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August 28, 2024

The Honorable Ronald D. Kouchi
President of the Senate
and Members of the Senate
Thirty-Second State Legislature
State Capitol, Room 409
Honolulu, Hawai'i 96813

The Honorable Scott K. Saiki
Speaker and Members of the
House of Representatives
Thirty-Second State Legislature
State Capitol, Room 431
Honolulu, Hawai'i 96813

Aloha Senate 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 Hawai'i, Department of Health, 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,

Christine M. Sakuda
Chief Information Officer
State of Hawai'i

Attachments (2)

Hawaii BHA Integrated Case Management System Project – *Phase 4*

IV&V Report for the period of

July 1 – July 31, 2024

Final Submitted: August 14, 2024

PUBLIC CONSULTING GROUP

Solutions that Matter

Agenda

Executive Summary

IV&V Findings & Recommendations

Appendices

- A – Rating Scales
- B – Inputs
- C – Project Trends

Executive Summary

R4.7 go-live is on track to be deployed on 8/1/24 and smoke tested on 8/2/24. Fixes for three (3) (1 medium, 2 high priority) post-production bugs were deployed with R4.6. The fix for one (1) R4.6 post-production bug (high priority) has been deployed with R4.7. The vendor is working on fixing other high and medium-priority post-production bugs. SMS-related functionality has been deployed and the project anticipates that Fast Health Interoperability Resources (FHIR) will be deployed in a release after R4.7. IV&V will monitor the progress and quality of R4.7 and the Mid-Sprint Deployment (MSD).

Microsoft executed the performance test Tuesday, 6/4/24, through Wednesday, 6/12/24; stakeholders expect Microsoft's performance test report in August 2024. Behavioral Health Administration (BHA) personnel reported no recent performance issues.

The SI vendor demonstrated the Maui Wildfire communication functionality to stakeholders on 7/9/24, and it seemed to be productive. The date for the FHIR demo is yet to be finalized. Although this is progress, the project is yet to demonstrate regular demos as part of the Sprint Review.

A preliminary concern was opened in May regarding the current process, which does not allow BHA to track actual costs versus budgeted costs of large functionalities such as Provider Portal and Maui Wildfire Communication. As of the July reporting period, it is agreed that the project will report cases where the number of User Story Points (USPs) is going to exceed the budgeted number of USPs for Big Rock items such as Provider Portal and Maui Wildfire Communication. The process for reporting cases is being discussed and analyzed.

The SI Vendor submitted a draft Adverse Events Report (AER) Analytics project schedule on 7/3/24, which BHA and IV&V personnel are reviewing. The draft project schedule appears to be incomplete, e.g., has a "TBD" for one of the testing tasks, and some resource/owner information is missing. The project has completed the discovery phase of the AER Analytics project, and the design phase is ongoing.

May	June	Jul	Category	IV&V Observations
Y	Y	Y	**Sprint Planning**	IV&V shared the Stakeholder Register and RACI templates (based on best practices) with BHA in May 2024. BHA is working on populating the Stakeholder Register and RACI matrix. The SI vendor demonstrated the Maui Wildfire communication functionality to stakeholders on 7/9/24, and it seemed productive. The date for the FHIR demo is yet to be finalized. Although this is progress, the project is yet to demonstrate regular demos as part of the Sprint Review.

Executive Summary

May	June	Jul	Category	IV&V Observations
G	G	G	**User Story (US) Validation**	There are no active findings in the User Story (US) Validation category, which remains Green (low criticality) for the July reporting period. IV&V will continue to monitor the US development and validation process in upcoming reporting periods.
Y	Y	Y	**Test Practice Validation**	R4.7 regression testing was done manually because Microsoft updated properties resulting in Tosca scripts being unable to execute - an issue is logged in Azure DevOps. The testing was completed and passed successfully. The fixes for bugs (two from R4.7, 3 from R4.6) that resulted from the R4.7 and R4.6 regression testing will be deployed in future releases. R4.7 go-live is on track to be deployed on 8/1/24 and smoke tested on 8/2/24.
Y	Y	Y	**Release / Deployment Planning**	One of the high-priority R4.6 post-production defects was deployment-related, the fix has been deployed with R4.7. IV&V will monitor the progress and quality of R4.7 and the MSD deployments. A finding was opened in April regarding the process of updating existing documents and folders on DDD's SharePoint site. The execution time for an earlier, intensive process was unacceptable, and the new functionality is based on the same design and process. As of the July reporting period, the SI vendor and BHA finalized the Business Requirements Document (BRD). A new User Story has been created in Azure DevOps to commence design and development.

Executive Summary

May	June	Jul	Category	IV&V Observations
G	G	G	**OJT and KT Sessions**	This category remains Green (low criticality) for the July reporting period with no active findings.
G	G	G	**Targeted KT**	This category remains Green (low criticality) for the July reporting period. IV&V will continue to monitor.
G	G	G	**Project Performance Metrics**	There are no project performance metrics to report for this reporting period. IV&V will keep this category's criticality rating Green (low criticality) and continue monitoring it.
G	G	G	**Organizational Maturity Assessment (OMA)**	This category remains Green for the July reporting period. There are no outstanding findings in this category, and IV&V will continue to monitor.

Executive Summary

May	June	Jul	Category	IV&V Observations
Y	Y	Y	**Project Management**	R4.7 go-live is on track to be deployed on 8/1/24 and smoke tested on 8/2/24. Fixes for three (3) (1 medium, 2 high priority) were deployed with R4.6. The fix for one (1) R4.6 post-production bug (high priority) has been deployed with R4.7. The vendor is working on fixing other high and medium-priority post-production bugs. SMS-related functionality has been deployed and the project anticipates that Fast Health Interoperability Resources (FHIR) will be deployed in a release after R4.7. IV&V will monitor the progress and quality of R4.7 and the Mid-Sprint Deployments (MSD). Microsoft executed the performance test from Tuesday, 6/4/24, to Wednesday, 6/12/24. Stakeholders are expecting Microsoft's performance test report in August 2024. BHA personnel have not reported any performance issues recently. The SI Vendor submitted a draft AER Analytics project schedule on 7/3/24, which BHA and IV&V personnel are reviewing. The draft project schedule appears incomplete, e.g., it has a "TBD" for one of the testing tasks, and some resource/owner information is missing. The project has completed the discovery phase, and the development phase is ongoing. The divisions continue to collaborate on the security assessment exercise. The draft security assessment report is due in October 2024. To address the delayed claims postings, there has been improved coordination and communication with all involved parties. Based on the improved process, this Preliminary Concern will be closed. The current process does not allow BHA to track actual costs versus budgeted costs by feature/functionality. As of the July reporting period, it is agreed that the project will report cases where the number of User Story Points (USPs) exceeds the budgeted number of USPs for Big Rock items such as FHIR.

Executive Summary

May	June	Jul	Category	IV&V Observations
Y	Y	Y	**Resource Management**	DDD is finalizing the position description (PD) for the Business Analyst. BHA is finalizing contractual options to add an automated testing resource.

Executive Summary

As of the July 2024 reporting period twelve (12) open findings were updated – eight (8) Medium Issues, two (2) Medium Risks, one (1) Low Issue, and one (1) Preliminary Concern spread across the Release/Deployment Planning, Test Practice Validation, Sprint Planning, Project Management, and Resource Management assessment areas are currently open. One (1) preliminary concern was also closed in the July reporting period.

IV&V Findings & Recommendations

IV&V Findings & Recommendations

Assessment Categories

Throughout this project, IV&V verifies and validates activities performed in the following process areas:

- Sprint Planning
- User Story Validation
- Test Practice Validation
- Release / Deployment Planning
- On-the-Job Training (OJT) and Knowledge Transition (KT) Sessions
- Targeted Knowledge Transition (KT)
- Project Performance Metrics
- Organizational Maturity Assessment
- Project Management
- Resource Management

IV&V Findings & Recommendations

Sprint Planning

#	Key Findings	Criticality Rating
31	**Medium Risk:** Lack of regular Sprint Reviews and Sprint Demos will likely lead to misalignments between delivered work and stakeholder needs. **Finding Update:** The SI vendor demonstrated the Maui Wildfire communication functionality to stakeholders on 7/9/24 and it seemed to be productive. The date for the FHIR demo is yet to be finalized. Although this is progress, the project is yet to demonstrate regular demos as part of the Sprint Review.	M

Recommendations	Status
According to Agile Best Practices, IV&V recommends including Sprint Reviews and Demos in future releases (R4.2 and onwards) with all relevant stakeholders to assess the completion of User Stories, review important metrics and outcomes, and confirm if the Sprint goal has been achieved. This approach would also help ensure the backlog is prioritized and well-prepared for the next Sprint. These are some recommendations for project alignment, stakeholder engagement, quality assurance, transparency, and the incorporation of user feedback.	In Progress
Strengthen the collaboration between development teams and stakeholders by enhancing communication channels. Regularly validate project objectives and ensure that Sprint deliverables remain consistent with stakeholder requirements	In Progress
Foster active participation from users and stakeholders during both Sprint Reviews and Sprint Demos. Emphasize the value of iterative feedback to guide development and ensure that user needs are consistently met.	In Progress

IV&V Findings & Recommendations

Sprint Planning (cont'd)

Recommendations	Status
Establish standardized communication protocols for both Sprint Reviews and Sprint Demos. Encourage teams to deliver concise and informative progress reports, including achievements, challenges, and future plans. This will enhance stakeholder engagement and project transparency.	In Progress
Create a stakeholder register to identify all stakeholders. List their identification, assessment, and classification. Review the register regularly to plan appropriate stakeholder engagement.	In Progress
Institute a structured documentation process for both activities. Document key decisions, action items, and insights from each session to ensure accountability and to support ongoing process improvement.	In Progress

IV&V Findings & Recommendations

Sprint Planning (cont'd)

#	Key Findings	Criticality Rating
41	**Medium Risk:** Absence of separate dedicated product backlog review meetings can pose several challenges for a project team. **Finding Update:** IV&V has shared Stakeholder Register and RACI templates (based on best practices) for BHA to populate. Once the stakeholder registry and the RACI matrix are finalized, BHA plans to schedule product backlog review meetings. There are no new updates for the July reporting period.	M

Recommendations	Status
Separate dedicated product backlog review meetings (during Sprints) would allow clarifying any ambiguities or uncertainties, re-prioritization, estimation and refinement of backlog items. This would allow the project team to avoid situations where decisions about including items mid-Sprint would have to be taken.	Open
IV&V recommends scheduling separate dedicated product backlog review meetings (during Sprints) where all relevant stakeholders are invited to review the product backlog and scheduled at the appropriate time(s) such that there is sufficient time to plan the design, development, and implementation (DDI) of the next release(s).	Open

IV&V Findings & Recommendations

Test Practice Validation

#	Key Findings	Criticality Rating
2	**Medium Issue:** As a result of automated regression testing not being comprehensively performed, production releases are breaking and/or deprecating existing functionality in the production environment. **Finding Update:** R4.7 regression testing was done manually because Microsoft updated properties resulting in Tosca scripts being unable to execute - an issue is logged in Azure DevOps. The testing was completed and passed successfully. The fixes for bugs (two from R4.7, 3 from R4.6) that resulted from the R4.7 and R4.6 regression testing will be deployed in future releases. R4.7 go-live is on track to be deployed on 8/1/24 and smoke tested on 8/2/24.	M

Recommendations	Status
Having board(s) in Azure DevOps or a document on SharePoint that provides information about the status of regression testing automation, to facilitate visibility and transparency to BHA project personnel and stakeholders.	In Progress
Schedule priorities should be reevaluated by distributing the work according to the resource bandwidth. This will ensure that the schedule is not impacted and that the work is done efficiently between regression testing and GR.	In Progress
Pursue and complete additional formal training in Azure DevOps and Tricentis for test automation at the earliest possible juncture and complete efforts to automate the two primary regression test scripts.	In Progress
Determine if current regression testing timeframes are adequate, and if not, add more time to the pre-production regression test efforts for all release deployments.	In Progress

IV&V Findings & Recommendations

Test Practice Validation (cont'd)

#	Key Findings	Criticality Rating
40	**Medium Issue:** Improvements to the testing process are needed to ensure adequate CAMHD participation and comprehensive testing of functionality prior to production deployment. **Finding Update**: IV&V shared Stakeholder Register and RACI templates (based on best practices) with BHA in May 2024. BHA is working to populate information in the Stakeholder Register and RACI matrix. No new updates for the July reporting period.	M

Recommendations	Status
Identify stakeholders (output is stakeholder register) and develop a RACI matrix for testing.	In Progress
Review the overall testing process and implement any needed improvements identified.	Open

IV&V Findings & Recommendations

Release / Deployment Planning

#	Key Findings	Criticality Rating
43	**Medium Issue:** The execution time for the process for updating DDD SharePoint folders is unacceptable. **Finding Update:** The SI vendor and BHA finalized the Business Requirements Document (BRD). A new User Story has been created in Azure DevOps, to commence development.	M

Recommendations	Status
IV&V recommends doing an impact analysis, e.g., downstream impact.	Open
IV&V recommends DDD puts on hold any development utilizing Power Automate for the performance issue encountered in production (marked "TBD" in finding #14 related to "SharePoint Bulk Flows still running") and related User Stores, e.g., "Changes to DDD folders", and defects.	Open
IV&V recommends evaluating other feasible options, e.g., leveraging SharePoint tools and best practices.	Open
A project issue should be opened to identify and manage the resolution of this issue.	Open

IV&V Findings & Recommendations

Release / Deployment Planning (cont'd)

#	Key Findings	Criticality Rating
39	**Low Issue:** Due to ongoing deployment processes and technical execution issues, the project may continue to encounter defects and challenges, e.g., when releases are in production or in meeting projected timelines for production and non-production deployments. **Finding Update:** One of the high-priority R4.6 post-production defects was deployment-related, the fix has been deployed with R4.7. IV&V will monitor the progress and quality of R4.7 and the Mid-sprint deployments (MSDs).	L

Recommendations	Status
The project should consider automating deployments for resource savings, increased efficiency, consistency, faster time to market, improved collaboration and reliability, scalability, version control integration, and rollback capability.	Open
Ensure there are adequate and qualified resources to support the current deployment processes. This may require support from RSM resources to provide assistance and knowledge transfer for some more complex deployment components.	Open
As appropriate, consult with RSM on best practices that BHA could employ to support deployment.	Open

IV&V Findings & Recommendations

Release / Deployment Planning (cont'd)

Recommendations	Status
Request the assistance of the RSM Solution Architect in reviewing and correcting issues associated with the consistency of configurations across environments, ensuring that the test environment is capable of testing ALL functions of any given release without the need for using multiple test environments.	Open
Request the assistance of the RSM Solution Architect in the review of deployment scripts as a double-check for accuracy and completeness prior to commencing deployment activities.	Open
The Project Team should consider evaluating potential changes to improve/enhance existing processes and communications to address current release/deployment shortfalls.	Open
IV&V recommends performing an RCA in collaboration with RSM for the continued concerns surrounding environment differences.	Open
IV&V recommends updating the Project's Configuration Management Plan to address the current needs of the Project. This should include specific checklists geared at ensuring repeatable promotional processes by DOH.	Open
Look at implementing 'hard' code freeze dates as well as test environment deployment dates to ensure that testing and deployment activities are not rushed.	Open
Ensure an operational and fully functional test environment is available to effectively conduct end-to-end regression testing prior to deploying a release to production.	Open
Develop a plan to institutionalize the execution of smoke testing for promotions to non-production and production environments. This will help to ensure that all components needed to test have been properly deployed prior to the actual execution of test activities.	Open

IV&V Findings & Recommendations

Project Management

#	Key Findings	Criticality Rating
44	**Closed Preliminary Concern:** Delays in the posting of administrative claims are negatively affecting reimbursements. **Finding Update:** To address the delayed claims postings, there has been improved coordination and communication with all involved parties. Based on the improved process, this Preliminary Concern will be closed.	N/A

Recommendations	Status
BHA should continue research of this issue with MedQuest and PCG to identify any needed corrections.	Closed
BHA to present any needed corrections to CMS.	Closed

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
14	**Medium Issue:** Due to multiple quality concerns, the Project may continue to face impactful system defects. **Finding Update:** R4.7 go-live is on track to be deployed on 8/1/24 and smoke tested on 8/2/24. Fixes for three (3) (1 medium, 2 high priority) were deployed with R4.6. The fix for one (1) R4.6 post-production bug (high priority) is being deployed with R4.7. The vendor is working on fixing other high and medium-priority post-production bugs. The project anticipates that FHIR and SMS-related functionality will be deployed in a release after R4.7. IV&V will monitor the progress and quality of R4.7 and any Mid-Sprint Deployments (MSD).	M

Recommendations	Status
Evaluate existing project staff skills and experience level to ensure they meet BHA support requirements.	In Progress
Perform CAMHD revenue neutrality fiscal balance testing on a quarterly basis to ensure revenues are as expected.	In Progress
Assign dedicated resources to provide oversight and monitoring of CAMHD Fiscal Processes	Open
Monitor implemented IV&V recommendations for effectiveness.	In Progress

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
33	**Medium Issue:** Performance bottlenecks with the INSPIRE production environment may result in low productivity and poor user experience. **Finding Update:** Microsoft executed the performance test from Tuesday, 6/4/24, to Wednesday, 6/12/24. Stakeholders are expecting Microsoft's performance test report in August 2024. BHA personnel have not reported any performance issues recently.	M

Recommendations	Status
The last performance test was executed in June 2023 for phase 3 releases (R3.x). ~800+ new User Story Points (USPs) have been developed since the last performance test execution. IV&V recommends BHA execute a performance test during the development of R4.6 (planned completion 5/20/24), identifying test cases and scenarios that include both DDD and CAMHD functionality, transactions/functionality that are performance intensive, e.g., calculator functionality.	Open
Conduct load and performance testing for each release that has significant new features/functionality, e.g., calculator-related transactions.	Open
Create a plan for comprehensive performance testing and address any performance bottlenecks.	Open
Have the benchmark assessments done annually and implementation of Azure App Insights for Power Platform.	Open
Execute test scripts that measure the run-time for execution of long-running transactions. E.g., calculator functionality/transactions and monitoring results over time.	Open

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
36	**Medium Issue:** Lack of a comprehensive project schedule could lead to missed tasks, project delays, and cost overruns. **Finding Update:** The SI Vendor submitted a draft AER analytics project schedule on 7/3/24, which BHA and IV&V personnel are reviewing. The draft project schedule appears to be incomplete, e.g., it has a "TBD" for one of the testing tasks, and some resource/owner information is missing. The project has completed the discovery phase of the AER Analytics project, and the design phase is ongoing.	M

Recommendations	Status
Establish a clear project schedule management plan that outlines roles, responsibilities, and accountability for schedule adherence.	Open
Create and baseline a comprehensive project schedule for Phase 4 and future project phases in MS Project, Smartsheet, or a similar tool, containing tasks for both SI vendor and State, task dependencies, and resourcing.	Open
Implement regular schedule reviews and updates to ensure alignment with project objectives and milestones.	Open

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
42	**Medium Issue:** Ineffective governance and communication among stakeholders can significantly impact a project in several ways, e.g., stakeholder disengagement, conflict and tension, misalignment of objectives, increased risks, unclear roles and responsibilities, and quality issues. An example on this project is the development and implementation of Golden Record/Master Data Management (MDM). The lack of effective governance and communication among stakeholders can result in project delays, budget overruns, and decreased quality. It's essential for project managers and stakeholders to prioritize clear communication and establish robust governance structures to ensure project success. **Finding update:** The divisions continue to collaborate on the security assessment exercise. The draft security assessment report is due in October 2024.	M

Recommendations	Status
Create a Governance Structure: Implement a governance structure that defines decision-making processes, escalation procedures, and accountability mechanisms. Clarify how decisions will be made, who has authority, and how issues will be resolved.	Open
Develop a Stakeholder Registry, RACI chart, and Stakeholder Engagement Plan: Identify key stakeholders and develop a plan to engage them throughout the project lifecycle. Tailor communication strategies to address the needs and preferences of different stakeholders, ensuring their active involvement and support.	Open
Clearly Define Roles and Responsibilities: Clearly outlining the roles and responsibilities of each stakeholder involved in the project, would ensure that everyone understands their duties and how they contribute to the project's success.	Open

IV&V Findings & Recommendations

Project Management (cont'd)

Recommendations	Status
Encourage Open Communication and Feedback: Foster a culture of open communication and feedback where stakeholders feel comfortable sharing their thoughts, concerns, and suggestions. Encourage constructive dialogue and actively seek input to improve decision-making and problem-solving. Keep stakeholders informed about project progress, milestones, and key developments through regular updates and progress reports. Highlight achievements, challenges, and any changes to the project plan or scope.	Open
Resolve Conflicts Promptly: Address conflicts and disagreements among stakeholders promptly and professionally. Encourage dialogue, active listening, and compromise to find mutually acceptable solutions that support project goals.	Open
Manage Expectations: Manage stakeholders' expectations by setting realistic timelines, budgets, and deliverables. Foster a culture of transparency about project constraints and risks and	Open
Evaluate and Adapt: Continuously evaluate the effectiveness of governance and communication processes and adjust as needed. Solicit stakeholders' feedback to identify areas for improvement and continuously refine your approach.	Open

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
45	**Preliminary Concern:** The current process does not allow BHA to track actual costs versus budgeted costs for large functionalities such as Provider Portal and Maui Wildfire Communication. By incorporating a clear process that would allow BHA to monitor costs of large functionality, BHA could maintain better financial records, and it would allow BHA to track actual versus budgeted costs. **Finding update:** It is agreed that the project will report cases where the number of user story points (USPs) is going to exceed the budgeted number of user story points for "Big Rock" items such as Provider Portal and Maui Wildfire Communication. The process for reporting cases is being discussed and analyzed.	N/A

Recommendations	Status
For Big Rock items such as Provider Portal and Maui Wildfire Communication, IV&V recommends the SI vendor report cases when the number of USPs is going to exceed the budgeted number of USPs.	Open
IV&V recommends that BHA Stakeholders evaluate process options and agree on a process that would allow BHA to track actual costs versus budgeted costs of large functionalities such as Provider Portal and Maui Wildfire Communication.	Open
IV&V recommends that BHA stakeholders agree on the level of granularity, e.g., by user story or functionality, that would allow stakeholders to have reliable answers to important questions such as how much money has been spent on developing Provider Portal, Maui Wildfire Communication, Fast Health Interoperability Resources (FHIR) functionality or Golden Record (GR) functionality or on developing specific user stories.	Open

IV&V Findings & Recommendations

Resource Management

#	Key Findings	Criticality Rating
34	**Medium Issue:** A shortage of BHA project resources could lead to reduced productivity and project delays. **Finding Update:** DDD is finalizing the position description (PD) for the Business Analyst. BHA is finalizing contractual options to add an automated testing resource.	M

Recommendations	Status
BHA should explore options for offloading project team members' daily responsibilities to other staff.	In Progress
BHA should work quickly to backfill vacated project team member positions.	In Progress
BHA should identify tasks and duties that they can ask the SI to assume, as permitted by the contract, which are presently being handled by BHA members.	In Progress
BHA should explore the use of contractors to fill open project positions.	In Progress

IV&V Findings & Recommendations
Project Performance Metrics

Metric	Description	IV&V Observations	IV&V Updates
Velocity	• Review and validate the velocity data as reported by the project • Verify the project is on pace to hit the total target number of US/USP	**July:** There were no deployments in the month of July 2024.	Velocity Metric Trends: N/A

Phase 4 Releases Cumulative Variance

Release	Planned velocity	Actual velocity	Cumulative variance
R4.1	309	114	-195
R4.2	85	174	-106
R4.3	85	124	-67
Golden Record Mid-Sprint Deployment (MSD)	0	68	1
R4.4	240	225	-14
R4.5	95	76	-33
R4.6	84	103	-14
R4.7	111	TBD	TBD

IV&V Findings & Recommendations

Project Performance Metrics (cont'd.)

Metric	Description	.	IV&V Updates
Defect Metrics	Understand and track the following: • Defects by category (bug fixes) • USPs assigned to defects in a release vs. USPs assigned to planned US in a release	**July** - There were no deployments in the month of July 2024.	N/A

Note*: This defect percentage does not include defects under warranty that are assigned zero (0) User Story Points.

Appendix A: IV&V Rating Scales

Appendix A
IV&V 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)
- IV&V Assessment Category Rating Definitions

G	The assessment category is under control and the current scope can be delivered within the current schedule. The assessment category's risks and issues have been identified, and mitigation activities are effective. The overall impact of risk and issues is minimal. The assessment category is proceeding according to plan (< 30 days late).
Y	The assessment category 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 assessment category'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 assessment category. Schedule issues are emerging (> 30 days but < 60 days late). Project leadership attention is required to ensure the assessment category is under control.
R	The assessment category is not under control as there are serious problems with resources, schedule, or scope. A plan to get back on track is needed. The assessment category'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 assessment category under control.

Appendix A

Finding Criticality Ratings

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

Appendix B: Inputs

Appendix B
Inputs

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

Meetings attended during the July 2024 reporting period:

1. Daily Scrum Meetings
2. Daily Design Meetings
3. Twice Weekly RSM Issues Meeting
4. Weekly BHA-ITS Program Status Meeting
5. Bi-Weekly Check-in: CAMHD
6. Bi-Weekly Check-in: DDD
7. BHA (CAMHD & DDD) IV&V Joint Meeting
8. IV&V Draft IV&V Status Review Meeting with DOH
9. IV&V Draft IV&V Status Review Meeting with RSM and DOH
10. DOH BHA IT Solution Project – Steering Committee
11. US# Testing & Request Items
12. AER Analytics Kick-Off Meeting
13. AER Analytics: Discovery Meeting
14. AER Analytics Bi-weekly Meeting
15. Demo for Maui Wildfires Alerts

Artifacts reviewed during the July 2024 reporting period:

1. Daily Scrum Notes
2. Twice Weekly Issues Meeting Notes
3. Weekly BHA-ITS Program Status Report

Eclipse IV&V® Base Standards and Checklists

Document

Appendix C: Project Trends

Appendix C
Project Trends

Process Area	October	November	December	January	February	March	April	May	June	July
User Story Validation										
Test Practice Validation										
Sprint Planning										
Release / Deployment Planning										
OJT and KT Sessions										
Targeted KT										
Project Performance Metrics										
Organizational Maturity Metrics										
General Project Management										
Resource Management										
Total Open Findings	11	10	10	11	12	11	12	13	13	12
Issue - high	2	2	2	5	12	0	0	0	0	0
Issue - medium	5	4	4	4	12	8	8	8	8	8
Issue - low	0	0	0	0	12	0	1	1	1	1
Risk - high	0	0	1	0	12	0	0	0	0	0
Risk - medium	2	2	1	1	12	2	2	2	2	2
Risk - low	0	0	0	0	12	0	0	0	0	0
Preliminary Concern	2	2	2	1	12	1	1	2	2	1

Solutions that Matter

ID	Finding	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
2	As a result of regression testing not being consistently performed, production releases are breaking and/or deprecating existing functionality in the production environment.	R3.3 introduced a defect that deprecated features in production specific to Integrated Support and Life Trajectory functionality. DDD has informed IV&V that there are other examples of functionality being deprecated after a release, some of which are still being investigated. As of this report, IV&V has not evaluated the project's root cause analysis (RCA) process used to determine why such functionality was deprecated but will discuss further with BHA in January 2020.	Thorough vetting and validation of regression test cases are necessary to prevent both defects and the deprecation of production functionality when a release is pushed live. When defects occur in production, the project should follow a defined and repeatable process for determining the root cause of the problem.	1. Having board(s) in Azure DevOps or a document on SharePoint that provides information about the status of regression testing automation, to facilitate visibility and transparency to BHA project personnel and stakeholders. 2. IV&V recommends reevaluating the schedule priorities by distributing the work according to the resource bandwidth. This will ensure that the schedule is not impacted and that the work is done efficiently between regression testing and Golden Record (GR). 3. Pursue and complete additional formal training in Azure DevOps and Tricentis for test automation at the earliest possible juncture and complete efforts to automate the 2 primary regression test scripts. IV&V recommends DDD and CAMHD to develop a common and consistent approach across divisions for performing regression testing. 4. Determine if current regression testing timeframes are adequate and if not, add more time to the pre-production regression test efforts for all release deployments. Updating the regression test scripts to ensure consistency with system configuration. Modifying release schedules to allow for regression testing timeframes Planning releases by functionality type to avoid unnecessary repetitive work being performed in any given section of the solution.	07/31/2024 - R4.7 regression testing was done manually because Microsoft updated properties resulting in Tosca scripts being unable to execute - an issue is logged in Azure DevOps. The testing was completed and passed successfully. The fixes for bugs (2 from R4.7, 3 from R4.6) that resulted from the R4.7 and R4.6 regression testing will be deployed in future releases. R4.7 go-live is on track to be deployed on 08/01/2024 and smoke tested on 08/02/2024. 06/30/2024 - R4.7 regression testing will be a combination of automated and manual testing and is scheduled to be executed between 7/22/24 – 7/31/24. R4.7 go-live is scheduled for 8/1/24. Three (3) bugs (1 medium and 2 low priority) resulting from the R4.6 regression testing were added to the backlog. Minimal progress has been made in developing and executing automated regression test cases. Considering the five (5) post-production bugs (5 high and 1 medium priority), including one for which a hot-fix was deployed on Friday, 5/31/24, the project should evaluate the efficacy of regression testing overall. DDD is currently evaluating options to add an automated regression testing resource for assessment of current test scripts and development of additional test scripts. 05/31/2024 - R4.6 regression testing, a combination of automated and manual testing, was executed 5/17/24 – 5/29/24 and completed	Test Practice Validation	Issue	Medium	Open		12/31/2019	Gautam Gulvady	
14	Due to multiple quality concerns, the project may continue to face impactful system defects.	System defects identified in August that affected claims were due to multi-faceted quality issues were individually addressed during this reporting period. IV&V notes that there is one remaining defect still being evaluated that affects a limited number of claims. Overall, the Project Team has responded with a commitment to increase project quality and is in the process of identifying improvements to associated testing processes. These currently include: Performing Revenue Neutrality Testing to ensure expected revenue streams are largely unchanged from one period to the next. Conducting System Integration Testing, User Acceptance Testing, Performance Testing, and Regression Testing for Release 3.10. IV&V will continue to monitor the testing efforts throughout the balance of Release 3.10 and validate that enhanced quality processes, including industry standard regression testing, continue for Agile Release 3.11 forward. Finally, IV&V reviewed and provided feedback on the Help Desk and Semantic Layer design documents per request and found that both documents lacked design details.	The identified quality issues have negatively affected DOH billing processes and DOH has stated these are the most impactful defects discovered to date.	Evaluate existing project staff skills and experience level to ensure they meet BHA support requirements. Perform CAMHD revenue neutrality fiscal balance testing on a quarterly basis to ensure revenues are as expected. Assign dedicated resources to provide oversight of CAMHD Fiscal Processes. Monitor implemented improvements for effectiveness. IV&V recommends performing an RCA in collaboration with RSM after all future release deployments for continual quality improvement. BHA and RSM to collaborate on the necessary revisions to the submitted design deliverables to increase level of detail and quality. Perform typical project testing including System Integration, User Acceptance, Performance, and Regression Testing. Dedicate sufficient time in between releases for BHA and RSM to execute/implement RCA correction actions to reduce the volume of unplanned rework.	07/31/2024 - R4.7 go-live is on track to be deployed on 08/01/2024 and smoke tested on 08/02/2024.Fixes for three (3) (1 medium, 2 high priority) post-production bugs were deployed with R4.6. The fix for one (1) R4.6 post-production bug (high priority) is being deployed with R4.7. The vendor is working on fixing other high and medium-priority post-production bugs. The project anticipates that FHIR and SMS-related functionality will be deployed in a release after R4.7. IV&V will monitor the progress and quality of R4.7 and any Mid-sprint deployments (MSD). 06/30/2024 - R4.6 went live on 5/30/24. A hot-fix to resolve a significant problem with the Calculator was deployed on Friday, 5/31/24. Six other (6) post-production defects (5 high and 1 medium priority; 1 Microsoft defect) are planned to be deployed with R4.7. CAMHD Provider Invoice Batch Printing was deployed to production on 06/05/24. A Mid-Sprint-Deployment (MSD) comprised of the Maui Wildfire set of work items is planned before the R4.7 go-live. Based on the ongoing User Acceptance Testing (UAT) sessions, the project anticipates that FHIR will be deployed in a release after R4.7. IV&V will monitor the progress and quality of R4.7 and the MSD. A finding (#43) related to the SharePoint folders bug was created in April 2024. The SI vendor and BHA are finalizing the Business Requirements Document (BRD) and the design.	Project Management	Issue	Medium	Open		9/30/2020	Gautam Gulvady	

ID	Finding	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
31	Lack of regular Sprint reviews and sprint demos will likely lead to misalignments between delivered work and stakeholder needs.	Earlier in the project, end-of-sprint demos were conducted. Sprint reviews/demos help to bring alignment across the team and stakeholders. They are essential building blocks for better software and teams. Sprint demos /reviews showcase the main functionality to stakeholders and incorporate their feedback. Currently, the project has joint testing involving the SI and BHA personnel. Per Agile Best practices, IV&V believes having Sprint demos/reviews during a sprint helps clarify and validate design prior to testing, steer the team in the right direction, and help to avoid big mistakes. This would also allow the testing team to focus solely on testing, which is beneficial.	Based on Agile Best Practices, Sprint Demoes or reviews occur during a sprint with the development team, scrum master, and product owner. Sprint reviews/demos are crucial in bringing alignment across the team and stakeholders. It is a great opportunity for the product owner, stakeholders, and the team to review what's being delivered and receive feedback. This way, the team can gauge responses and make observations earlier during development and not later during testing. Celebrating the team's accomplishments is also an essential part of these demos. Moreover, they are invaluable in steering the team in the right direction and avoiding big mistakes. It's interesting to note that the Sprint demo could bring to light bugs such as R4.1 bug 34055 on the Portal, where the checkbox is on the left of the text.	According to Agile Best Practices, IV&V recommends including Sprint reviews and demos in future releases (R4.2 and onwards) with all relevant stakeholders to assess the completion of user stories, review important metrics and outcomes, and confirm if the Sprint goal has been achieved. This approach would also help ensure the backlog is prioritized and well-prepared for the next Sprint. These are some recommendations for project alignment, stakeholder engagement, quality assurance, transparency, and the incorporation of user feedback. 1. Strengthen the collaboration between development teams and stakeholders by enhancing communication channels. Regularly validate project objectives and ensure that sprint deliverables remain consistent with stakeholder requirements. 2. Foster active participation from users and stakeholders during both Sprint Reviews and Sprint Demos. Emphasize the value of iterative feedback to guide development and ensure that user needs are consistently met. 3. Establish standardized communication protocols for both Sprint Reviews and Sprint Demos. Encourage teams to deliver concise and informative progress reports, including achievements, challenges, and future plans. This will enhance stakeholder engagement and project transparency. 4. Create a stakeholder register to identify all stakeholders. List their identification, assessment, and classification. Review the register regularly to	07/31/2024 - The SI vendor demonstrated the Maui Wildfire communication functionality to stakeholders on 7/9/24, and it seemed to be productive. The date for the FHIR demo is yet to be finalized. Although this is progress, the project is yet to demonstrate regular demos as part of the Sprint Review. 06/30/2024 - The SI vendor will demonstrate Maui Wildfire communication functionality to stakeholders on 7/9/24. The date for the FHIR demo is yet to be finalized. 05/31/2024 - Per discussions regarding new functionality/features in R4.6, the SI vendor will demonstrate the FHIR and Maui Wildfire communication functionality to stakeholders. Dates for the demos are yet to be finalized. 04/30/2024 - Per discussions regarding new functionality/features in R4.6, the SI vendor will demonstrate the Maui Wildfire communication functionality to stakeholders in May 2024. 03/31/2024 - Discussions regarding new functionality/features in R4.6 that would warrant demonstration are ongoing. Accordingly, the vendor should schedule demonstrations of new functionality/features as part of Sprint Reviews. 02/29/2024 - Discussions are on-going about R4.5 and R4.6 new functionality/features that would be demonstrated. Accordingly, the	Sprint Planning	Risk	Medium	Open		7/26/2023	Gautam Gulvady	
32	The Golden Record (GR) project continues to be delayed.	Due to issues with the Golden Record (GR) solution, the project may experience delays and a shift in focus from critical functionality. The GR is a crucial element that affects several user stories dependent on it. The deployment of the GR has been postponed to 08/19/2023, resulting in the transfer of approximately 150 story points into R4.2 and subsequent releases. However, it is unclear which releases will include the GR-related user stories	GR implementation has been delayed several times. As a result, GR is impacting the INSPIRE release schedule. E.g., mid-sprint deployment (MSD) has been postponed multiple times. BHA reviewing original requirements and evaluating if BHA needs to revisit the design.	1.Identify stakeholders (output is stakeholder register) and develop a RACI matrix for the project to ensure adequate communication and stakeholder participation. 2. Identify the objective of implementing GR production data use, benefits, current gaps in design, effort estimates, resource commitments, and impact of having/not having GR. 3. Prior to implementation of the GR, needed updates to the consent form should be confirmed and completed, policies/procedures for all users should be confirmed, and all open defects should be resolved. 4. Analyze the impact on the future functionalities and assess the implications if this strategic change is needed. 5. GR working sessions should be resumed until there is clarity on remaining work to be completed, timeline for completion, etc.	03/31/2024 - CAMHD and DDD stakeholders continued to meet in March 2024 to clarify open questions regarding future GR development and potential 3rd-party tool integration. One GR user story was implemented in R4.5, and no further GR development will be conducted. Finding closed. 02/29/2024 - CAMHD and DDD Stakeholders to meet in March 2024 to clarify open questions, e.g., when GR development would be completed and questions around potential 3rd-party tool integration, to come to a common understanding about the scope and planned completion of GR development. GR has a scope, schedule, and cost impact. 01/31/2024 - While Golden Record (GR) mid-sprint Deployment (MSD) was deployed on 12/21/2023, stakeholders across the project appear to have different understandings of where GR stands. IV&V sent an email on 01/31/2024 recommending stakeholders have a good common understanding of the Golden Record (GR) functionality development (including, related regression testing) and deployment, and the common understanding and plans are communicated to all stakeholders. The plan is to discuss and resolve the issue, e.g., during resumed GR working session meetings, so a common statement of understanding can be provided to all stakeholders. This finding was changed from a Risk to an Issue.	Release/Deployment Planning	Issue	Medium	Closed	3/31/2024	7/10/2023	Gautam Gulvady	

ID	Finding	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
33	Performance bottlenecks with the INSPIRE production environment may result in low productivity and poor user experience.	Performance issues have been identified that have the potential to impact the system's functionality, user experience, and the overall reliability of the system. These performance issues warrant immediate attention and resolution.	Developmental Disability Division (DDD) personnel are encountering performance issues with re-assigning cases and opening the DDD – Contact Notes (Fiscal View – Complete) view. CAMHD has not reported performance issues.	1. The last performance test was executed in June 2023 for phase 3 releases (R3.x). ~800+ new User Story Points (USPs) have been developed since the last performance test execution. IV&V recommends BHA execute a performance test during the development of R4.6 (planned completion 5/20/2024), identifying test cases and scenarios that include both DDD and CAMHD functionality, transactions/functionality that are performance intensive, e.g., calculator functionality. 2. Conduct load and performance testing for each release that has significant new features/functionality, e.g., calculator-related transactions. 3. Create a plan for comprehensive performance testing and address any performance bottlenecks. 4. Have the benchmark assessments done annually and implementation of Azure App Insights for Power Platform. 5. Execute test scripts that measure the run-time for execution of long-running transactions. E.g., calculator functionality/transactions and monitoring results over time.	07/31/2024 - Microsoft executed the performance test Tuesday, 6/4/24, through Wednesday, 6/12/24; stakeholders expect Microsoft's performance test report in August 2024. Behavioral Health Administration (BHA) personnel reported no recent performance issues. 06/30/2024 - Microsoft executed the performance test from Tuesday, 6/4/24 – Wednesday, 6/12/24 - stakeholders are awaiting delivery of the report. 05/31/2024 - The performance test execution will commence on Tuesday, 6/4/24, and will end on Wednesday, 6/12/24. The scope of the performance test will align with the regression test cases. 04/30/2024 - BHA is continuing discussions with Microsoft regarding scope, schedule, and estimate of the effort and cost to execute the performance test, leveraging the existing Health Information Systems Office (HISO) contract with Microsoft. The plan is to execute the next performance test in June 2024. 03/31/2024 - To address the IV&V recommendation #1, BHA and the SI vendor are having discussions to define scope, schedule, and to estimate the effort and cost to conduct a performance test prior to R4.6 implementation on 5/30/24. The plan is to execute the test in May 2024. BHA plans to leverage the existing	Project Management	Issue	Medium	Open		8/18/2023	Gautam Gulvady	
34	Shortage of Behavioral Health Administration (BHA) project resources could lead to reduced productivity and project delays.	Key BHA project resources have reported constraints on how much time they can devote to the project. The departure of the Child and Adolescent Mental Health Division (CAMHD) System Management Office Manager and CAMHD Inspire Project Lead could further impact the project if DOH cannot acquire suitable resources. The lack of capacity of the DOH test script developer has slowed DOH's automated test script development.	If BHA is unable to fully staff the project and their existing resources continue to be constrained, the project could experience a reduction in productivity and project delays.	1. BHA should explore options for offloading project team members' daily responsibilities to other staff. 2. BHA should work quickly to backfill vacated project team member positions. 3. BHA should identify tasks and duties that they can ask the SI to assume, as permitted by the contract, which are presently being handled by BHA members. 4. BHA should explore the use of contractors to fill open project positions.	07/31/2024 - DDD is finalizing the position description (PD) for the Business Analyst. BHA is finalizing contractual options to add an automated testing resource. 06/30/2024 - DDD is currently evaluating options to add an automated regression testing resource. The State has approved the variance for a Business Analyst (BA) position. 05/31/2024 - DDD is planning to add an automated regression testing resource and is currently evaluating candidates. DDD plans to request one (1) business analyst position. No new update. 04/30/2024 - DDD is planning to add an automated regression testing resource and is currently evaluating candidates. DDD plans to request one (1) business analyst position. 03/31/2024 - No change since the February reporting period. 02/29/2024 - DDD plans to request one (1) business analyst position to address resource shortages. 01/31/2024 - There continue to be significant project resource shortages, as per the resources documented in APDU #6. This finding was changed from a Risk to an Issue. 12/31/2023 - During the Steering committee	Resource Management	Issue	Medium	Open		8/18/2023	Michael Fors	

ID	Finding	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
35	Lack of an ongoing cleanup process may lead to clutter and reduce Azure DevOps effectiveness in supporting the INSPIRE project management and tracking needs.	R3.33 work started, and the SI vendor was working with BHA on the Statement of Work (SOW). BHA made the decision not to implement R3.33 and moved on to the next big phase of work, starting with R4.1. Project team members will see some references to R3.33 in Azure DevOps, which are incorrect and should be updated to R4.1 or an appropriate future release. There is still cleanup happening for items that are in the parking lot, which may state R3.33 until those items are assigned to a release.	A cleaned-up Azure DevOps environment would enable the team and stakeholders to accurately track and report defects and user stories, e.g., "n" number of post-production defects in Rm.n to be implemented in Rx.y, monitor and measure the team's effectiveness (trending as improvements, e.g., fewer post-production bugs from previous releases), and to maintain tool's effectiveness in supporting project management needs.	1. DevOps cleanup is an ongoing process. The usage and configuration of the Azure DevOps (AD) environment should be regularly monitored to prevent clutter and maintain its effectiveness in supporting the INSPIRE project management and tracking needs. 2. Configuration Review: Evaluate the Azure DevOps (AD) configuration settings. Ensure workflows, issue types, custom fields, and other settings are aligned with the project's needs and industry best practices. 3. Optimize Boards and Filters: Review the boards, filters, and tags in Azure DevOps (AD) to ensure they accurately reflect the status of work, and they are designed to facilitate efficient tracking and collaboration. This will help streamline and make it easier to find relevant information. 4. User Training and Best Practices: Provide training to Azure DevOps (AD) users to ensure they are using the tool effectively. Share best practices for issue creation, workflow management, and collaboration. 5. Establish a plan for regular maintenance of Azure DevOps (AD). Regularly review and clean up old issues, adjust workflows as needed, and ensure that configurations remain aligned with evolving needs.	04/30/2024 - Standardizing (ongoing process) tags used in Azure DevOps and cleaning up the Azure DevOps environment is an ongoing process. Post-production bugs are tagged "Post Go-Live Bug" with tags for the appropriate release(s). IV&V has closed this preliminary concern. 03/31/2024 - Standardizing (ongoing process) tags used in Azure DevOps and cleaning up the Azure DevOps environment is an ongoing process. E.g., some post-production bugs are tagged "Post Go-Live Bug" with tags for the appropriate release(s). IV&V will monitor the progress. 02/29/2024 - Standardizing (ongoing process) tags used in Azure DevOps and cleaning up the Azure DevOps environment are ongoing. E.g., post-production bugs are tagged "Post Go-Live Bug" with tags for the appropriate release(s). IV&V will monitor the progress. 01/31/2024 - RSM and BHA are standardizing (on-going process) the tags used in Azure DevOps and their usage, and are cleaning up the Azure DevOps environment. E.g., the four (4) R4.4 post-production bugs are tagged "Post Go-Live Bug". IV&V will monitor the progress. 12/31/2023 - RSM and BHA are standardizing (on-going process) the tags used in Azure DevOps and their usage, and are cleaning up the Azure DevOps environment. The tags will be	Project Management	Preliminary Concern	N/A	Closed	4/30/2024	8/2/2023	Gautam Gulvady	
36	Lack of a comprehensive project schedule could lead to missed tasks, project delays, and cost overruns.	Project work is ongoing without a project schedule in place. Some current project work is considered Maintenance and Operations, but there is new work to be completed as well.	Project work is ongoing without a project schedule in place. Some current project work is considered Maintenance and Operations, but there is new work to be completed as well.	1. Establish a clear project schedule management plan that outlines roles, responsibilities, and accountability for schedule adherence. 2. Create and baseline a comprehensive project schedule in MS project, Smartsheet, or a similar tool, containing tasks for both SI vendor and State, task dependencies, and resourcing. 3. Implement regular schedule reviews and updates to ensure alignment with project objectives and milestones.	07/31/2024 - The SI Vendor submitted a draft AER Analytics project schedule on 7/3/24, which BHA and IV&V personnel are reviewing. The draft project schedule appears incomplete, e.g., it has a "TBD" for one of the testing tasks, and some resource/owner information is missing. The project has completed the discovery phase, and the design phase is ongoing. 06/30/2024 - The Adverse Event Report (AER) Analytics project kicked off on 6/4/24. The Discovery phase of the AER analytics project is in progress. The SI vendor has provided a high-level timeline but has not yet provided a project schedule. There is uncertainty around receiving timely information from MedQuest, which will likely impact the completion of the project schedule. 05/31/2024 - The Analytics project kickoff meeting is scheduled for 6/4/24. The Discovery phase of the Adverse Event Report (AER) analytics project is on-going. The project schedule for the Analytics project is expected to be delivered shortly after the project kick-off. 04/30/2024 - The Data Exchange Agreement (DEA) between DDD and MQD is being finalized. BHA plans ito commence the Analytics project in June 2024 once the DEA is executed. 03/31/2024 - The Data Exchange Agreement (DEA) between DDD and MQD is yet to be executed. The Analytics project will commence	Project Management	Issue	Medium	Open		8/29/2023	Gautam Gulvady	

ID	Finding	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
39	Due to on-going deployment processes and technical execution issues, the Project may continue to encounter defects and challenges, e.g., when releases are in production or in meeting projected timelines for production and non-production deployments.	Several post-production bugs have been encountered in the Phase 4 release, R4.4.	Regarding the bug, "Human Services Research Institute (HSRI) flow is failing in production" (bug# 34886 https://dev.azure.com/DOHBHA/DOH%20BHA%20INSPIRE/_workitems/edit/34886), what is in development and deployed is vastly different from what was deployed to production. The root cause for these errors is currently being investigated. Repeatable documented release and deployment and resources experienced with deployments will help ensure that mistakes are minimized and that functionality is not mistakenly deprecated when deployments take place.	1. The Project should consider automating deployments for resource savings, increased efficiency, consistency, faster time to market, improved collaboration and reliability, scalability, version control integration, and rollback capability. 2. Ensure there are adequate and qualified resources to support the current deployment processes. This may require the support from RSM resources to provide assistance and knowledge transfer for some of the more complex deployment components. 3. As appropriate, consult with RSM on best practices that BHA could employ to support deployment. 4. Request the assistance of the RSM Solution Architect in reviewing and correcting issues associated with the consistency of configurations across environments, ensuring that the test environment is capable of testing ALL functions of any given release without the need for using multiple test environments. 5. Request the assistance of the RSM Solution Architect in review of deployment scripts as a double check for accuracy and completeness prior to commencing deployment activities. 6. The Project Team should consider evaluating potential changes to improve/enhance existing processes and communications to address current release/deployment shortfalls. 7. IV&V recommends performing an RCA in	07/31/2024 - One of the high-priority R4.6 post-production defects was deployment-related, the fix has been deployed in R4.7. IV&V will monitor the progress and quality of R4.7 and the MSD deployments. 06/30/2024 - Of the six (6) post-production defects (4 high and 2 medium priority), one (1) defect was determined to be deployment-related and one is a Microsoft defect. The root cause analysis (RCA) for the other defects is yet to be completed. CAMHD Provider Invoice Batch Printing was deployed to production on 06/05/24. A Mid-Sprint-Deployment (MSD) comprised of the Maui Wildfire set of work items is planned before the R4.7 go-live. Based on the ongoing FHIR User Acceptance Testing (UAT) sessions, the project anticipates that FHIR will be deployed in a release after R4.7. 05/31/2024 - R4.6 went live on 5/30/24. While smoke testing was executed successfully on 5/31/24, users encountered a significant problem with the Calculator where users were not able to generate authorizations set to a one-time recurrence(a hot-fix was deployed on Friday, 5/31/24) and there are two (2) other post-production bugs. It is yet to be determined if all three post-production defects are deployment-related. IV&V will monitor the progress and quality of the R4.6 deployment. Fast Health Interoperability Resources (FHIR) Release 4.0.1 end-to-end	Release/Deployment Planning	Issue	Low	Open		1/25/2024	Gautam Gulvady	
40	Insufficient testing processes can lead to poor-quality software, project delays and extended user acceptance testing.	There is a limited understanding of the testing processes and the roles and responsibilities of those involved in the process. There is no formal process for the development, review, and approval of test scenarios, test cases, and test results to ensure adequate participation and approval from state staff.	When testing user stories 34564 and 34756 on 1/31/24, the test tasks did not reflect the real use cases to give stakeholders adequate confidence that the user story could be tested. As a result, time was expended by testing resources, testing was inadequate, and a user story may have been deemed to meet functionality when it did not.	1. Identify stakeholders (output is stakeholder register) and develop a RACI matrix for testing. 2. Review the overall testing process and implement any needed improvements identified.	07/31/2024 - No new updates. 06/30/2024 - IV&V shared the Stakeholder Register and RACI templates (based on best practices) with BHA in May 2024. BHA is working to populate information in the Stakeholder Register and RACI matrix. 05/31/2024 - IV&V has shared Stakeholder Register and RACI templates (based on Best Practices) for BHA to populate. 04/30/2024 - No new update. 03/31/2024 - CAMHD is populating the stakeholder registry and the RACI matrix to address adequate statewide participation and engagement in the testing process. 02/29/2024 - CAMHD is developing a Stakeholder registry and RACI matrix to address adequate statewide participation in the testing process. 02/29/2024 - CAMHD is developing a Stakeholder registry and RACI matrix to address adequate statewide participation in the testing process. 01/31/2024 - When testing user stories 34564 and 34756 on 1/31/24, the test tasks did not reflect the real use cases to give stakeholders adequate confidence that the user story could be tested.	Test Practice Validation	Issue	Medium	Open		1/31/2024	Gautam Gulvady	

ID	Finding	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
41	The absence of separate dedicated product backlog review meetings can lead to unclear priorities, misalignment with stakeholders, inadequate refinement, and increased risk of scope creep.	Currently, product backlog reviews are done during design meetings and/or weekly issues meetings. This can lead to, e.g., scattered focus, limited stakeholder engagement, difficulty in managing complexity, and delayed decision making.	A product backlog review is an essential part of agile project management, particularly in Scrum. It's a collaborative meeting where the Scrum team, including the Product Owner, Scrum Master, and development team members, inspect and adapt the product backlog. The product backlog review is an important Scrum ceremony that helps keep the backlog relevant, up-to-date, and aligned with the project's goals and priorities. Here's a summary of what typically happens during a product backlog review: 1. Inspecting Backlog Items: The team reviews the items on the product backlog. This involves discussing each item, understanding its priority, value, and acceptance criteria. 2. Ensuring Clarity: The team ensures that each backlog item is clear and well-understood. Any ambiguities or uncertainties are clarified at this stage. 3. Estimation: Estimation of backlog items may occur during the review. The team may use techniques like story points or relative sizing to estimate the effort required for each item. 4. Re-prioritization: Based on new insights, changes in requirements, or stakeholder feedback, the team may need to re-prioritize items in the backlog. 5. Removing or Adding Items: Items that are no longer relevant or necessary may be removed from the backlog. New items that emerge or are identified as important may be added. 6. Refinement: Backlog refinement may also occur during the review. This involves breaking down large items into smaller, more manageable ones, or adding more detail to items as needed. 7. Collaboration: The review is a collaborative effort involving the entire Scrum team. It's an opportunity for open discussion and sharing of ideas to ensure everyone is aligned on the goals and priorities.	Separate dedicated product backlog review meetings (during sprints) would allow clarifying any ambiguities or uncertainties, re-prioritization, estimation, and refinement of backlog items. This would allow the project team to avoid situations where decisions about including items mid-sprint would have to be taken. IVV recommends scheduling separate dedicated product backlog review meetings (during sprints) where all relevant stakeholders are invited to review the product backlog and scheduled at the appropriate time(s) such that there is sufficient time to plan the design, development, and implementation (DDI) of the next release(s).	07/31/2024 - IV&V shared the Stakeholder Register and RACI templates (based on best practices) with BHA in May 2024. BHA is working on populating the Stakeholder Register and RACI matrix. The SI vendor demonstrated the Maui Wildfire communication functionality to stakeholders on 7/9/24, and it seemed productive. The date for the FHIR demo is yet to be finalized. Although this is progress, the project is yet to demonstrate regular demos as part of the Sprint Review. 06/30/2024 - IV&V has shared the Stakeholder Register and RACI templates (based on best practices) for BHA to populate. Once the stakeholder registry and the RACI matrix are finalized, BHA plans to schedule product backlog review meetings. There are no new updates for the June reporting period. 05/31/2024 - IV&V has shared a Stakeholder register and RACI templates (based on Best Practices) for BHA to populate. Once the stakeholder registry and the RACI matrix are finalized, BHA plans to schedule product backlog review meetings. 04/30/2024 - BHA plans to populate the stakeholder registry and the RACI matrix to have adequate statewide participation and engagement in product backlog review meetings. Once the stakeholder registry and the RACI matrix are finalized, BHA to schedule product backlog review meetings.	Sprint Planning	Risk	Medium	Open		1/26/2024	Gautam Gulvady	
42	Effective governance and communication is lacking on the project.	Lack of effective governance and communication among stakeholders can have significant negative impacts on a project in several ways.	Ineffective governance and communication among stakeholders can significantly impact a project in several ways, e.g., stakeholder disengagement, misunderstandings, conflict and tension, misalignment of objectives, increased risks, unclear roles and responsibilities, and quality issues. An example on this project is the development and implementation of Golden Record/Master Data Management (MDM). The lack of effective governance and communication among stakeholders can result in project delays, budget overruns, and decreased quality. It's essential for project managers and stakeholders to prioritize clear communication and establish robust governance structures to ensure project success.	IVV recommends considering the following recommendations to establish effective governance and communication among stakeholders: 1. Create a Governance Structure: Implement a governance structure that defines decision-making processes, escalation procedures, and accountability mechanisms. Clarify how decisions will be made, who has authority, and how issues will be resolved. 2. Develop a Stakeholder Registry, RACI chart, and Stakeholder Engagement Plan: Identify key stakeholders and develop a plan to engage them throughout the project lifecycle. Tailor communication strategies to address the needs and preferences of different stakeholders, ensuring their active involvement and support. 3. Clearly define Roles and Responsibilities: clearly outlining the roles and responsibilities of each stakeholder involved in the project, would ensure that everyone understands their duties and how they contribute to the project's success. 4. Encourage Open Communication and Feedback: Foster a culture of open communication and feedback where stakeholders feel comfortable sharing their thoughts, concerns, and suggestions. Encourage constructive dialogue and actively seek input to improve decision-making and problem-solving. Keep stakeholders informed about project progress, milestones, and key developments through regular updates and progress reports. Highlight achievements, challenges, and any changes to the	07/31/2024 - The divisions continue to collaborate on the security assessment exercise. The draft security assessment report is due in October 2024. 06/30/2024 - The divisions continue to collaborate on the security assessment and remediation exercise. 05/31/2024 - Collaboration between DDD and CAMHD on the security assessments is ongoing. 04/30/2024 - CAMHD and DDD continued to collaborate on the security assessments. 03/31/2023 - Division heads from three (3) divisions, the Developmental Disabilities Division (DDD), Child & Adolescent Mental Health Division (CAMHD), and Alcohol & Drug Abuse Division (ADAD), met in March 2024 to discuss and resolve Golden Record-related issues. DDD has added a Policy & Procedures-related agenda item to the monthly DOH BHA IT Solution Project Steering Committee meetings. 02/29/2024 - Finding identified by IV&V.	Project Management	Issue	Medium (low?)	Open		2/29/2024	Gautam Gulvady	

ID	Finding	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
43	Execution time for the process for updating DDD SharePoint folders was unacceptable.	The existing DDD SharePoint documents and folders update process is intensive and the execution time was unacceptable - this process took 11 calendar days to execute in production with R4.4.	This process is part of several intense processes that update SharePoint documents and folders. The SI vendor recommended against doing this intensive process. However, no feasible alternative solutions were provided and this process was implemented. BHA has the flexibility to refine and alter their SharePoint directory structure. As a result, per the SI vendor, the process does not pick up continuously evolving permutations of folder structures in Production, nor can the execution time be estimated or benchmarked. Per discussions between the SI vendor and BHA over many months, this process was not going to complete 100% of the operations because of the different folder structures in Production. And this process/jobs has been updated many times to address different folder structures that were captured during testing, but there is no guarantee that it covers every possible scenario - some operations failed because the folder structure was not encountered during testing, which was an expected event. The folders in Production that were not picked up with Flow were supposed to be manually updated. The current solution utilizing Power Automate provided the necessary steps to automate this process , but it was never going to capture 100% of folders. And the process took 11 calendar days to execute in production.	IV&V recommends doing an impact analysis, e.g., downstream impact. IV&V recommends DDD puts on hold any development utilizing Power Automate for the performance issue encountered in production (marked "TBD" in finding #14 related to "SharePoint Bulk Flows still running"), related user stores, e.g., "Changes to DDD folders", and defects. IV&V recommends evaluating other feasible options, e.g., leveraging SharePoint tools and best practices. A project issue should be opened to identify and manage the resolution of this issue.	07/31/2024 - The SI vendor and BHA finalized the Business Requirements Document (BRD). A new User Story has been created in Azure DevOps to commence design and development. 06/30/2024 - The SI vendor and BHA are finalizing the Business Requirements Document (BRD) and the design of the proposed solution. 05/31/2024 - The SI vendor has engaged a SharePoint Subject Matter Expert (SME) and is currently analyzing options. 04/30/2024 - Finding identified by IV&V.	Release/Deployment Planning	Issue	Medium	Open		4/30/2024	Gautam Gulvady	
44	Delays in the posting of administrative claims are negatively affecting reimbursements.	BHA has discovered delays in the posting of administrative claims as far back as three years.	These claims with delayed posting are eligible for a 90%/10% match from CMS. There are delayed payments identified as far back as three years, which caused claims to be filed in later years. These claims draw from the raw budget in the year they are filed. This affects reimbursements and could potentially delay the submission of IAPDU-7, which could impact funding.	BHA should continue research of this issue with MedQuest and PCG to identify any needed corrections. BHA to present any needed corrections to CMS.	07/31/2024 - To address the delayed claims postings, there has been improved coordination and communication with all involved parties. Based on the improved process, this Preliminary Concern will be closed. 06/30/2024 - Improved coordination and communication with all involved parties are needed to address the delayed claims postings. 05/31/2024 - BHA met with CMS and MedQuest to discuss an approach forward. Funds can not be added to a year once it has closed. BHA will request additional funds for FY24 to account for the claims that have posted late. 4/30/2024 - Finding identified by IV&V.	Project Management	Preliminary Concern	N/A	Open		4/30/2024	Gautam Gulvady	
45	The current process does not allow BHA to track actual costs versus budgeted costs by feature/functionality.	The current invoices from the System Integrator (SI) vendor lack sufficient details that would allow BHA to track actual costs versus budgeted costs by, e.g., features such as Provider Portal, Maui Wildfire Communication, FHIR and Golden Record or by user story.	The current process does not allow BHA to track actual costs versus budgeted costs of large functionality such as Provider Portal, Maui Wildfire Communication, Fast Health Interoperability Resources (FHIR) or the Golden Record (GR). The absence of a clear process doesn't give insight into, e.g., how much of the budget has gone into developing functionality such as Provider Portal, Maui Wildfire Communication, FHIR or GR functionality. By incorporating a clear process that would allow BHA to monitor costs of large functionality, BHA can maintain better financial records and it would allow BHA to track actual versus budgeted costs and answer questions, e.g., "how much money has been spent on developing Provider Portal, Maui Wildfire Communication, FHIR or Golden Record (GR) functionality?"	IVV recommends that BHA Stakeholders should evaluate process options and agree on a process that would allow BHA to track actual costs versus budgeted costs of large large functionalities such as Provider Portal, Maui Wildfire Communication, FHIR and Golden Record. IV&V recommends that BHA stakeholders agree on the level of granularity, e.g., by user story or functionality, that would allow stakeholders to have reliable answers to important questions such as how much money has been spent on developing Provider Portal, Maui Wildfire Communication, Fast Health Interoperability Resources (FHIR) functionality or Golden Record (GR) functionality or on developing specific user stories.	07/31/2024 - It is agreed that the project will report cases where the number of user story points (USPs) is going to exceed the budgeted number of user story points for "big rock" items such as Provider Portal and Maui Wildfire Communication. The process for reporting cases is being discussed and analyzed. 06/30/2024 - BHA Stakeholders plan to evaluate process options. See new IV&V recommendation below. 05/31/2024 - BHA Stakeholders to evaluate process options, e.g., through Azure DevOps.	Project Management	Preliminary Concern		Open		5/25/2024	Gautam Gulvady	