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DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES | *KA 'OIHANA LOIHELU A LAWELAWE LAULĀ*

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES | *KE'ENA HO'OLANA 'ENEHANA*

P.O. BOX 119, HONOLULU, HAWAII 96810-0119

March 13, 2025

The Honorable Ronald D. Kouchi
President of the Senate
and Members of the Senate
Thirty-Third State Legislature
State Capitol, Room 409
Honolulu, Hawaiʻi 96813

The Honorable Nadine K. Nakamura
Speaker and Members of the
House of Representatives
Thirty-Third State Legislature
State Capitol, Room 431
Honolulu, Hawaiʻi 96813

Aloha Senate President Kouchi, Speaker Nakamura, 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 Hawaiʻi, 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 Hawaiʻi

Attachments (2)

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

IV&V Report for the period of

February 1 – February 28, 2025

Final Submitted: March 12, 2025

PUBLIC CONSULTING GROUP

Solutions that Matter

Agenda

Executive Summary

IV&V Findings & Recommendations

Appendices

- A – Rating Scales
- B – Inputs
- C – Project Trends
- D – Acronyms and Definitions
- E – List of Production Defects

Executive Summary

The project continues to show progress in the buildout of additional system features. The new Adverse Event Reporting functionality went live this month, receiving positive feedback from users regarding its usability and the training provided by the Systems Integrator (SI).

The project is making progress toward addressing the previously reported regression testing challenges and is preparing to bring on board an automated regression testing tool (Tosca) expert.

Manual regression testing will continue until automated tests can be repaired, potentially impacting testing productivity and comprehensiveness. The project continues to work to address production defects. The SI has committed to enhancing Smoke Test scripts to include more comprehensive testing, such as for the Provider Portal.

The addition of the Tosca SME should also help to address the previously reported BHA resource constraints. BHA is also making efforts to capture existing project team member knowledge to ensure their system, operational, and technical knowledge is not lost when members leave. They plan to utilize their existing system platform (Dynamics CRM) to establish a centralized knowledge base for capturing projects and other relevant knowledge.

The previously reported ambiguity regarding contractual terms and conditions related to defect charges has been resolved and clarified. Defects will only incur charges if they are not identified during joint testing. IV&V continues to recommend strengthened testing measures to ensure defects are identified during joint testing.

IV&V closed three findings: The first pertains to sprint reviews, the second to unreported AERs, and the third to cost tracking for big rocks. Finding 34 related to sprint reviews and system demonstrations was closed, as BHA is satisfied with their current approach of conducting ad-hoc demos rather than regimented end-of-sprint demos and has acknowledged and accepted this risk. Additionally, IV&V closed finding 49 regarding multiple AERs for a single episode and false positives, as the project confirmed that claims are currently being attributed to unreported AERs. Lastly, finding 45 related to cost tracking, federal financial participation allotments, and claims management were closed, as the project does not have control over the Med-QUEST Division (MQD) processes.

Executive Summary

Dec	Jan	Feb	Category	IV&V Observations
Y	Y	Y	**Sprint Planning**	IV&V has closed the finding related to sprint reviews and system demonstrations as BHA is satisfied with their current approach of conducting ad-hoc demos rather than regimented end-of-sprint demos. They have acknowledged and accepted this risk. BHA plans to schedule other backlog review meetings and will notify IV&V accordingly. While some meetings have already occurred, a consistent backlog review schedule is still being established. Efforts are also underway to improve the backlog review process. Regular meetings and process enhancements will help ensure alignment, facilitate timely issue resolution, and keep the project moving forward efficiently.
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 this reporting period. IV&V will continue to monitor the US development and validation process in upcoming reporting periods.
Y	Y	Y	**Test Practice Validation**	The project is making progress toward addressing the previously reported regression testing challenges and is preparing to bring on board an automated regression testing tool (Tosca) expert.

Executive Summary

Dec	Jan	Feb	Category	IV&V Observations
Y	Y	Y	**Release / Deployment Planning**	The R4.9 deployment defect remains unresolved. R4.10 was deployed on 2/6/2025, with a critical defect reported the same day, leading to a hotfix on 2/7/2025. Since then, five additional production defects have been logged, with Root Cause Analysis (RCA) still pending. The AER solution went live on 2/21/2025 alongside a Mid-Sprint Deployment (MSD) with two new items. The R4.11 go-live is scheduled for 4/3/2025. IV&V will continue monitoring the deployment quality of R4.10, Fast Healthcare Interoperability Resources (FHIR), any MSDs, and the AER solution.

Executive Summary

Dec	Jan	Feb	Category	IV&V Observations
G	G	G	**On-The-Job-Training (OJT) and Knowledge Transfer (KT) Sessions**	This category remains Green (low criticality) for the February reporting period with no active findings.
G	G	G	**Targeted KT**	This category remains Green (low criticality) for the February reporting period. IV&V will continue to monitor.
G	G	G	**Project Performance Metrics**	There are no project performance metrics to report for the February reporting period. IV&V will keep this category's criticality rating Green (low criticality) and will continue to monitor.
G	G	G	**Organizational Maturity Assessment (OMA)**	This category remains Green (low criticality) for the February reporting period. There are no outstanding findings in this category, and IV&V will continue to monitor.

Executive Summary

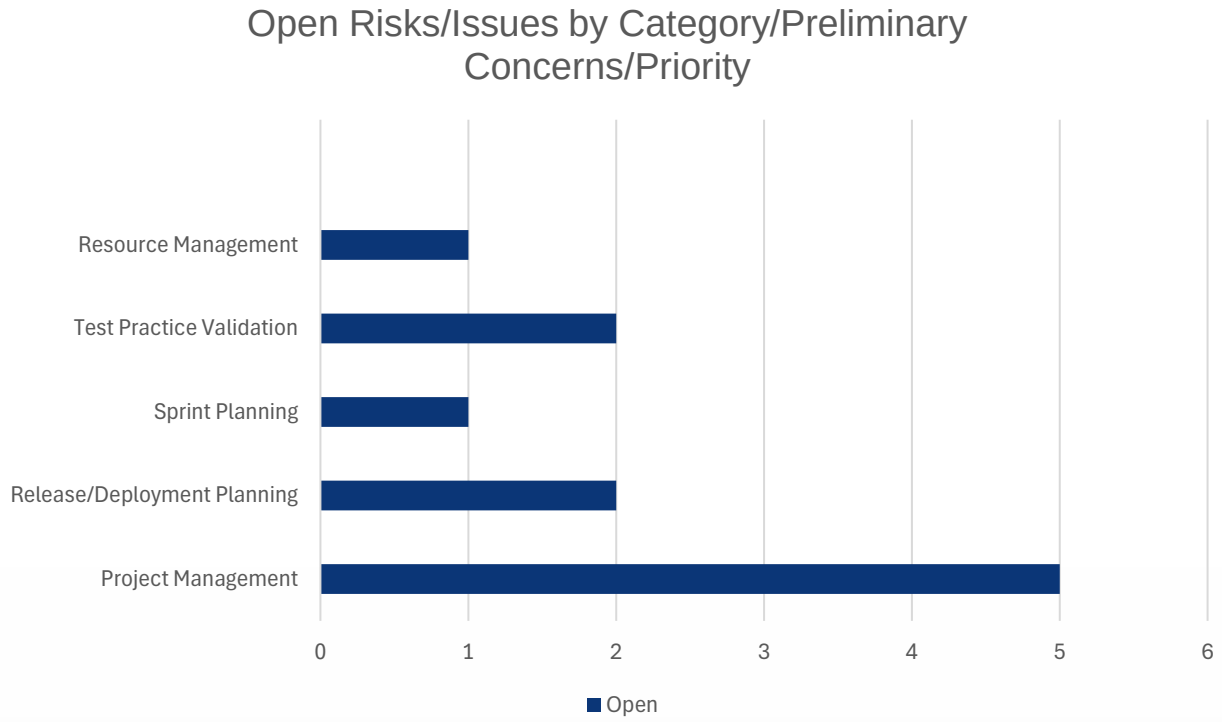
Dec	Jan	Feb	Category	IV&V Observations
Y	Y	Y	**Project Management**	The new Adverse Event Reporting functionality went live this month, receiving positive feedback from users regarding its usability and the training provided by the SI. The previously reported ambiguity regarding contractual terms and conditions related to defect charges has been resolved and clarified. Defects will only incur charges if they are not identified during joint testing. IV&V continues to recommend strengthened testing measures to ensure defects are identified during joint testing.

Executive Summary

Dec	Jan	Feb	Category	IV&V Observations
Y	Y	Y	**Resource Management**	The addition of the Tosca SME should also help to address the previously reported BHA resource constraints. BHA is also making efforts to capture existing project team member knowledge to ensure their system, operational, and technical knowledge is not lost when members leave. They plan to utilize their existing system platform (Dynamics CRM) to establish a centralized knowledge base for capturing projects and other relevant knowledge.

Executive Summary

As of the February 2025 reporting period, Eleven (11) open findings were updated – Seven (7) Medium Issues, one (1) Medium Risks, three (3) Low Issue spread across the Release/Deployment Planning, Test Practice Validation, Sprint Planning, Project Management, Resource Management, assessment areas are currently open.



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**: A lack of regular Sprint Reviews and Sprint Demos will likely lead to misalignments between delivered work and stakeholder needs. **Finding Update:** CAMHD conducted a demo for stakeholders, receiving valuable feedback confirming the design aligned with business needs. It has been agreed that demos will be conducted on a case-by-case basis moving forward. DDD has actively involved key team members in joint testing sessions, which has ensured a more comprehensive review and provided diverse insights. This involvement helps identify potential issues early and enhances overall testing effectiveness. Additionally, DDD is assessing whether a sprint demo is necessary for the calculator functionality, but their current process is proving effective in meeting business requirements. As a result, IV&V has closed the risk.	Closed

Recommendations	Status
According to Agile Best Practices, IV&V recommends including Sprint Reviews and Demos in future releases (R4.2 and onwards). At the end of each sprint, conduct a sprint review meeting to demonstrate the completed work to stakeholders and gather feedback. Use this feedback to refine and reprioritize the product backlog. For a two-month sprint, IV&V recommends having more than one (1) demo during the sprint.	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
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 plans. This will enhance stakeholder engagement and project transparency.	In Progress
Institute a structured documentation process for Sprint Reviews and Sprint Demos. 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:** The absence of separate dedicated product backlog review meetings can lead to unclear priorities, misalignment with stakeholders, inadequate refinement, and an increased risk of scope creep. **Finding Update**: BHA plans to schedule other backlog review meetings and will notify IV&V accordingly. While some meetings have already taken place, a consistent backlog review schedule is still being established. Efforts are also underway to improve the backlog review process. Regular meetings, along with process enhancements, will help ensure alignment, facilitate timely issue resolution, and keep the project moving forward efficiently.	M

Recommendations	Status
CAMHD and DDD implement a structured feedback management process with a prioritization framework to ensure that all new requests are thoroughly evaluated and aligned with project goals before being added to the backlog.	Open
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 regression testing not being consistently performed, production releases are breaking existing functionality in the production environment. **Finding Update:** Regression Testing for R4.11 is scheduled from 3/25/2025 to 4/2/2025. CAMHD will perform both manual and automated tests, while DDD will focus exclusively on manual regression testing. To support future Phase 4 releases, including R4.11 and beyond, the project will onboard a Tosca Automated Regression Testing SME, with the work set to begin on 3/10/2025. The SI has uploaded and executed one regression test case for the AER project and is preparing additional regression test scripts with estimated completion before the R4.11 go-live.	M

Recommendations	Status
To ensure effective Tosca testing, it is crucial for both divisions to align on a unified resource allocation strategy. Given the limited availability of resources, open communication and consensus-building are essential for optimizing tester utilization. By collaborating to prioritize testing efforts, share critical test cases, and identify overlapping areas, the divisions can achieve comprehensive regression testing without overburdening a single resource. This collaborative approach will balance workloads, streamline processes, and enhance test coverage, minimizing delays and bottlenecks. Ultimately, it will enable both divisions to efficiently meet their testing objectives.	Open
A balanced approach that combines manual and automated regression testing to ensure broad test coverage and flexibility.	Open

IV&V Findings & Recommendations

Test Practice Validation (cont'd)

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 Golden Record (GR) tasks.	In Progress
Pursue and complete additional formal training in Azure DevOps and Tricentis for test automation as soon as possible 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:** Insufficient testing processes can lead to poor-quality software, project delays, and extended user acceptance testing. **Finding Update:** R4.10 was deployed to production on 2/6/2025. Since the deployment of R4.10, five additional unresolved production defects have been recorded in Azure DevOps (ADO) (see Appendix E for details): two high severity, two medium severity, and one low severity—despite testing at the unit, SIT, regression, joint, and smoke testing levels. In response, the SI has committed to enhancing Smoke Test scripts to include more comprehensive testing, such as for the Provider Portal. The project plans to onboard an Automated Regression Testing Tool (Tosca) expert, with work planned to begin sometime in the month of March 2025. The project hopes to utilize this expert to repair existing Tosca scripts so they can restart automated testing efforts. User Acceptance Testing for AER functionality was completed successfully with BHA approving the AER testing deliverables. The AER solution went live on 2/21/2025.	M

Recommendations	Status
IV&V has requested an overview of the testing process, with a focus on process such as tracking test coverage and requirements traceability.	In Progress

IV&V Findings & Recommendations

Test Practice Validation (cont'd)

Recommendations	Status
IV&V has requested an overview of the testing process, with a focus on process such as tracking test coverage and requirements traceability.	In Progress
A Stakeholder Register helps identify and understand all project stakeholders, ensuring needs are met and risks are managed through effective communication. A RACI matrix clarifies roles and responsibilities, improving collaboration, decision-making, and resource management, which are all critical for the success of IT projects.	In Progress
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 (cont'd)

#	Key Findings	Criticality Rating
39	**Low Issue:** 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. **Finding Update:** The R4.9 deployment-related defect is yet to be addressed. R4.10 was deployed to production on 2/6/2025. That same day, users reported a critical defect, prompting the deployment of a hotfix with a workaround on 2/7/2025. Since the R4.10 deployment, five additional unresolved production defects have been logged in Azure DevOps (ADO): two high severity, two medium severity, and one low severity. Their Root Cause Analysis (RCA) is still pending. Additionally, the AER solution went live on 2/21/2025, and a Mid-Sprint Deployment (MSD) with two (2) new items were deployed the same day. The R4.11 go-live is scheduled for 4/3/2025. IV&V will continue to monitor the deployment quality of R4.10, FHIR, any MSDs, and the AER solution.	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

IV&V Findings & Recommendations

Release / Deployment Planning (cont'd)

Recommendations	Status
As appropriate, consult with RSM on best practices that BHA could employ to support deployment.	Open
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 assistance from the RSM Solution Architect in reviewing deployment scripts to double-check for accuracy and completeness before 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 a Root Cause Analysis (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

Release / Deployment Planning

#	Key Findings	Criticality Rating
43	**Low Issue:** Execution time for the process for updating DDD SharePoint folders was unacceptable. **Finding Update:** Further development on planned improvements to an existing process is linked to the scanning project. The SI has provided project cost and timeline information for the restart of this project and is ready to commence the project. DDD has not yet received the Governor's approval. Once approved, the scanning project will commence. IV&V has reduced the risk rating to low.	L

Recommendations	Status
IV&V recommends doing an impact analysis, e.g., downstream impact.	Open
IV&V recommends that 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

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:** R4.10 was deployed to production on 2/6/2025. That same day, users reported a critical defect, prompting the deployment of a hotfix with a workaround on 2/7/2025. Following the deployment of R4.10, the project has recorded five additional unresolved production defects: two high severity, two medium severity, and one low severity, in Azure DevOps (ADO)—(see Appendix E for details). BHA is prioritizing higher-priority tasks, which has delayed addressing these lower-priority defects, though remediation efforts are underway. Additionally, the AER solution went live on 2/21/2025, and a Mid-Sprint Deployment (MSD) with two (2) new items deployed the same day. The R4.11 go-live is scheduled for 4/3/2025. IV&V remains concerned about code quality and will continue to monitor R4.10, FHIR, any MSDs, and the AER solution.	M

Recommendations	Status
The project have discussions around utilizing tools such as SonarQube for continuous inspection of code quality and establishing a source code quality threshold to maintain high-quality, secure, and maintainable code.	Open
The project increases comprehensive testing prior to joint testing to reduce the burden on BHA testers and reduce post-production defects.	Open
The SI vendor add a "Found In" column to the daily scrum file to indicate the environment where each defect was identified.	In Progress
The SI vendor provides the total number of defects in production and reports these numbers regularly to BHA.	In Progress

IV&V Findings & Recommendations

Project Management (cont'd)

Recommendations	Status
Evaluate existing project staff skills and experience levels 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

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
33	**Low Issue:** Performance bottlenecks with the INSPIRE production environment may result in low productivity and poor user experience. **Finding Update:** Production system performance remains stable with no current issues; however, DDD has reported that test environments have significantly slowed down, a concern particularly evident during AER training. IV&V has reduced the risk rating to low.	

Recommendations	Status
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	In Progress
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
42	**Medium Issue:** Lack of effective governance and communication among stakeholders can have significant negative impacts on a project in several ways. **Finding update:** DDD clarified that, except in cases of a missed requirement, any defect found during testing incurs 0 USPs; otherwise, BHA is responsible for the cost of fixing the defect.	M

Recommendations	Status
Establish a mutual understanding of the contractual terms and conditions: BHA and the SI have discussions to align on a shared understanding of the contractual terms and conditions for the INSPIRE project.	Closed
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 Matrix, 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 proactively communicate any changes or deviations from the plan.	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	**Medium Issue:** There is a lack of stakeholder alignment on cost tracking, federal financial participation allotments, and claims management. **Finding update:**There has been no progress for this reporting period.	Closed

Recommendations	Status
IV&V recommends that stakeholders establish a structured process to ensure alignment and guide resolution.	Open

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
46	**Medium Issue:** Neglecting the established defect management process could lead to lost/forgotten defects and user frustration and could slow the resolution of similar defects in the future. **Finding Update:** A high-priority defect occurred on 2/6/2025, bringing to light an opportunity to strengthen the project's defect management process. BHA encountered some challenges that resulted in a delay in addressing the defect. In February, there were productive discussions on addressing critical defects. The SI has provided a document outlining the Help Desk process, which IV&V will review in March 2025 to further determine the risk.	M

Recommendations	Status
IV&V recommends to: 1. Send communications to the project stakeholders to clarify the defect management process and the importance of logging all defects. 2. Take steps to assure current and new users understand how to report and/or log defects. 3. Consider designating a defect management lead or champion to oversee adherence to the process and assure all defects are logged. 4. Keep stakeholders informed about defect status, priority, impacts, and resolution timelines. This could increase awareness of the importance of logging defects. 5. Discuss ways to improve the defect logging and management process with the SI and come up with a plan to improve.	Open

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
47	**Medium Issue:** The lack of a governance process for restarting production systems can impact service availability and frustrate end-users and hinder accountability. **Finding Update:** There has been no progress for this reporting period.	M

Recommendations	Status
IV&V recommends BHA 1. Develop standard procedures for system restarts, including pre-checks, step-by-step instructions, and post-restart verifications. 2. Require formal approvals before initiating a restart, especially for INSPIRE, and document all actions in a centralized system. 3. Define clear escalation paths for when restarts do not go as planned, including identifying contacts for technical support and management approval for additional interventions. 4. Automate Restart Procedures where possible. 5. The governance process is established, it should be effectively communicated to the project team. 6. Provide stakeholders with a clear explanation of the reason for the restart and the lessons learned, while documenting the restart details in the defect record.	Open

IV&V Findings & Recommendations

Project Management (cont'd)

#	Key Findings	Criticality Rating
49	**Medium Issue:** Multiple AERs for a single episode and false positives. **New Finding:** DDD informed IV&V that the SI's AER team has successfully designed and demonstrated functional, visually appealing dashboards. Phase 1 of the AER solution, focused on Case Management, has completed UAT and went live on 2/21/2025. A Mid-Sprint Deployment (MSD) on the same day introduced two new items: unreported AERs and false positives. Additionally, new requests—such as enhanced reporting for the Outcomes & Compliance Branch (OCB), Clinical Integration Team (CIT), and Community Resources Branch (CRB) on trending insights—are being designed and will be deployed in Phase 2.	Closed

IV&V Findings & Recommendations

Schedule Management

#	Key Findings	Criticality Rating
50	**Preliminary Concern:** There is uncertainty around the scheduling, trainee groupings, and access to training materials for upcoming training sessions. **New Finding:** IV&V was informed that the RSM team members had demonstrated strong troubleshooting skills. During the UAT phase, they were able to quickly diagnose issues, showcasing their efficiency in problem-solving. In the third supervisor training session, one of the trainees had trouble viewing the screen. The RSM team member addressed the issue by providing the trainee with the relevant page numbers from the training manual, ensuring they could follow along without any disruption. As the issue was resolved, we are now closing this preliminary concern.	Closed

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:** BHA is developing a succession plan to address the potential departure of key personnel and is actively working on having resources document knowledge as team members transition. This proactive approach aims to ensure continuity and preserve essential information. One example of this effort is creating a knowledge base within the Help Desk system in Dynamics, which serves as a centralized resource for troubleshooting and support processes. By documenting processes, workflows, and troubleshooting steps, BHA ensures that future staff can access the same information and continue operations smoothly, even as experienced team members move on.	M

Recommendations	Status
Utilizing peer-to-peer knowledge sharing, allowing experienced team members to informally share their expertise during team meetings. Additionally, creating internal documentation that outlines best practices and processes for developing security policies would serve as a self-service resource for the team.	Open
DDD and CAMHD have further discussions to optimize resource utilization between the two divisions.	Open
BHA should explore options for offloading project team members' daily responsibilities to other staff.	In Progress
BHA should work quickly to create new positions and receive State approval.	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 fulfill the functions for 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	**February:** R4.10 was deployed to production on 2/6/2024. AER was deployed to production on 2/21/2024 and a mid-sprint deployment with AER items followed on the same day.	Velocity Metric Trends:

Release	Planned velocity	Actual velocity	Percentage attained
R4.10	111	162	146

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 (MSD)	0	68	1
R4.4	240	225	-14
R4.5	95	76	-33
R4.6	84	103	-14
R4.7	111	50	-75
R4.8	111	107	-79
R4.9	111	71	-119
R4.10	111	162	-68

IV&V Findings & Recommendations

Project Performance Metrics (cont'd.)

Metric	Description	IV&V Observations	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	February - Velocity was estimated at 111 USPs for R4.10, 162 R4.10 USPs were promoted to production on 2/6/25 and 2/212025. 9 of the 162 USPs were for defect fixing. •94% of the USPs were associated with user stories and requests. •6%* of the total USPs were associated with defects encountered during the release effort or pulled from the defect backlog.	The defect percentage for December was 6%* which is under the target range of 20% or less of all USPs promoted to production.

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 February 2025 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. DOH BHA IT Solution Project – Steering Committee
10. US# Testing & Request Items
11. AER Analytics Bi-weekly Meeting
12. IV&V Interviews
13. INSPIRE Strategy Meeting

Artifacts reviewed during the February 2025 reporting period:

1. Daily Scrum Notes
2. Twice Weekly Issues Meeting Notes
3. Weekly BHA-ITS Program Status Report
4. Release 4.7 Release Notes

Eclipse IV&V® Base Standards and Checklists

Appendix C: Project Trends

Appendix C
Project Trends

	May	June	July	August	September	October	November	December	January	February
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	13	13	12	12	14	14	14	14	14	11
Issue - high	0	0	0	0	0	0	0	0	0	0
Issue - medium	8	8	8	8	10	10	10	10	10	7
Issue - low	1	1	1	1	1	1	1	1	1	3
Risk - high	0	0	0	0	0	0	0	0	0	0
Risk - medium	2	2	2	2	2	2	2	2	2	1
Risk - low	0	0	0	0	0	0	0	0	0	0
Preliminary Concern	2	2	1	1	2	2	2	2	2	0

Appendix D
Acronyms and Definitions

Acronyms	Definition
DOH	Department of Health
BHA	Behavioral Health Services Administration
CAMHD	Child & Adolescent Mental Health Division
FHIR	Fast Healthcare Interoperability Resources
DDI	Design Development Implementation
DDD	Developmental Disabilities Division
SI	System Integrator
USP	User Story Points
SME	Subject Matter Expert
SIT	System Integration Testing
MS	Microsoft
MSD	Mid Sprint Deployment
ADO	Azure DevOps
SLA	Service Level Agreement
RCA	Root Cause Analysis
UAT	User acceptance testing
OJT	On-the-Job Training
KT	Knowledge Transition
SFTP	Secure File Transfer Protocol
IV&V	Independent Verification and Validation
MQD	Med-QUEST Division
CMS	Centers for Medicare & Medicaid Services
AER	Adverse Events Report

Appendix E
List of Production Defects

ID	Work Item Ty	Divisi	Title	Prior	Severity	Found	Created Date
33841	Bug	DDD	Bug - Calculator 3.0 - Users able to schedule service past ISP end date again	3	3 - Medium	PROD	5/17/2023 8:22
34110	Bug	DDD	Bug - Individual Budget unlinking from Service Authorizations	2	3 - Medium	PROD	7/27/2023 15:40
34238	Bug	CAMHD	BUG - Assessment Entity Initial Save Time - IMHE	2	3 - Medium	Prod	8/17/2023 2:33
34242	Bug	DDD	Bug - Case Merge - Contact Notes not merging; Permissions error	2	3 - Medium	PROD	8/17/2023 8:44
30634	Bug	CAMHD	CAMHD Bug - Credentialing documents not copied into PROD during Data Migration	3	3 - Medium	PROD	2/16/2021 15:45
30726	Bug	DDD	Portal signature fields do not accept touchscreen input	2	3 - Medium	PROD	9/17/2021 9:07
34969	Bug	DDD	Bug - Duplicate Provider Plans	1	3 - Medium	PROD	2/23/2024 5:58
35041	Bug	DDD	Bug - Provider Portal AER Date/Time field for Treated by Ambulance/Emergency Medical Person is hidden on viewing in Edit Mode	2	3 - Medium	Prod	3/11/2024 8:47
33550	Bug	CAMHD	Bug: "Progress Notes Associated to Invoices" page not loading	3	3 - Medium	PROD	3/31/2023 17:11
35278	Bug	DDD	Bug - Cal3.0 - BiMonthly Recurrence authorization not taking into account Unit of Service	2	3 - Medium	PROD	6/3/2024 11:53
35317	Bug	DDD	DDD - Plan Services with no Provider Plan	2	3 - Medium	PROD	6/24/2024 9:06
35450	Bug	DDD	DDD - Calculator not printing correctly	2	3 - Medium	PROD	7/26/2024 8:36
36383	Bug	DDD	DDD - Calculator problem with paid base and add on	2	3 - Medium	PROD	9/26/2024 9:19
36854	Bug	DDD	DDD - Inspire - backed up ISP in the wrong place	1	3 - Medium	PROD	10/31/2024 3:13
37186	Bug	Both	Both - "On deactivation of Plan Service - deactivate related Provider Plan Service Flow" issue	1	3 - Medium	PROD	12/6/2024 9:10
37387	Bug	DDD	DDD - C3.0 - MYC New Service Details Not Appearing	2	3 - Medium	PROD	12/16/2024 8:30
37388	Bug	DDD	DDD - C3.0 - Change of Provider One Time Authorizations Not Splitting Units	2	3 - Medium	PROD	12/16/2024 8:33
37599	Bug	DDD	DDD - Provider cannot submit an AER due to duration error	2	3 - Medium	PROD	1/15/2025 10:52
37663	Bug	DDD	Data Update to Account for Missing Provider Plan Value on Plan Service	1	3 - Medium	PROD	1/23/2025 8:01
37694	Bug	DDD	DDD - TCM batch file date is different in PROD from other environments	2	3 - Medium	PROD	1/29/2025 8:25
37793	Bug	DDD	DDD - ISP Report Generation Issues	2	3 - Medium	PROD	2/10/2025 10:06
37805	Bug	Both	Both - Provider Portal Issues Opening Up Customers in PROD	1	3 - Medium	PROD	2/11/2025 7:34
37879	Bug	DDD	DDD - Provider Summary Report not displaying Customers in Provider Portal in PROD	1	3 - Medium	PROD	2/19/2025 8:14
37733	Bug	DDD	DDD - Incorrect Columns displaying on Provider Plan subgrid (Action Plan tab of ISP)	1	3 - Medium	PROD	2/5/2025 5:37
37791	Bug	DDD	DDD - CIT Referral: Create Document Location Flow Failures	2	3 - Medium	PROD	2/10/2025 9:30

Solutions that Matter

ID	Short Description	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
2	Regression testing	As a result of regression testing not being consistently performed, production releases are breaking 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 defects 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. To ensure effective Tosca testing, it is crucial for both divisions to align on a unified resource allocation strategy. Given the limited availability of resources, open communication and consensus-building are essential for optimizing tester utilization. By collaborating to prioritize testing efforts, share critical test cases, and identify overlapping areas, the divisions can achieve comprehensive regression testing without overburdening a single resource. This collaborative approach will balance workloads, streamline processes, and enhance test coverage, minimizing delays and bottlenecks. Ultimately, it will enable both divisions to efficiently meet their testing objectives. 2. A balanced approach that combines manual and automated regression testing to ensure broad test coverage and flexibility. 3. 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. 4. 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). 5. Pursue and complete additional formal training in Azure DevOps and Tricentis for test automation as soon and complete efforts to automate the two primary regression test scripts. 6. IV&V recommends DDD and CAMHD to develop a common and consistent approach across divisions for performing regression testing. 7. 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.	2/28/25 - Regression Testing for R4.11 is scheduled from 3/25/2025 to 4/2/2025. CAMHD will perform both manual and automated tests, while DDD will focus exclusively on manual regression testing. To support future Phase 4 releases, including R4.11 and beyond, the project will onboard a Tosca Automated Regression Testing SME, with the work set to begin on 3/10/2025. The SI has uploaded and executed one regression test case for the AER project and is preparing additional regression test scripts with estimated completion before the R4.11 go-live. 1/31/25 - Regression Testing for R4.10 is scheduled from 1/29/2025 to 2/5/2025. One defect (view on the DDD supervisor dashboard) has come out of regression testing. CAMHD will conduct a mix of manual and automated testing, while DDD will focus on manual regression testing. To support future Phase 4 releases beyond R4.10, the project plans to onboard a Tosca automated regression testing Subject Matter Expert (SME). The plans and timeline for Tosca automated regression testing are being reviewed, with plans to commence work on 3/1/2025. For the AER project, the SI is preparing to conduct regression testing on AER functionality. 12/31/24 - R4.9 regression testing was conducted manually from 11/25/2024 to 12/4/2024, identifying one (1) defect. However, users encountered three (3) production defects in R4.9. IV&V remains concerned about the exclusive reliance on manual regression testing, which poses risks such as inefficiencies, human error, limited test coverage, and dependency on specific testers. IV&V recommends investing in automated regression testing to enhance efficiency, reduce the burden on BHA staff, and improve product quality. For R4.10, regression testing is planned for 1/29/2025-2/5/2025, with CAMHD utilizing TOSCA for automated regression testing and DDD relying solely on manual testing. 11/30/2024 - For the 3rd consecutive release (releases 4.7 through 4.9), regression testing is being done solely manually. Relying solely on manual regression testing without any automation could introduce risks and inefficiencies such as increased time and effort that may lead to delays, human error, inconsistencies as testing outcomes can vary depending on the individual tester, limited test coverage, risk of production defects since manual testing is prone to human error and the likelihood of defects slipping through to	Test Practice Validation	Issue	Medium	Open		12/31/2019	Gautam Gulvady	
14	Code quality	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.	IV&V recommends: 1. Closer collaboration between divisions to review reported defects, ensuring a shared understanding and alignment, particularly regarding the severity and priority of production defects. 2. The project utilize tools such as SonarQube for continuous inspection of code quality and establishing a source code quality threshold to maintain high-quality, secure, and maintainable code. 3. The project increases comprehensive testing prior to joint testing to reduce the burden on BHA testers and reduce post-production defects. 4. The SI vendor add a "Found In" column to the daily scrum file to indicate the environment where each defect was identified. 5. The SI vendor provides the total number of defects in production and reports these numbers regularly to BHA. 6. The project evaluate existing project staff skills and experience level to ensure they meet BHA support requirements. 7. The project perform CAMHD revenue neutrality fiscal balance testing on a quarterly basis to ensure revenues are as expected. 8. The project assign dedicated resources to provide oversight of CAMHD Fiscal Processes. 9. The project monitor implemented improvements for effectiveness. 10. Performing an RCA in collaboration with RSM after all future release deployments for continual quality improvement. 11. BHA and RSM to collaborate on the necessary revisions to the submitted	2/28/25 - R4.10 was deployed to production on 2/6/2025. That same day, users reported a critical defect, prompting the deployment of a hotfix with a workaround on 2/7/2025. Following the deployment of R4.10, the project has recorded five additional unresolved production defects: two high severity, two medium severity, and one low severity, in Azure DevOps (ADO)—(see Appendix E for details). BHA is prioritizing higher-priority tasks, which has delayed addressing these lower-priority defects, though remediation efforts are underway. Additionally, the AER solution went live on 2/21/2025 and a Mid-Sprint Deployment (MSD) with 2 new items were deployed the same day. The R4.11 go-live is scheduled for 4/3/2025. IV&V remains concerned about code quality and will continue to monitor R4.10, FHIR, any MSDs, and the AER solution. 1/31/25 - The R4.10 go-live is scheduled for 2/6/2025. Currently, 25 unresolved production defects remain, including (refer to Appendix E for a list of unresolved production defects). The SI indicated that BHA prioritizes higher-priority tasks, delaying the resolution of lower-priority defects. Efforts are underway to address these issues. The FHIR development was completed and deployed to production on 1/29/25, with delays due to issues related to integrating with Microsoft and Apple Health. The AER solution go-live is scheduled for 2/21/2025. IV&V will continue to monitor the quality of both R4.10, FHIR, any MSDs, and the AER solution. 12/31/24 - R4.9 was deployed to production on 12/5/2024, with successful smoke testing completed on 12/6/2024. A mid-sprint deployment with two (2) user stories followed on 12/16/2024. Currently, 19 production defects remain unresolved (18 medium severity, 1 high severity) despite thorough testing. The SI stated that BHA prioritizes higher-priority tasks, leaving lower-priority defects unaddressed. The SI is working to resolve these issues, IV&V and BHA remain concerned about ongoing code quality problems and their impact on users. BHA is considering utilizing tools such as SonarQube for continuous inspection and improvement of code quality. 11/30/2024 - R4.9 is scheduled to be deployed to production on 12/5/2024. In the current production system, there exists 19 outstanding production defects (17 are classified as medium severity and 2 as high severity). These production defects arose despite testing at all levels. The SI has indicated that BHA prioritizes its work, which	Project Management	Issue	Medium	Open		9/30/2020	Gautam Gulvady	

ID	Short Description	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
31	Sprint Demos	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 Demos or reviews occur during a sprint with the development team, scrum master, and product owner and and gives all relevant stakeholders the opportunity 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 prioritize and prepare the backlog for the next Sprint. Regular Sprint Reviews and demos strengthen the collaboration between development teams and stakeholders by enhancing communication channels and validating project objectives and ensuring that sprint deliverables remain consistent with stakeholder requirements. They are 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). 1. At the end of each sprint, conduct a sprint review meeting to demonstrate the completed work to stakeholders and gather feedback. Use this feedback to refine and reprioritize the product backlog. For a 2-month sprint, IV&V recommends having more than one (1) demo during the sprint. 2. Create a stakeholder register to identify all stakeholders. List their identification, assessment, and classification. Review the register regularly to plan appropriate stakeholder engagement. 3.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. 4. Establish standardized communication protocols for both Sprint Reviews and Sprint Demos. Encourage teams to deliver concise and informative progress reports, including achievements, challenges, and plans. This will enhance stakeholder engagement and project transparency. 5. 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.	2/28/25 - CAMHD conducted a demo for stakeholders, receiving valuable feedback confirming the design aligned with business needs. It has been agreed that demos will be conducted on a case-by-case basis moving forward. DDD has actively involved key team members in joint testing sessions, which has ensured a more comprehensive review and provided diverse insights. This involvement helps identify potential issues early and enhances overall testing effectiveness. Additionally, DDD is assessing whether a sprint demo is necessary for the calculator functionality, but their current process is proving effective in meeting business requirements. As a result, IV&V has closed the risk. 1/31/25 - The Sprint Reviews and Demos are currently being conducted ad hoc. In recent discussions, the project team has proposed incorporating both the Calculator functionality and the "copy forward" functionality into the process. The SI demonstrated AER Analytics functionality in December 2024, and the demos have been valuable for DDD in validating requirements and expectations. Although DDD has worked through the requirements, some INSPIRE discrepancies have emerged during joint testing meetings. The upcoming Sprint Reviews and Demos will provide an opportunity to address these discrepancies, align expectations, and refine the approach as they move forward. The project team is actively exploring how to integrate these new functionalities into the reviews and demos to ensure a smooth and efficient process. 12/31/24 - IV&V was informed that sprint reviews and demos are currently conducted on an ad hoc basis. To improve the process, the project is planning to incorporate the demonstration of Calculator functionality into sprint reviews and demos. This would provide valuable visibility into the progress and help address ongoing issues with the calculator and provider portal, which are identified as frequent problem areas. 11/30/24 - The project has indicated that sprint reviews and demos are conducted on an ad hoc basis, depending on the completion of features. There are no regular meetings scheduled for sprint reviews. Demos are typically performed informally, often through quick conversations or screen sharing, based on the priority and readiness of the features. This informal approach to demos may result in inconsistent feedback collection and delayed issue identification, which can negatively impact the overall effectiveness of the sprint. IV&V recommends that the SI vendor establish regular sprint reviews and	Sprint Planning	Risk	Closed	Open	2/28/2025	7/26/2023	Gautam Gulvady	
33	System performance	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. 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. 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.	IV&V recommends: 1. BHA and the SI explore optimization strategies, including enhancing infrastructure and database resources, improving network connectivity, balancing and scaling load, refining the test strategy, and increasing test environment resources. 2. 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.	2/28/25 - Production system performance remains stable with no current issues; however, DDD has reported that test environments have significantly slowed down, a concern particularly evident during AER training. IV&V has reduced the risk rating to low. 1/31/25 - Microsoft completed the DDD performance test and submitted its report, showing similar results between MAX and INSPIRE. IV&V has received and reviewed the performance test report. However, the Provider Portal's performance declined as user volume increased to 500. IV&V recommends conducting performance testing at least annually to ensure system stability. 12/31/24 - Microsoft conducted performance testing for CAMHD functionality (MAX and Provider Portal) with 100, 200, and 300 users and delivered the performance report. According to the report, response times for MAX and INSPIRE remained consistent during each test. However, volumes at 300 portal users exceeded 2x the current production load, which Microsoft attributed to the portal running in trial mode. This caused degraded response times once user volume surpassed 200. Microsoft plans to conduct another round of testing after the R4.9 deployment once the portal environment is switched to production mode. Additionally, Microsoft is performing performance testing for DDD functionality and expects to deliver the results in January 2025. IV&V recommends that the project continues to prioritize completion of the testing and providing the results. 11/30/2024 -Due to BHA and Microsoft (MS) resourcing challenges, despite completing the CAMHD performance test earlier, the project decided to execute the test from the beginning for both DDD and CAMHD. MS has completed performance testing the CAMHD functionality and will conduct performance testing for the DDD-scoped items after the deployment of R4.9 to production. The estimated timeline for completion is 1–2 weeks. 10/31/24 - Microsoft is continuing performance testing of the application and will provide the results/report upon completion. After discussions with a project stakeholder, it is agreed that when Microsoft provides the report, this report will be provided to the project team and IV&V.	Project Management	Issue	Low	Open		8/18/2023	Gautam Gulvady	

ID	Short Description	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
34	Limited BHA resources	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. IV&V recommends that BHA implement a structured knowledge transfer process when key personnel retire, including cross-training and documenting critical knowledge in the Dynamics Help Desk system. Regular updates to the knowledge base will maintain its accuracy, preserve essential information, and support smooth operational continuity. 2. Utilizing peer-to-peer knowledge sharing, allowing experienced team members to informally share their expertise during team meetings. Additionally, creating internal documentation that outlines best practices and processes for developing security policies would serve as a self-service resource for the team. 3. DDD and CAMHD have further discussions to optimize resource utilization between the two divisions. 4. BHA should explore options for offloading project team members' daily responsibilities to other staff. 5. BHA should work quickly to create new positions and receive State approval. 6. 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. 7. BHA should explore the use of contractors to fulfill the functions for open project positions.	2/28/25 - BHA is developing a succession plan to address the potential departure of key personnel and is actively working on having resources document knowledge as team members transition. This proactive approach aims to ensure continuity and preserve essential information. One example of this effort is creating a knowledge base within the Help Desk system in Dynamics, which serves as a centralized resource for troubleshooting and support processes. By documenting processes, workflows, and troubleshooting steps, BHA ensures that future staff can access the same information and continue operations smoothly, even as experienced team members move on. 1/31/25 - IV&V was informed that some cross-training had been conducted, but concerns remain regarding the insufficient knowledge transfer for critical tasks. While a limited amount of knowledge transfer occurred concerning the provider portal, it was highlighted that more comprehensive cross-training is needed, particularly for the provider and customer portals. This would help reduce the risks associated with knowledge gaps and ensure continuity in operations, especially in the event of key personnel unavailability. DDD plans to onboard a Tosca Automated Regression Testing Subject Matter Expert (SME) to address the resourcing issue and improve cross-training. The plans and timeline for Tosca automated regression testing are being reviewed, with plans to commence work on 3/1/2025. 12/31/24 - IV&V is concerned that limited resources at BHA could cause project delays and affect system quality. For instance, IT staff and other departments have struggled to find time to update and create security policies, as these tasks have not been prioritized alongside their regular duties. BHA submitted requests for new positions, which the State did not approve. The hope is that filling a key position will help address this issue, allowing the new hire to take on policy drafting or free up others to focus on these critical tasks. While there are resources for specific tasks, only a few people have the necessary skills. Expanding this knowledge and responsibility across the team is a key part of their plan. 11/30/24 - IV&V remains concerned that limited BHA resources could create project delays and reduce system quality. BHA requested funding for additional project resources, however the request was not approved by the State. BHA plans to resubmit	Resource Management	Issue	Medium	Open		8/18/2023	Michael Fors	
39	Deployment process.	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 collaboration with RSM for the continued concerns surrounding environment differences. 8. 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.	deployed to production on 2/6/2025. That same day, users reported a critical defect, prompting the deployment of a hotfix with a workaround on 2/7/2025. Since the R4.10 deployment, five additional unresolved production defects have been logged in Azure DevOps (ADO): two high severity, two medium severity, and one low severity. Their Root Cause Analysis (RCA) is still pending. Additionally, the AER solution went live on 2/21/2025, and a Mid-Sprint Deployment (MSD) with two (2) new items were deployed the same day. The R4.11 go-live is scheduled for 4/3/2025. IV&V will continue to monitor the deployment quality of R4.10, FHIR, any MSDs, and the AER solution. 1/31/25 - R4.9 encountered deployment issues, prompting the creation of a defect in ADO. BHA is actively working to resolve these issues involving missing web resources and workflows. The R4.10 go-live is scheduled for 2/6/2025. The FHIR development was completed and deployed to production on 1/29/25, with delays due to issues related to integrating with Microsoft and Apple Health. The AER solution go-live is scheduled for 2/21/2025. IV&V will continue to monitor the deployment quality of R4.10, FHIR, any MSDs, and the AER solution. 12/31/24 - The Root Cause Analysis (RCA) for the medium-severity defect (addressed with a hotfix deployed on 10/24/2024) identified it as deployment-related (related to missing/removed workflows). R4.9 was deployed to production on 12/5/2024, followed by a mid-sprint deployment (MSD) with two user stories on 12/16/2024. IV&V will monitor the quality of both the R4.9 deployment and the MSD. 11/30/2024 - The Root Cause Analysis (RCA) for the medium severity defect (for which a hot fix was deployed on 10/24/24) is still pending. There were no deployments in November 2024; R4.9 is scheduled to be deployed in December 2024. IV&V will monitor the quality of the upcoming R4.9 deployment and MSDs. 10/31/24 - R4.8 was deployed to production on 10/16/24, instead of 10/3/24. This delay was caused by a Microsoft (MS) fix related to a previously raised Behavioral Health Services Administration (BHA) ticket, which introduced critical issues in the Provider Portal in the System Integration Testing (SIT) and Test 2 environments, halting testing. The SI vendor's initiative to involve the team in a root cause analysis of the Microsoft fix	Release/Deployment Planning	Issue	Low	Open		1/25/2024 - T	Gautam Gulvady	

ID	Short Description	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
40	Insufficient testing	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.	IV&V recommends that, after fixing a defect, the SI incorporate relevant test cases to validate these fixes in subsequent releases. IV&V has requested discussions on various aspects of the INSPIRE testing process with a focus on process such as tracking test coverage and requirements traceability, considering new development of Access Rules, Document management/digitization. A Stakeholder Register helps identify and understand all project stakeholders, ensuring their needs are met and risks are managed through effective communication. A RACI clarifies roles and responsibilities, improving collaboration, decision-making, and resource management, which are all critical for the success of IT projects. 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.	2/28/25 - R4.10 was deployed to production on 2/6/2025. Since the deployment of R4.10, five additional unresolved production defects have been recorded in Azure DevOps (ADO) (see Appendix E for details): two high severity, two medium severity, and one low severity—despite testing at the unit, SIT, regression, joint, and smoke testing levels. In response, the SI has committed to enhancing Smoke Test scripts to include more comprehensive testing, such as for the Provider Portal. The project plans to onboard an Automated Regression Testing Tool (Tosca) expert, with work planned to begin sometime in the month of March 2025. The project hopes to utilize this expert to repair their existing Tosca scripts so they can restart automated testing efforts. User Acceptance Testing for AER functionality was completed successfully with BHA approving the AER testing deliverables. The AER solution went live on 2/21/2025. 1/31/25 - IV&V has been requesting a walkthrough of the INSPIRE testing process since 10/2024, which the SI has not delivered. IV&V will continue discussions with BHA to ensure progress is made in advancing the SI's INSPIRE testing efforts. To support future Phase 4 releases beyond R4.10, the project plans to onboard a Tosca automated regression testing Subject Matter Expert (SME). The plans and timeline for Tosca automated regression testing are being reviewed with plans to commence work on 3/1/2025. UAT for AER functionality is complete, with the SI addressing defects identified during testing. Some AER testing deliverables, for example, test results, remain incomplete, while BHA and IV&V are reviewing other deliverables. 12/31/24 - IV&V provided a list of testing topics for the SI to address during the current DD&I phase of the project. However, the SI's response focused on the M&O phase rather than DD&I and did not reference updated documentation. BHA has communicated to the SI that the project have always been in DD&I and the project can only transition to the Maintenance and Operations (M&O) phase after CMS has certified INSPIRE/MAX. In addition to updated documentation, IV&V continues to request a walkthrough meeting to further understand the testing process. IV&V will continue discussions with BHA to ensure progress is made in advancing the SI's testing efforts. 11/30/2024 - IV&V has identified specific testing areas to discuss with the appropriate	Test Practice Validation	Issue	Medium	Open		1/31/2024	Gautam Gulvady	
41	Backlog meetings	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. 8. Updating Documentation: Any updates or changes made during the review should be documented to ensure transparency and visibility for all stakeholders. 9. Feedback Loop: The review often generates feedback that can be used to improve the backlog management process or refine future backlog items. 10. Sprint Planning Preparation: The outcomes of the product backlog review help inform the upcoming sprint planning meeting, where the team selects items from the backlog to work on	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).	2/28/25 - BHA plans to schedule other backlog review meetings and will notify IV&V accordingly. While some meetings have already occurred, a consistent backlog review schedule is still being established. Efforts are also underway to improve the backlog review process. Regular meetings and process enhancements will help ensure alignment, facilitate timely issue resolution, and keep the project moving forward efficiently. 1/31/25 - BHA remains satisfied with the backlog prioritization. However, CAMHD, having conducted surveys and user group interviews in 2019 and 2020, is concerned that gathering feedback from a broader user base might lead to additional requests without proper prioritization. DDD mentioned that the next product backlog meeting is scheduled for Monday, 2/2/2025, due to current team availability and ongoing commitments. Additionally, IV&V will be invited to attend these backlog meetings. 12/31/24 -IV&V observed two CAMHD backlog prioritization meetings and will continue to monitor the process regularly. While CAMHD and DDD are generally satisfied with the backlog prioritization, there are areas for improvement, particularly in balancing input from a broader user base and ensuring that federal compliance and performance-related features are given appropriate attention in the backlog. By refining these aspects, both teams can improve the backlog prioritization process. 11/30/24 - The DDD team has scheduled a meeting for this month (November) to review the product backlog. During this session, the team will assess the current backlog items, prioritize them according to business value and urgency, and ensure they align with the overall project goals. BHA plans to invite the IV&V team to participate in the backlog review meetings. 10/31/24 - It has been confirmed that CAMHD holds bi-weekly product backlog review meetings to review and adapt the product backlog. DDD communicated that they conduct collaborative reviews as needed and is yet to adopt regular dedicated product backlog review meetings. IV&V recommends that DDD establish regular product backlog review sessions to ensure consistent alignment with project goals and prioritize tasks effectively.	Sprint Planning	Risk	Medium	Open		1/26/2024	Gautam Gulvady	

ID	Short Description	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
42	Governance	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. BHA and the SI have discussions to align on a shared understanding of the contractual terms and conditions for the INSPIRE project. 2. 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. 3. 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. 4. 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. 5. 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. 6. 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	2/28/25 - DDD clarified that, except in cases of a missed requirement, any defect found during testing incurs 0 USPs; otherwise, BHA is responsible for the cost of fixing the defect. 1/31/25—The SI's response is that the project is in a staff augmentation phase, and BHA now owns the project and decides where the SI puts its effort. 12/31/24 - Recent discussions between BHA and the SI during this reporting period indicate that BHA is utilizing additional User Story Points (USPs) to investigate and resolve defects from recent releases, such as R4.8. Based on earlier discussions with BHA, IV&V understands that a warranty period applies to such defects, meaning the vendor should not charge BHA additional costs for their resolution. However, the SI has stated that there is no warranty period. IV&V and BHA will review the contractual terms and continue discussions in January 2025. The ultimate goal of this discussion is that all stakeholders have a common understanding of the current contractual terms & conditions governing defect fixing and how defect fixing will be addressed in the future. 11/30/24 - IV&V is unaware of the progress towards mitigating this risk. 10/31/24 - The lack of productive communication between DDD and CAMHD could lead to misunderstandings, confusion, unclear project priorities, and ultimately project delays. BHA is considering developing a documented governance process for restarting production systems. The project is considering various options for tracking cost of features that require a significant level of effort (project refers to these as "Big Rock" features). 9/30/24 - There remain some communication challenges between stakeholders on project aspects such as defect tracking and reporting, and tracking and monitoring costs related to Big Rock functionalities. IV&V recommends project teams maintain collaboration and information sharing across stakeholder groups to ensure shared understanding in key project areas. 8/31/2024 - There remain some communication challenges between stakeholders on	Project Management	Issue	Medium	Open		2/29/2024	Gautam Gulvady	
43	SharePoint folder performance.	The process of updating DDD SharePoint folders took longer than anticipated.	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.	2/28/25 - Further development on planned improvements to an existing process is linked to the scanning project. The SI has provided project cost and timeline information for the restart of this project and is ready to commence the project. DDD has not yet received the Governor's approval. Once approved, the scanning project will commence. IV&V has reduced the risk rating to low. 1/31/25 - DDD is working to confirm final approvals to allow the digitization initiative to move forward with the SI, and the project may restart in Spring 2025. Meanwhile, DDD has paused further development on planned improvements to an existing process, which previously took approximately 15 days to complete, as the current SharePoint site cannot handle the anticipated volume of 2.5 million digitized documents without a redesign of its hierarchy. 12/31/24 - DDD is working with stakeholders to determine the direction and next steps on the digitization initiative. 11/30/2024 – BHA plans to launch an initiative to digitize approximately 2.5 million paper documents as part of a broader effort to transition to a paperless system. While the SI has been working on enhancing the existing process which previously required around 15 days to complete, the current SharePoint site cannot accommodate the anticipated volume without a redesign of the SharePoint hierarchy. Considering the low frequency of the process (only once or twice per year) and the challenges posed by the SharePoint limitations, DDD has decided to pause further development on these improvements. However, if DDD encounters difficulties in executing the existing process, it will reevaluate the need for these enhancements. 10/31/24 - Development of the design improvements to create and rename folders for all existing customers in their SharePoint subsite will begin as higher priority user stories have been completed and a SharePoint resource becomes available. The new design will utilize PowerShell scripts, which are expected to be more efficient than the previously used Power Automate solution, which had slower-than-anticipated processing times. 9/30/24 - The development of the improvements will commence once a SharePoint	Release/Deployment Planning	Issue	Low	Open		4/30/2024	Gautam Gulvady	

ID	Short Description	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
45	Cost tracking for big rocks	There is a lack of stakeholder alignment on cost tracking, federal financial participation allotments, and claims management.	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?"	IV&V recommends that stakeholders establish a structured process to ensure alignment and guide resolution.	2/28/25 - There has been no progress for this reporting period. Since BHA has no control over MQD's processes. IV&V is closing this risk for February 2025. 1/31/25 - Discussions between IV&V, BHA, and Med-QUEST continue to address challenges in tracking federal financial participation allotments and managing claims submissions. Efforts are underway to define a structured process to guide resolution. 12/31/24 -BHA has escalated Med-QUEST's ongoing challenges with tracking federal financial participation allotments and managing its claims submission process to the appropriate personnel. The deployment of Fast Healthcare Interoperability Resources (FHIR) has been postponed, with a new target date of January 2025. IV&V remains concerned that scope creep in FHIR development could delay the implementation of other system features, potentially impacting system performance, reducing user productivity, and increasing user frustration. PCG, BHA, and Med-QUEST are having ongoing discussions to resolve Med-QUEST's challenges with tracking federal financial participation allotments and managing its claims submission process. 11/30/2024 - During earlier discussions between BHA and IV&V, DDD emphasized the importance of tracking costs for major functionalities like the Provider Portal and FHIR. In September 2024, IV&V proposed options for cost tracking, including the use of Tags in Azure DevOps (ADO). BHA stakeholders suggested similar straightforward methods, aligning with IV&V's recommendation. Since BHA is currently satisfied with the system integrator's (SI) adherence to the allocated budget for key functionalities, BHA does not consider this as a risk. However, BHA has raised significant concerns about Med-QUEST's ongoing inability to track federal financial participation allotments and its claims submission process, issues that have persisted since the project's inception. These deficiencies require considerable time to make corrections and may require additional funding. Despite previous assurances of procedural improvements, the problem remains unresolved. 10/31/24 - Discussions about the options are ongoing. These options also enable tracking the allocation of a release's fixed number of User Story Points (USPs) across various categories or buckets by utilizing tags in Azure DevOps (ADO). IV&V is concerned that the	Project Management	Issue	Medium	Closed	2/28/2025	5/25/2024	Gautam Gulvady	
46	Defect management.	Neglecting the established defect management process could lead to lost/forgotten defects, user frustration, and could slow resolution of similar defects in the future.		IV&V recommends to: 1. The project records the history of a defect's severity in the corresponding ticket's description/notes section in ADO. For example, when a hotfix is deployed to mitigate a defect initially classified as "Critical," the description/notes section should document that the defect originally had a "Critical" severity rating. 2. Based on Best Practice wipdating the defect management documentation and having regular refresher training on the defect management process. 2. Send communications to the project stakeholders to clarify the defect management process and the importance of logging all defects. 3. Take steps to assure current and new users understand how to report and/or log defects. 4. Consider designating a defect management lead or champion to oversee adherence to the process and assure all defects are logged. 5. Keep stakeholders informed about defect status, priority, impacts, and resolution timelines. This could increase awareness of the importance of logging defects. 6. Discuss ways to improve the defect logging and management process with the SI and come up with a plan to improve.	2/28/25 - A high-priority defect occurred on 2/6/2025, bringing to light an opportunity to strengthen the project's defect management process. BHA encountered some challenges that resulted in a delay in addressing the defect. In February, there were productive discussions on addressing critical defects. The SI has provided a document outlining the Help Desk process, which IV&V will review in March 2025 to further determine the risk. 1/31/25 - During this reporting period, there continues to be a delay in creating tickets in Azure DevOps (ADO) for defects. IV&V remains concerned about the project's deviation from the Defect Management process. IV&V, BHA and the SI will continue discussions to identify process gaps and determine next steps. 12/31/24 - During this reporting period, users encountered production issues related to the Calculator, including an inability to view active cases and resolved cases. However, the corresponding tickets were not promptly created in Azure DevOps (ADO). IV&V remains concerned about the project's non-adherence to the Defect Management process. IV&V and BHA will continue discussions to identify process gaps and determine next steps. 11/30/2024 - In recent meetings with DDD and CAMHD, IV&V discussed the issue of some defects reported to the Helpdesk via phone or other channels not being logged or addressed. DDD noted that staff find the process of logging such defects cumbersome. However, DDD leadership has emphasized that all defects must be logged. IV&V and BHA to continue these discussions to determine process gaps and the next steps. 10/31/24 - DOH leadership continues to express concerns that not all defects are being logged.	Project Management	Issue	Medium	Open		9/30/2024	Gautam Gulvady	
47	Production restarts.	The lack of a governance process for restarting production systems can impact service availability and frustrate end-users and hinder accountability.		IV&V recommends BHA 1. Develop standard procedures for system restarts, including a checklist to determine when a restart is necessary, pre-checks, step-by-step instructions, and post-restart verifications. 2. Require formal approvals before initiating a restart, especially for INSPIRE, and document all actions in a centralized system. 3. Define clear escalation paths for when restarts do not go as planned, including identifying contacts for technical support and management approval for additional interventions. 4. Automate Restart Procedures where possible. 5. The governance process is established, it should be effectively communicated to the project team. 6. Provide stakeholders with a clear explanation of the reason for the restart and the lessons learned, while documenting the restart details in the defect record.	2/28/25 - There has been no progress for this reporting period. 1/31/25 - When an issue requiring a production Portal restart occurred only once, certain project stakeholders convened to discuss and implement the necessary steps. IV&V recommends documenting the actions taken during that meeting as part of the process for production system restarts. Documenting processes and procedures removes ambiguity and ensures a common understanding among stakeholders. 12/31/24 - BHA suggested that the deployment team or the Help Desk team may be best suited to document the process. IV&V remains concerned that no further progress has been made and will continue to make recommendations on how BHA could resolve this issue and be prepared for a production restart. 11/30/24 - No progress has been made for this reporting period. 10/31/24 - BHA is considering developing a documented governance process for restarting production systems.	Project Management	Issue	Medium	Open		9/30/2024	Gautam Gulvady	

ID	Short Description	Finding Statement	Analysis and Significance	Recommendation	Finding Update	Category	Type	Priority	Status	Closed Date	Identified Date	Owner	
49	Unreported AERs and false positives.	Multiple AERs for a single episode and unresolved false positives could hinder CaseManager's ability to resolve unreported AERs.	SI has yet to demonstrate that multiple AERs are not created for a single episode and that an AER record should match an unreported AER record. These concerns arise from the use of claims data to identify unreported AERs and to address false positives - events initially flagged as adverse but later determined not to be. If left unresolved, these issues could hinder the Case Managers' ability to effectively resolve unreported false positives. As Case Managers create AERs for unreported AERs, the number of unreported AERs should decrease. Currently, the solution tracks reported and unreported AERs but currently there is no way to simultaneously reduce unreported AERs and increase reported AERs.	IV&V recommends that the SI vendor validate the logic to address BHA's concerns.	2/28/25 - DDD informed IV&V that the SI's AER team has successfully designed and demonstrated functional, visually appealing dashboards. Phase 1 of the AER solution, focused on Case Management, has completed UAT and went live on 2/21/2025. A Mid-Sprint Deployment (MSD) on the same day introduced two new items: unreported AERs and false positives. Additionally, new requests—such as enhanced reporting for the Outcomes & Compliance Branch (OCB), Clinical Integration Team (CIT), and Community Resources Branch (CRB) on trending insights—are being designed and will be deployed in Phase 2. IV&V has closed this finding because DDD confirmed that currently the claims are getting attributed to an unreported AER, and DDD is satisfied with how it works. 1/31/25 - : The vendor has built the AER solution in accordance with project requirements and is actively working toward its completion. DDD has informed IV&V that	Project Management	Issue	Medium	Closed	2/28/2025	12/17/2024	Gautam Gulvady	
50	Training Materials	There is uncertainty around the scheduling, trainee groupings, and access to training materials for the upcoming sessions.	BHA has requested the SI for a complete updated AER project schedule which is yet to be delivered. It is essential for the project team to review training materials in advance to ensure they are properly aligned with the distinct needs of each trainee group. Given the differences in the users' dashboards, users will not be trained together, necessitating the reservation of specific times for each group. Furthermore, the SI vendor is prepared to engage in discussions and provide a preview of the materials that have already been developed. This preview will be valuable for refining content, ensuring it is relevant, and confirming that the materials meet the requirements of each user group.		2/28/25 - IV&V was informed that the RSM team members had demonstrated strong troubleshooting skills. During the UAT phase, they were able to quickly diagnose issues, showcasing their efficiency in problem-solving. In the third supervisor training session, one of the trainees had trouble viewing the screen. The RSM team member addressed the issue by providing the trainee with the relevant page numbers from the training manual, ensuring they could follow along without any disruption. As the issue was resolved, we are now closing this preliminary concern.	Schedule Management	Preliminary Concern		Closed	2/28/2025	1/31/2025	Susmitha Rajan	