not aware of any steps taken to define and implement a formalized and repeatable process for controlling and managing contractual changes and agreements. IV&V continues to recommend that BHA develop and implement a process for controlling and managing project-level changes. This remains a medium risk for the February Reporting period.  New Finding as of the January 2019 Reporting Period.	Project Management	Risk	Medium	Open			Brian Nagy
54	2/27/2019	<b>CRM Date and Time issues related to Users Time Zone</b>	A user's CRM time zone not being set to HST is impacting the date and time of recorded actions. RSM and BHA have identified a solution to this issue, and are jointly working together to implement a resolution.	If a user does not have their time zone set to HST, when notes or other actions are logged by the system the incorrect date and/or time could be recorded (i.e., adjusting UTC to HST could change the recorded date). If a date is incorrectly adjusted, there could be impacts to both provider and targeted Medicaid billing. RSM is planning to release a fix to production on March 1 to resolve the problem with 12 billing-related entities, but further analysis is needed to determine how to implement the solution for approximately 15 additional entities that could be impacted downstream.	RSM and BHA have worked well together to identify this problem and develop a joint response to address the first 12 impacted billing related entities to be resolved by the 3/1 release. Moving forward, RSM and BHA should continue to collaborate on implementing a long term, permanent solution for all potentially impacted entities, ensuring that the released solution does not impact current functionality.	New finding as of the February 2019 reporting period.	Design & Development	Risk	Medium	New		W/S	Darren MacDonald
55	2/27/2019	<b>New US Point Estimation Tool not yet reviewed or verified for accuracy by the State</b>	RSM is using a new process for estimating US points for bugs/requests in W/S and M&O. Limited details on RSM's process for estimating US Points, and for evaluating estimates vs actuals, have been provided.	While RSM does provide burndown metrics for Phase 2 development on a weekly basis it only compares planned US Points vs actual US Points delivered, and does not provide details on the accuracy of estimates. Additionally, their process for improving the estimation process is not known.	IV&V will work to better understand how the project estimates its resources, plans for allocation, and the processes used for equating effort, tools, and skill to US Points, as this process will impact planning for Phase 2 development efforts coupled with ongoing M&O responsibilities.	New finding as of the February 2019 reporting period.	Project Management	Preliminary Concern	N/A	New		W/S	Brian Nagy

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56	2/28/2019	BHA Report Writing Responsibilities	A portion of the Phase 2 report writing (based on report complexity and assigned US Points) is the responsibility of BHA, with 2.25 FTE being required. BHA is currently concerned that they do not have staff with sufficient knowledge of SQL Server Reporting Services (SSRS) to fulfill this task.	If BHA staff does not have the knowledge and/or experience with SSRS to write the needed reports and complete them when needed, there could be impacts to both DDD and CAMHD business operations, which could lead to impacts on both project and program staff.	BHA must determine what reports are needed by when, and develop a prioritized order for report development. Then, BHA must determine if there are any knowledge gaps in developing the reports that needs to be addressed, and develop a plan to a implement training before writing activities begin.	New preliminary concern as of the February 2019 reporting period.	Design & Development	Preliminary Concern	N/A	New		P2 IT1	Brian Nagy