OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

April 15, 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 Hawai'i

Attachment (2)

Hawaii BHA Integrated Case Management System Project

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

:

Overview

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

Executive Summary

IV&V observed continued progress in the March reporting period as the state and vendor worked together to maintain, operate, and support the INSPIRE/MAX solution, and the vendor continued to develop and test P2.1 User Stories. A number of risks to the overall scope of the project remain open, most notably the status of project funding for P2.1 and beyond. IV&V opened three new risks in the March reporting period, specific to Provider Portal functionality, the project transitioning from WaterScrumFall to an agile development approach, and the need for LifeCourse methodology and P2.1 system training for DDD end users. IV&V closed one issue, two risks, and one preliminary concern in the March reporting period.

Jan 18	Feb 19	Mar 19	Process Areas	IV&V Observations	Overall Health
H	H	H	Project Management	The March 2019 reporting period risk rating and the Overall Health rating for the Project Management process area both remain at a high (red) rating. Although the project submitted the IAPD at the end of March, the possibility of receiving funding by May 17th (P2.1 and P2.2 go-live) is unlikely, based on CMS' 60-day review cycle. BHA continues to actively work to improve network and system performance in response to the shortcomings of the performance SLAs in the contract. Finally, a new risk has been opened regarding the project's transition from WaterScrumFall to a full agile approach for P2.2 – P2.4, and the impact this transition could have on project resources, specifically in the areas of testing and training. IV&V closed one issue, one risk, and one preliminary concern in the March reporting period.	R
H	M	M	Requirements Management	The March 2019 reporting period risk rating and the Overall Health rating for the Requirements Management process area remains a medium (yellow) rating. IV&V did not observe any significant updates to the existing risks in the March reporting period, but acknowledges that BHA continues to work "behind the scenes" to fortify solution and network performance as much as possible, given the limitations of the State's Enterprise Agreement with Microsoft.	Y

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Executive Summary

Jan 18	Feb 19	Mar 19	Process Areas	IV&V Observations	Overall Health
L	M	M	Design and Development	The March 2019 reporting period risk rating for the Design and Development process and the overall health of the Design and Development process area remains a medium (yellow) rating. The vendor released a fix for the CRM Date/Time problem in March that resolved approximately 15 entities, however, more research is needed to determine if there are additional entities that may be impacted. Additionally, IV&V opened a new medium risk regarding the vendor encountering design and development challenges related to Provider Portal Reporting Capabilities, which is being actively worked by both state and vendor.	Y
M	L	L	Test Management	The March 2019 reporting period risk rating and the Overall Health rating for the Test Management process area both remain a low (green) rating. IV&V closed the only remaining finding in this category as the vendor successfully released a new Clerical Security role to production on March 29th, resolving the last outstanding P1 User Role problem.	G
M	L	L	Data Management	The March 2019 reporting period risk rating and the Overall Health rating for the Data Management process area both remain a low (green) rating, as IV&V has no active findings in this process area.	G
M	L	M	Organizational Change Management	The March 2019 reporting period risk rating and the Overall Health rating for the Organizational Change Management process area have been escalated to a medium (yellow) rating, as IV&V opened a new risk specific to DDD's need for business and solution training prior to the P2.1 go-live in order to support the appropriate level of user adoption.	Y

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Executive Summary

As of the March 2019 reporting period, IV&V has 12 open findings: 9 risks (1 high, 5 medium, 3 low), 2 issues (1 medium, 1 low), and 1 preliminary concern.

IV&V closed 4 findings (1 high issue, 1 medium risk, 1 low risk, and 1 preliminary concern) during the March reporting period.

To date, IV&V has identified a total of 59 findings (10 issues, 40 risks, 7 observations, and 2 preliminary concerns) on the project; 47 of which have been closed.

IV&V Findings by Status

Category	New	Open	Closed
Test Management			6
Project Management	1	2	26
Data Management			3
Requirements Management		5	4
Organizational Change Management	1		4
Design & Development	1	2	4
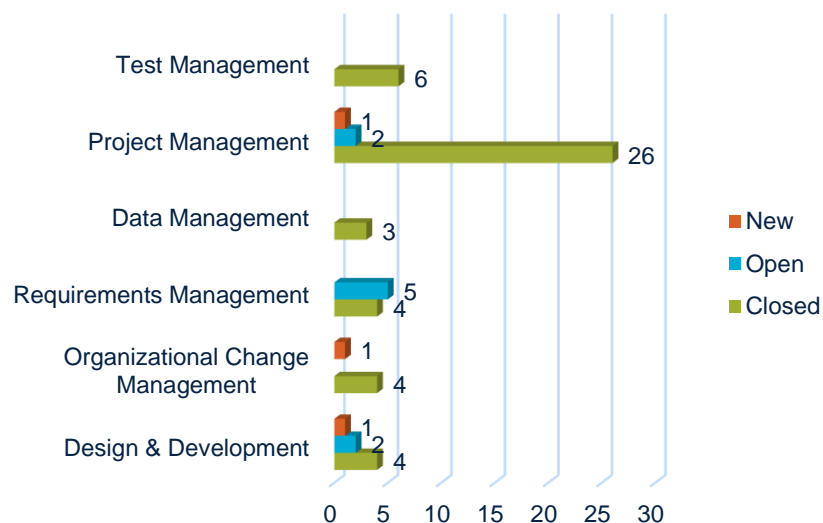
Open IV&V Findings by Criticality

Category	N/A	High	Medium	Low
Project Management		1	2	
Requirements Management			1	4
Organizational Change Management			1	
Design & Development	1		2	
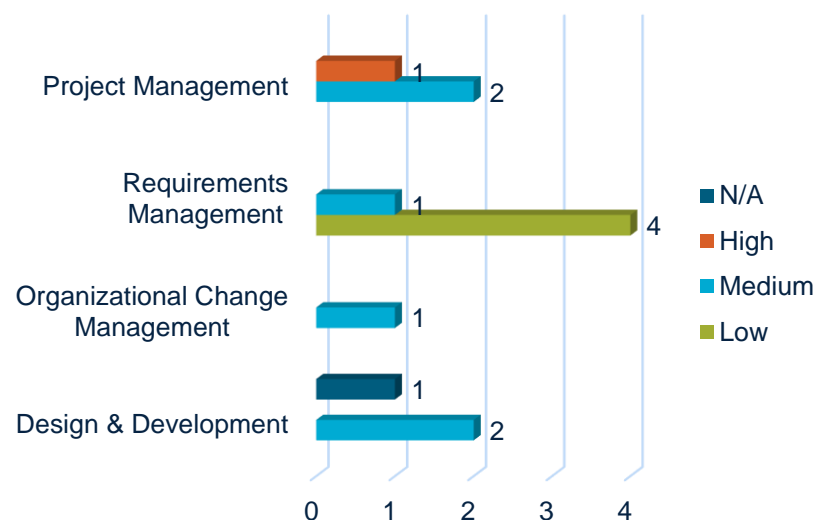
See Appendix C for trend data related to IV&V's monthly ratings for findings and overall project health.

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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*] The BHA team met with the State's new CMS state officer at the Health IT Connect conference on March 19 for introductory purposes and to inform CMS that the updated IAPD will be sent to them the following week for review. Per MQD, the final draft of the IAPD was sent to CMS (Stephen Chang, the State's new CMS Rep) the week of March 25, with the hope of an expedited review. This risk remains high for the March reporting period as the window for receiving CMS funding in time for the P2.1 and P2.2 go-live date of May 17th is in jeopardy due to the CMS review period of 60 days.	H
38	**Service Level Agreements (SLAs) are insufficiently documented:** [*Lead Entity: State*] Progress continues to be made working this risk. In the March reporting period, BHA continued to work with ETS and now is working on a plan to conduct network testing to identify issues that could impact network performance. On the Microsoft side, progress is a bit slower, but BHA and ETS continue to work with MS to gain access to the information and available tools needed to improve solution performance as much as possible without making changes to the state's Enterprise Agreement. Two rounds of testing focusing on network and system level performance are scheduled to occur in May. As RSM will soon be conducting application performance testing, and BHA and ETS are engaged in working this risk with MS as much as possible given the current EA, IV&V is lowering this risk to a medium in the March reporting period.	M
45	**Closed - Help Desk Plan not yet developed** [*Lead Entity: State*]. The Help Desk Plan was significantly updated and improved in the March reporting period. CAMHD was in process of making final updates received from DDD and is to send out a final version of the plan the first week of April. As a result, IV&V is **closing this issue**.	Closed

IV&V Findings and Recommendations

Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
53	**Closed - Proposed modifications to contractual responsibilities are not formally documented** *[Lead Entity: State].* The project is utilizing RSM's change process to ensure that all changes to scope, agreements, and responsibilities are captured, evaluated, and approved. Defects and requests are discussed at the weekly CCB meeting, and are prioritized for release from there. The process for controlling product level changes continues to meet program and project needs. RSM and BHA have agreed to an approach in which emails containing language that acknowledges and/or agrees to a CR are submitted with a CR in lieu of a signature. Due to witnessed consistency in how the project is controlling change, IV&V is **closing this risk** in the March reporting period.	Closed
55	**Closed - New US Point Estimation Tool not yet reviewed or verified for accuracy by the State** [*Lead Entity: Vendor*]. As the vendor is providing detailed burndown rates along with daily and weekly progress on delivering User Stories (both in scope of M&O and P2.1 development), IV&V is **closing this concern** as there does not appear to be any immediate risk to the project resulting from the vendor's USP estimation process. IV&V will, however, continue to monitor the vendor's User Story Point estimate and delivery process throughout the project.	N/A

IV&V Findings and Recommendations

Project Management (cont'd)

#	Key Findings (cont'd)	Criticality Rating
59	**New Risk - Project transition from WaterScrumFall to full Agile approach** [*Lead Entity: Shared*]. The project will adopt a full agile approach to development, testing, and training for P2.2, representing a significant shift in the level of state involvement in testing and training. At that time, three concurrent workstreams (M&O, P2.1 testing, and P2.2 development and testing) will also demand a significant increase in weekly testing throughput of (currently) 14 USP to (projected) 79 USP. Recognizing this, planning and strategy documentation has been developed, and resource planning and estimation is under way. However, the revised approach introduces new challenges to the project such as the State's capacity to adopt agile processes, own all aspects of training, and implement an integrated QA testing approach. IV&V is opening this as a medium risk in the March reporting period, and will monitor the effects of this transition in the April reporting period.	Ⓜ

IV&V Findings and Recommendations

Project Management (cont'd)

Recommendations	Progress
• BHA to continue to work to submit the updated IAPD as soon as possible, ensuring that all CMS requirements are satisfied.	In process
• As the window for receiving enhanced federal funding by the planned P2.1 and P2.2 go-live on May 17th may have closed, the project should consider delaying go-live activities until June to increase the opportunity to receive IAPD approval and federal CMS funding.	New
• Continue to work with 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
• 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.	Completed
• 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&O efforts.	In process
• BHA should create a formal change management plan, process, and document to ensure that all changes or to contractual responsibilities are appropriately documented	Completed
• The vendor and BHA must ensure that all project documentation related to new agile processes, and the related roles and responsibilities, are thoroughly documented, communicated, and understood by project team members. For those project resources who may be inexperienced in agile, the project should consider offering coaching or training to ensure velocity does not suffer.	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 submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). IV&V has no update on this risk for the March reporting period, and maintains this is a low risk to the project.	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. RSM submitted the requirements documentation to the State on February 8th (an adjusted date agreed to by both RSM and BHA). IV&V has no update on this risk for the March reporting period, and maintains this is a medium risk to the project.	M
47	**The lack of ADA testing prevents the State from validating that contractual ADA requirements will be met** *[Lead Entity: Vendor]***.** RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what ADA Testing will focus on. Additionally, the vendor will incorporate ADA testing activities into each remaining project phase, beginning with P2.1 in April. IV&V will continue to monitor this low risk until ADA Testing has been completed, and maintains this is a low risk to the project.	L

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]*. RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what Performance Testing will focus on. The project is planning to conduct performance and tuning activities in the May timeframe to get a better understanding of network and system-level performance. Additionally, the vendor will incorporate performance testing activities into each remaining project phase, beginning with P2.1 in April. IV&V will continue to monitor this low risk until performance testing has been completed, and maintains this is a low risk to the project.	L
49	**The lack of load and capacity testing prevents the State from validating that contractual load requirements will be met** *[Lead Entity: Vendor]*. RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what Load Testing will focus on. BHA has been informed of restrictions that Microsoft places on some of its products that limits the scope of load testing that customers can perform. These limitations will need to be understood, documented, and planned for prior to execution of load testing. IV&V will continue to monitor this low risk until load testing has been completed, and maintains this is a low risk to the project.	L

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
• DOH work with RSM to ensure all contractually required testing is adequately planned and executed as specified in the contract	In process
• 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.	In process

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IV&V Findings and Recommendations

Design and Development

#	Key Findings	Criticality Rating
54	**CRM Date and Time issues related to Users Time Zone** [*Lead Entity: Vendor*]. IV&V is aware that a solution was released in March that resolved the known entities impacted by the Date/Time issue (primarily billing and progress notes related). However, there are believed to be additional impacted entities (e.g., Adverse Event Reporting [AER]) that need to be researched by the vendor to prevent future issues. IV&V has requested an updated list of these items from BHA in order to track progress in future reporting periods. As work is still needed to determine if there are more potentially impacted entities, IV&V is maintaining that this is a medium risk for the March reporting period.	(M)
56	**BHA Report Writing Responsibilities** [*Lead Entity: State*]. BHA has identified the resources that will be responsible for report writing, and training sessions have been scheduled. IV&V will continue to evaluate this concern in the April reporting period, but is not escalating to a risk as more time is needed to determine the availability of resources and their ability to fulfill report writing responsibilities.	N/A
58	**New Risk** - **Lack of Provider Portal reporting capabilities** [*Lead Entity: Vendor*]. The Microsoft Portal does not offer the needed functionality for Provider Portal Users to generate the necessary reports in real-time, which is currently preventing US #7229 from being fulfilled. RSM is currently working on a solution and discussions with Microsoft are ongoing, but the most probable resolution will likely require custom coding and buying additional licenses to use the Microsoft Flow tool. Should the Flow tool not be a viable solution, contingency planning has begun with the discussion of moving 2.1 and 2.2 User Stories into phase 2.3 and 2.4 to allow RSM to focus on custom development that would be needed to devise a solution. IV&V is opening this as a medium risk for the March reporting period, and will monitor the project's progress in determining and implementing a solution, as well as any impacts to resources or schedule the solution may have.	(M)

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IV&V Findings and Recommendations

Design and Development (cont'd.)

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.	In process
• BHA should immediately identify any gaps in knowledge, skill, and experience in SQL Server Reporting Services (SSRS) and Power BI and seek immediate remediation, such as staff training.	In process
• RSM should continue efforts to pursue options and for fully delivering the Provider Portal reporting requirements – whether that be custom development or using the MS Flow tool – and stay in regular communication with BHA regarding both progress. Until a solution is solidified, contingency planning should continue to plan for the worst case scenario.	New

IV&V Findings and Recommendations

Test Management

#	Key Findings	Criticality Rating
52	**Closed -** **User Roles and Team Setup configuration and testing process** *[Lead Entity: Shared].* A new security role for Office Assistants (CMB Clerical Staff) was successfully deployed to production as part of the March 29th release. As a result, IV&V is **closing this risk,** but will continue to monitor security roles and user access throughout the life of the project.	Closed

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.	Complete

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IV&V Findings and Recommendations

Data Management

#	Key Findings	Criticality Rating
	No Data Management Process Area findings in the March 2019 reporting period	

IV&V Findings and Recommendations

Organizational Change Management

#	Key Findings	Criticality Rating
57	**New Risk** - **DDD End User Training for LifeCourse methodology** *[Lead Entity: State].* The core functionality of the Phase 2.1 release is specific to the LifeCourse methodology, which is a new way of doing business to be adopted by DDD case managers. As of March 29, training plans and details are in process of being developed, with a round of LifeCourse training scheduled to start the week of April 8. Additional training details are being developed and a DDD INSPIRE Training Calendar has been developed. As much of the success of the P2.1 go-live depends on sufficient LifeCourse training, IV&V is opening this as a Medium risk to be tracked in April as planning continues and training begins.	Ⓜ

Recommendations	Progress
• Finalize and publicize the dates and details of the LifeCourse training for case managers, to be completed prior to the beginning of DDD end user training	New

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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.

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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 March 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. Standing IV&V Report Review meeting
8. Monthly BHA IV&V PCG-RSM Report Review meeting
9. Executive Steering Committee Meeting
10. Phase 2 Deployment Planning Meeting
11. Bi-Weekly Check-in: CAMHD
12. Bi-Weekly Check-in: DDD
13. Monthly Check-in: RSM

Eclipse IV&V® Base Standards and Checklists

Eclipse IV&V
Standards

Artifacts reviewed during the March 2019 reporting period:
1. Daily Scrum Notes (selected)
2. Twice Weekly Issues Meeting Notes(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. Draft Help Desk Plan
8. Phase 2 Agile Schedule
9. DDD INSPIRE Training Strategy
10. Iteration Plan Phase 2.1
11. P2.1 Iteration 0 DED
12. P2.1 Iteration 1 DED
13. Iteration Test Plan P2.1
14. Phase 2 Testing Strategy
15. Phase 2.2+ Iteration 0 DED

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

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.	3/29/2019: The BHA team met with the State's new CMS state officer at the Health IT Connect conference on March 19 for introductory purposes and to inform CMS that the updated IAPD will be sent to them the following week for review. Per MQD, a "final draft" version of the IAPD was sent to CMS (Stephen Chang, the State's new CMS Rep) the week of March 25, with the hope of an expedited review. This risk remains high for the March reporting period as the window for receiving CMS funding in time for the P2.1 and P2.2 go-live date of May 17th is no longer possible, due to the standard CMS review period of 60 days. 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	Project Management	Risk	High	Open		0	Laurie Thornton
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 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.	3/29/2019: Progress continues to be made working this risk. In the March reporting period, BHA continued to work with ETS and now is working on a plan to conduct network testing to identify issues that could impact network performance. On the Microsoft side, progress is a bit slower, but BHA and ETS continue to work with MS to gain access to the information and available tools needed to improve solution performance as much as possible without making changes to the state's Enterprise Agreement. BHA and HISO will conduct two rounds of testing May, focusing on both network and system level performance. As RSM will soon be conducting application performance testing, and BHA and ETS are engaged in working this risk with MS as much as possible given the current EA, IV&V is lowering this risk to a medium in the March reporting period. 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. 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	Project Management	Issue	Medium	Open			Darren MacDonald
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.	3/29/2019: IV&V has no update on this risk for the March reporting period, and maintains this is a low risk to the project. 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&V's involvement in this effort remains on hold. This remains a low 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: 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

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
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.	3/29/2019: IV&V has no update on this risk for the March reporting period, and maintains this is a medium risk to the project. 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
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.	3/29/2019: RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what ADA Testing will focus on. IV&V will continue to monitor this low risk until ADA Testing has been completed, and maintains this is a low risk to the project. 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	**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.	3/29/2019: RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what Performance Testing will focus on. BHA, ETS, and HISO are planning to conduct performance and tuning activities in the May timeframe to get a better understanding of network and system-level performance. IV&V will continue to monitor this low risk until performance testing has been completed, and maintains this is a low risk to the project. 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	**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.	3/29/2019: RSM has submitted the updated P2.1 Testing Strategy document in the March reporting period, which includes some details on what Load Testing will focus on. BHA has been made aware of restrictions that Microsoft places on some of its products that limits the scope of load testing that customers can perform. These limitations will need to be understood, documented, and planned for prior to execution of load testing. IV&V will continue to monitor this low risk until load testing has been completed, and maintains this is a low risk to the project. 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.	Requirements Management	Risk	Low	Open			Darren MacDonald
54	2/27/2019	**CRM Date and Time issues related to Users Time Zone**	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 with12 billing-related entities, but further analysis is needed to determine how to implement the solution for approximately 15 additional entities that could be	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.	3/29/2019: IV&V is aware that a solution was pushed in March that resolved the remaining known entities impacted by the Date/Time issue (primarily billing and progress notes related). However, there are believed to be additional impacted entities (e.g., Adverse Event Reporting [AER]) that need to be researched by the vendor in order to prevent future issues. IV&V has requested an updated list of these items from BHA in order to track progress in future reporting periods. As work is still needed to determine if there are more potentially impacted entities, IV&V is maintaining that this is a medium risk for the March reporting period. New finding as of the February 2019 reporting period.	Design & Development	Risk	Medium	Open		W/S	Darren MacDonald
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.	3/29/2019: BHA has identified the resources that will be responsible for report writing, and training sessions have been scheduled. IV&V will continue to evaluate this concern in the April reporting period, but is not escalating to a risk as more time is needed to determine the availability of resources and their ability to fulfill report writing responsibilities. New preliminary concern as of the February 2019 reporting period.	Design & Development	Preliminary Concern	N/A	Open		P2 IT1	Brian Nagy
57	3/29/2019	**DDD End User Training for LifeCourse methodology**	The core functionality of the Phase 2.1 release is specific to the LifeCourse methodology, which is a new way of doing business to be adopted by DDD case managers.	If DDD case managers are not sufficiently trained on the LifeCourse methodology prior to the release of the 2.1 functionality, there is risk that the case managers will not be able to perform their expected job duties, which could have a profoundly negative impact on user adoption of the INSPIRE system. As of March 29, training plans and details are in process of being developed, with a round of LifeCourse training scheduled to start the week of April 8. Additional training details are being worked out and a DDD INSPIRE Training Calendar has been developed.	Finalize and publicize the dates and details of the LifeCourse training for case managers, to be completed prior to the beginning of DDD end user training.	New risk as of the March 2019 reporting period	Organizational Change Management	Risk	Medium	New		P2.1	Brian Nagy
58	3/29/2019	**Lack of Provider Portal reporting capabilities**	The Microsoft Portal does not offer the needed functionality for Provider Portal Users to generate the necessary reports, which is currently preventing US #7229 from being fulfilled. RSM is currently working on a solution and discussions with Microsoft of options are ongoing, but the most probable resolution will likely require custom coding and buying additional licenses to use the Microsoft Flow tool.	This functionality gap will prevent Providers from generating needed reports specific to their customers in real-time. There are a limited number of available workarounds to address this solution, all of which will require significant manual work (i.e., custom code, integration of ancillary applications and/or api, etc.) on the part of RSM, and potentially CRM users. Currently, it looks like purchasing Microsoft Flow licenses in order to bridge the gap between CRM, SharePoint, and the Provider Portal will be necessary, which could have cost and resource impacts. Should the Flow tool not be a viable solution, contingency planning has begun with the discussion of moving 2.1 and 2.2 User Stories into phase 2.3 and 2.4 to allow for RSM to focus on any custom development that would be needed to devise a solution.	RSM should continue to actively work on the resolution for the delivering Provider Portal reporting requirements – whether that be custom development or using the MS Flow tool - and stay in regular communication with BHA regarding both progress. Until a solution is solidified, contingency planning should continue to plan for the worst case scenario.	New risk as of the March 2019 reporting period	Design & Development	Risk	Medium	New		P2.1 and P2.2	Brian Nagy

ID	Identified Date	Summary	Observation	Significance	Recommendation	Updates	Process Area	Type	Priority	Status	Closure Reason	Iteration	Risk Owner
59	3/29/2019	**Project transition from WaterScrumFall to full agile approach**	Starting with P2.2, the project will adopt a full agile approach to development, testing, and training. This represents a significant shift in how state resources will be involved with and responsible for aspects of testing and training.	In addition to the shift in project approach, there will be three concurrent workstreams being worked in unison by RSM and the State: M&O, P2.1 testing, and P2.2 development and testing. This will require a significant increase in weekly testing throughput of (currently) 14 USP to (projected) 79 USP. Planning and strategy documentation has been developed and is being shared, and resource planning and estimation is under way. However, the change in approach introduces new challenges to the project team such as adopting agile processes, the State owning all aspects of training, and the elimination of UAT in favor of integrated QA testing.	The vendor and BHA must ensure that all project documentation related to new agile processes, and the related roles and responsibilities, are thoroughly documented, communicated, and understood by project team members. For those project resources who may be inexperienced in agile, the project should consider offering coaching or training to ensure velocity does not suffer.	New risk as of the March 2019 reporting period	Project Management	Risk	Medium	New		P2	Brian Nagy