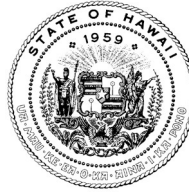


DAVID Y. IGE
GOVERNOR



DEPT. COMM. NO. 455
DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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May 15, 2019

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

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

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

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

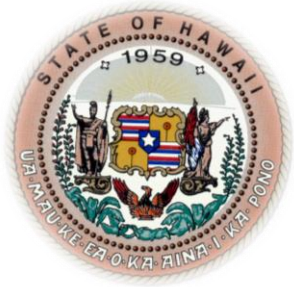
In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

Sincerely,

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

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (2)



Hawaii Department of Human Services Systems Modernization Project

Final IV&V Monthly Status Report
for Reporting Period: April 1 - 30, 2019

Final submitted: May 7, 2019

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
- [IV&V Engagement Status](#)
- [Appendices](#)
 - [A – IV&V Criticality Ratings](#)
 - [B – Risk Identification Report](#)
 - [C – Acronyms and Glossary](#)
 - [D – Background Information](#)



Executive Summary

Executive Summary



While IV&V again saw improvements made by the ASI in April 2019 in the quality of its Project Management activities and artifacts, the Project Management Plan (PMP) and Project Schedule are still not approved (the ASI's response to IV&V and DHS comments is pending) and JADs remain on hold. Additionally, perceptions regarding the Project's productivity and ability to meet DHS' expectations on the subject of quality persist. Due to this, IV&V maintains that the Project Management category remains at a High criticality rating.

IV&V continues to assess the Configuration and Development category at a Medium criticality rating. DHS and IV&V submitted comments to the ASI on the DDI Plan and Technology Environments Specifications deliverable, both of which are currently under revision. Additionally, DHS and the ASI continue to work towards resolution regarding the number of Siebel instances, utilizing Liferay vs Adobe for the portal, and DD&I environments setup.

During the April reporting period, IV&V retired one risk, while two new risks were opened.

Feb	Mar	Apr	Category	IV&V Observations
H	H	H	Project Management	<p>During the April reporting period, IV&V noted further improvement in this category. The ASI submitted another iteration of the PMP and two updated versions of the Project Schedule, each iteration showing improvement over the last.</p> <p>IV&V is encouraged by the improved quality of the ASI's status reporting. More effective processes have been adopted for reporting on risks, issues, and action items. In addition, reporting is provided in greater detail, resulting in a more collaborative and productive meeting between the ASI and DHS.</p> <p>Despite the progress noted above, the project still has not received DHS approval on the above-mentioned critical project management plans and activities, key project CRs have not been resolved, and JADs remain on hold. While IV&V continues to rate the Project Management category at a High criticality for the April reporting period, based on progress observed over the last month we are hopeful that this criticality rating can be reduced in the next reporting report.</p>

Continued on following page

Executive Summary (cont.)



Feb	Mar	Apr	Category	IV&V Observations
M	M	M	Configuration and Development	<p>The Configuration and Development category findings remain centered on the ASI and DHS resolving key outstanding Change Requests regarding the number of Siebel instances, the ASI setting up cloud DD&I environments, and the project's shift from Liferay to Adobe portal. IV&V is aware that discussions are ongoing on all of these topics, however, details provided on the SharePoint site and in the CCB meetings are somewhat limited, and final decisions have not been made. IV&V was informed that the Siebel instances CR is on hold, but will continue to work to acquire more information on the proposed approach going forward. Additionally, the ASI continues work to update and address concerns around details provided in, and the quality of, the DDI Plan and the Technology Environments Specifications deliverable, both of which IV&V and DHS commented on in April.</p> <p>IV&V maintains that the Configuration and Development category continues to be rated at a Medium criticality for the April reporting period.</p>

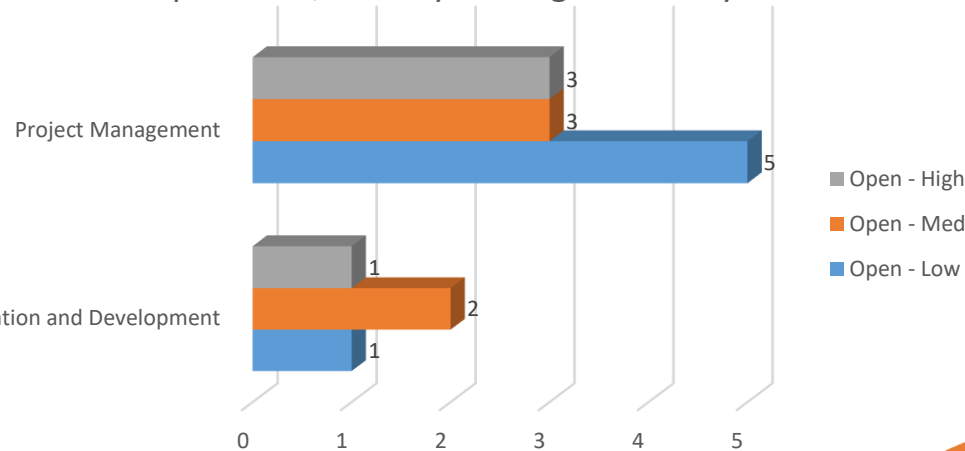
IV&V Findings and Recommendations

IV&V Findings and Recommendations

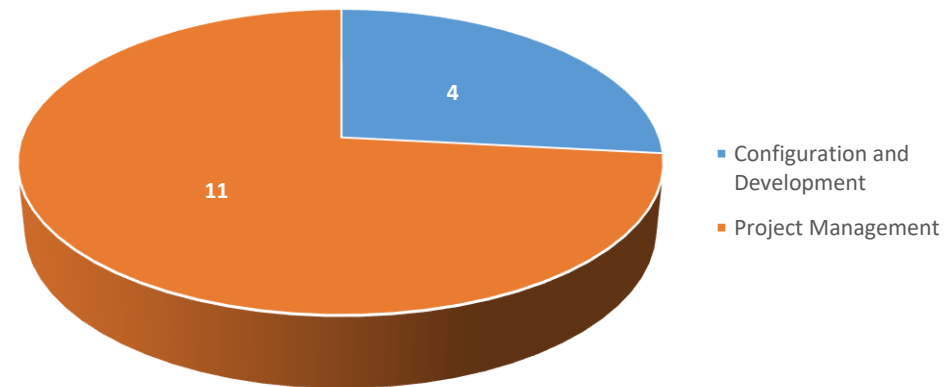


As of this reporting period, PCG has identified a total of 15 open findings (2 issues, 13 risks,), 6 retired findings, and 3 open concerns. Of the open risks and issues, 11 are related to Project Management and 4 are related to Configuration and Development. 2 new risks were opened during the March reporting period, while 1 risk was closed. The following figures provide a breakdown of our open risks and issues by priority and category.

Open Risks/Issue by Findings & Priority



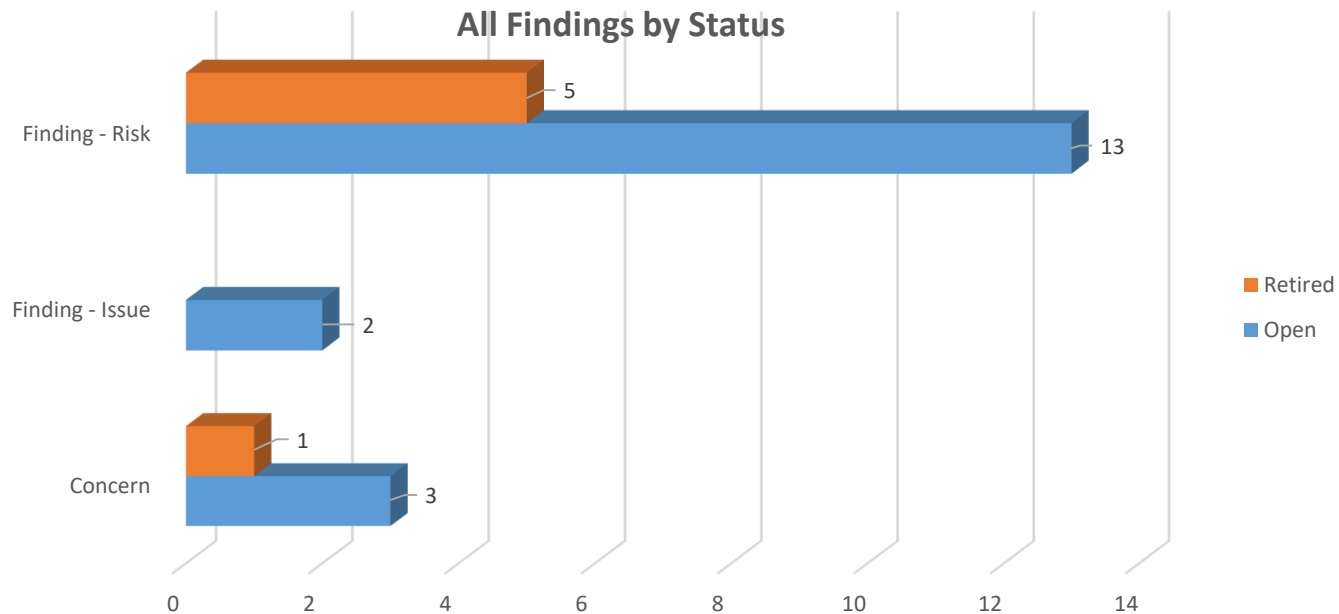
Open Risks/Issues by Category



IV&V Findings and Recommendations



The following figure provides a breakdown of all IV&V findings (risks, issues, concerns) by status (open, retired).



IV&V Findings and Recommendations



New Findings Opened During the Reporting Period

#	Finding	Category
24	Insufficient utilization of modern productivity tools (e.g. SharePoint)	Project Management
23	Lack of overall productivity since project inception.	Project Management

IV&V Findings and Recommendations



Findings Closed During the Reporting Period

#	Finding	Category
7	The Change Management Process is not fully documented and approved, which could delay Change Requests and affect scope, schedule, cost, and quality.	Project Management

IV&V Findings and Recommendations




Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
22	Lack of a dedicated ASI Quality Assurance Team is resulting in extended deliverable reviews	Project Management
20	The Change Request decision process is inordinately slow, which may delay the project schedule	Project Management
18	Failure to identify project issues (i.e., follow-up/research activities) may result in the development of the application that does not meet the Project goals, objectives and requirements.	Project Management

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
1	<p>Risk – Current project management techniques in the JAR and JAD sessions may negatively impact system design. Unisys and DHS continue to meet to discuss the JAD templates, and progress has been made. DHS plans to review the latest version of the templates the week of April 29, 2019. Until these templates are approved, JADs will remain on hold, while the MDM and Technical Workgroups continue to meet weekly. IVV will continue to monitor this risk in May, and will review the updated JAD templates as they are made available.</p> <p>The risk remains a Medium priority for the April 2019 reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Implement project management best practices and identify opportunities to improve meeting management techniques. Publish/post missing JAR/JAD session notes on SharePoint, and moving forward, publish notes within a reasonable period of time (e.g., 24 hrs) after completion of any given session.	In Process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
2	<p>Risk – Late Delivery of project deliverables may result in schedule delays. The PMP and Project Schedule continue to be updated based on comments from BES/PMO and IVV. IVV will review and assess the approved schedule (when available) to determine if there is an impact to the overall project schedule due to the activity/task delays experienced by the project to-date.</p> <p>The risk remains at a High priority for the April 2019 reporting period, pending review and analysis of the finalized Project Schedule.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Review the project schedule to capture and discuss the late deliverables and delivery thereof; complete the Project Management Plan and deliver it for review to DHS and IV&V for review; attain approval of the PMP.	In Process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
3	<p>Risk – Project Status Reporting does not meet with expectations or Best Practices for presenting status updates of schedule, cost, scope, risks, issues, and change management, which may inhibit effective project management and limit project transparency. Over the last two weeks in April, the ASI has incorporated several improvements to project status reporting, in terms of both structure and provided content. As a result, IVV has noted significantly increased participation from DHS based on the improved status details provided by the ASI.</p> <p>IVV is encouraged by the progress seen in the April 2019 reporting period, but maintains that this remains a Medium risk to the project and will continue to monitor this finding to verify that the changes made thus far continue, and that the status reports and meetings continue to improve.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Meet jointly (DHS, the ASI, and IV&V) to determine revisions to the Project Status Report that would meet the needs of reporting on all active tasks and activities, and eliminate redundancy between the data contained in the Project Status Reports and SharePoint logs.	In Process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
5	Risk – The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding. CMS indicated to the BES/PMO this month that the MEELC process may be optional. IVV will keep this risk open until there is clarity from the BES/PMO regarding the identification of any CMS requirements to secure the funding for the KOLEA Enhancements. The priority of this risk was changed to low in the April 2019 reporting period, based on this information from CMS.	

Recommendations	Progress
<ul style="list-style-type: none">Continue dialogue with CMS regarding the project's options approach to the PPU, IAPDU, and confirm that the MEELC process in general is not required to be followed.	In Process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
9	<p>Risk – BESSD leads and/or teams have not been assigned to the Project, which negatively impacts the schedule and workload. DHS has indicated that their newly hired Business Analyst will be responsible for assisting with updating/reviewing the RTM. DHS and the ASI are currently leveraging weekly meetings (Thursdays) to collaborate on JAD session templates. While DHS leads may be in place and each workgroup has been assigned a DHS and ASI co-lead, it is unclear if the co-leads are effectively communicating and/or collaborating. For example, DHS has indicated that the ASI may not be collaborating with DHS leads to develop workgroup session agendas. This could lead to session content that is unexpected or not well thought through, and ultimately result in project team frustration.</p> <p>IVV maintains that this is a Medium risk to the project for the April 2019 reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Identify high-priority areas where BESSD Leads are needed and obtain executive level support to reallocate BESSD staff to the project soon as possible. Re-assess the need for support throughout the project life cycle to ensure that the appropriate subject matter experts are available as required.	In Process

IV&V Findings and Recommendations



H Project Management


#	Key Findings	Criticality Rating
14	<p>Risk – The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions. During this reporting period, the ASI and DHS agreed upon a process for Decision Management. Nested directories will be utilized in the SharePoint Decision Log to differentiate the varying levels of decisions attained for the project. IVV will continue to monitor this risk in the May to ensure that the revised approach and new process is successful, repeatable, and meets the Decision Management needs of the project.</p> <p>IV&V maintains this is a Low risk to the project in the April 2019 reporting period.</p>	
15	<p>Risk – The Decision Log lacks data elements needed for tracking and reporting on key Project Decisions, which may hamper discovery of decisions. The ASI and DHS have come to agreement as to what elements will be used. IVV will continue to monitor this risk in May to ensure that the SharePoint Decision Log data elements mirror the needs of the revised Decision Management process.</p> <p>IV&V maintains this is a Low risk to the project in the April 2019 reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> DHS, the ASI, and IV&V meet to determine the parameters that will be used to identify the level and types of decisions that will be entered in the log. This information should then be recorded in the Project Management Plan, Communications Plan, or other appropriate document/artifact. 	In Process
<ul style="list-style-type: none"> DHS, the ASI, and IV&V meet to determine all elements needed to support the Decision Log and associated processes. Following that activity, IV&V recommends that the DHS SharePoint Decisions log is updated to reflect all agreed-to needed elements and decisions. 	In Process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
17	<p>Risk – The Project may experience the situation where several deliverables may be presented to DHS for review and approval within a short period of time, which may cause schedule delays. A revised draft of the schedule was published on April 12, 2019 and has still not been approved. IVV plans to review and analyze the revised schedule before taking any further action on this finding. The ASI is also working with BES/PMO to identify deliverable review/approval process changes to streamline the process. As many of the up-front deliverables have been approved, IVV dropped the priority of this risk from Medium to Low in the April 2019 reporting period. IVV will continue to monitor this risk.</p>	

Recommendations	Progress
<p>Options to mitigate the risk include:</p> <ul style="list-style-type: none"> • Prioritizing the deliverables to identify those that should be reviewed first based on the criteria of schedule impact and/or cross-deliverable integration; • Review of interim drafts; • Addition of DHS resources to review/approve deliverables; • Addition of DHS review time for the larger deliverables; and/or • Adopt an option of 'conditional' approval with specific criteria that must be met to achieve final approval. 	<p>In Process</p>

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
19	<p>Issue - The lack of an approved, baselined project schedule obscures the ability of stakeholders to accurately measure project progress and/or impacts to the schedule. The ASI submitted two draft revisions of the schedule in April, showing marked improvement from previous months. IVV provided DCF comments to DHS and the ASI, and recommended actionable steps towards obtaining a schedule that is thorough, logical, manageable, and maintainable prior to acceptance. IVV will continue to monitor the progress the ASI makes on developing the project schedule.</p> <p>IV&V maintains this is a High risk to the project as of the April 2019 reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Upon completion and acceptance of the project schedule, it should be used to provide information on what tasks and activities are in-flight, their status, key resources involved, and downstream dependencies, and should be reported out to DHS weekly.	In Process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
23	<p>New Risk - Lack of overall productivity since project inception. Some DHS stakeholders have expressed frustration over the perceived lack of ASI progress over the past 7 months (since project kickoff). Key project deliverables such as the project management plan (PMP), DD&I Plan, and Project Schedule are still not finalized, and JADs remain on hold. It is unclear if the ASI has accounted for or has a mitigation plan to address this perceived shortfall in productivity, or if they can assure key project milestones and dates will be met.</p> <p>Waning productivity can lead to negative impacts to project quality, schedule, budget, and resources and compromise the project's return on investment. While the ASI maintains the project end date remains unchanged, it is not clear how this can be verified given the unapproved schedule, JADs being on hold, and the number of deliverables that have been submitted and are still not approved.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI should produce, communicate, then execute a clear plan for addressing the project's productivity concerns as they relate to lack of quality, poor customer service, resourcing issues, process issues (including JADs), schedule issues, and deliverable/documentation shortcomings.	New

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
24	<p>New Risk - Insufficient utilization of modern productivity tools (e.g. SharePoint). The ASI prefers to use traditional tools (e.g., Excel) as opposed to modern, more efficient productivity tools (e.g., SharePoint) that provide greater functionality and empower stronger collaboration and sharing of project information.</p> <p>Usage of modern productivity tools are typically proven effective in organizing and providing visibility to information that can increase stakeholder awareness and productivity as well as encourage project engagement. Often, stakeholders will avoid looking for information if they need to search through SharePoint document libraries and then search through multiple documents to compile information that is buried in one or more Word/Excel document.</p>	

Recommendations	Progress
<ul style="list-style-type: none">ASI should collaborate with DHS to identify a process and tools to improve ease of access to, and dissemination of information.	New

IV&V Findings and Recommendations



M Configuration and Development

#	Key Findings	Criticality Rating
10	<p>Risk – The number of instances of Siebel to be implemented for BES Project is undecided, which may impact the project schedule and project costs. During the April reporting period, the ASI has indicated that their original architecture strategy may change. Any changes to architecture strategy could significantly impact ESI and ASI responsibilities and ultimately impact the project budget. ASI has also indicated that DHS intends to defer merging to a single of Siebel instance after BES DD&I is complete. IVV will seek to validate and gather more information on this decision in the May reporting period.</p> <p>IVV maintains this is a High risk to the project as of the April 2019 reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">• Work collaboratively (DHS, ASI and ESI) to develop a long term infrastructure strategy along with 5+ year ROI, cost/benefit, license strategy, and risk proposition that includes an assessment of a single vs. dual instance assessment.• Record the decision in the Decision Log – even if the decision remains within project scope – to memorialize the outcome and alleviate the impact of the topic resurfacing later.	In Process

IV&V Findings and Recommendations



M Configuration and Development


#	Key Findings	Criticality Rating
12	Risk – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. The ASI has indicated the possibility of reducing the original cost estimate of the move from Liferay to Adobe. However, no additional details on this CR or project impact analysis (PIA) are available on the project SharePoint site. IVV will continue to monitor this risk and review details as they become available, and maintains this is a Low risk to the project in the April 2019 reporting period.	L
13	Issue – Differing ASI and ESI expectations regarding DDI environments may impact project schedule and cost. The ASI has indicated that their original environment strategy may change, and internal discussions of these changes are ongoing. These changes could significantly impact ESI and ASI responsibilities and ultimately impact the project budget. IVV recommends DHS request the ASI work quickly to solidify and vet this plan with the appropriate stakeholders as well as determine cost and schedule impacts. To date, there is still no resolution between ESI and DHS regarding the number of environments to be provisioned and the platform (on-premise vs. cloud) to be used. DHS has indicated they are waiting for the newly hired DHS Enterprise Officer to come onboard before addressing this topic further. This lack of resolution may have contributed to the ASI decision to move their development environments to the cloud, therefore, IVV has now characterized this finding as an issue.	M

Recommendations	Progress
<ul style="list-style-type: none"> Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate. 	In Process
<ul style="list-style-type: none"> ASI work with the State to reach a common understanding of the requirements for the BES DDI environments. ESI and ASI work together to formulate an environment strategy that will meet the project platform and development needs and minimize impact to the State. 	In Process

IV&V Findings and Recommendations



Configuration and Development

#	Key Findings	Criticality Rating
16	<p>Risk – Lack of clear understanding of SI DDI approach may reduce effectiveness of JARs and JADs. IVV and DHS have provided feedback on the DDI Plan and the ASI rework is ongoing. IVV recommends that the ASI provide a walkthrough of the next version of the DDI Plan.</p> <p>IVV maintains this is a Medium finding as of the April 2019 reporting period.</p>	

Recommendations	Progress
<p>PCG recommends one or more of the following to mitigate this risk:</p> <ul style="list-style-type: none">• SI provide an additional DDI approach overview session for stakeholders and allow for Q&A• SI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint• SI and DHS accelerate review, resubmission and approval of an acceptable DDI Plan DED to facilitate submission of DDI Plan deliverable• SI submit DDI Plan deliverable and make it easily available to all project stakeholders	In Process

IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Feb	Mar	Apr	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final March IV&V Monthly Status Report.
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is anticipated to be delivered at the end of May 2019 (refer to the PPU submitted to CMS).
CMS Milestone Reviews				The first CMS Milestone Review date has not yet been determined.
IV&V Staffing				
IV&V Scope				

Engagement Rating Legend		
	The engagement area is within acceptable parameters.	
		The engagement area poses a significant risk to the IV&V project quality and requires immediate attention.



- IV&V activities in April reporting period:
 - Completed – March Monthly Status Report
 - Submitted – Comments on BI-04 PMP, BI-05 Schedule, BI-06 DDI Plan, and BI-08 Technology Environments Specifications
 - Submitted – IV&V memo on project schedule improvement
 - Ongoing analysis of Medicaid Eligibility and Enrollment Toolkit (MEET) requirements applicable to BES project
 - Ongoing – Review DEDs and Deliverables for BES project
 - Ongoing – Attend ASI project meetings (see [Additional Inputs](#) pages for details)
- Planned IV&V activities for May reporting period:
 - Continued discussion and analysis of Medicaid Eligibility and Enrollment Toolkit (MEET) requirements applicable to BES project with DHS PMO and BES Project Director
 - CMS E&E IV&V Progress Report – Draft submission
 - Ongoing – Observe BES JAD and Workgroup sessions
 - Ongoing – Observe Weekly Project Status meetings
 - Ongoing – Observe bi-weekly BES Project Risk and Issue meetings
 - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
 - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-02 Project Status Report Deliverable	Weekly	
BI-04 Project Management Plan Deliverable – Base Document Re-Assessment	4/3/2019	V0.4
BI-04 Project Management Plan Deliverable – Base Document Re-Assessment	4/17/2019	V0.5
BI-04 Project Management Plan Deliverable – Budget/Cost Management Sub-Plan Re-Assessment	03/29/2019	V0.4
BI-04 Project Management Plan Deliverable – Budget/Cost Management Sub-Plan Re-Assessment	04/17/2019	V0.5
BI-04 Project Management Plan Deliverable – Resource Management Sub-Plan Re-Assessment	04/03/2019	V0.4
BI-04 Project Management Plan Deliverable – Procurement Management Sub-Plan Re-Assessment	04/04/2019	V0.4
BI-04 Project Management Plan Deliverable – Change Management Sub-Plan Re-Assessment	04/04/2019	V0.9
BI-04 Project Management Plan Deliverable – Change Management Sub-Plan Re-Assessment	04/23/2019	V0.10
BI-04 Project Management Plan Deliverable – Communication Management Sub-Plan Re-Assessment	04/04/2019	V0.4
BI-04 Project Management Plan Deliverable – Communication Management Sub-Plan Re-Assessment	04/17/2019	V0.5
BI-04 Project Management Plan Deliverable – Quality Management Sub-Plan Re-Assessment	04/03/2019	V0.4

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-04 Project Management Plan Deliverable – Quality Management Sub-Plan Re-Assessment	04/18/2019	V0.5
BI-04 Project Management Plan Deliverable – Quality Management Sub-Plan Re-Assessment	04/24/2019	V0.6
BI-04 Project Management Plan Deliverable – Risk and Issue Management Sub-Plan Re-Assessment	04/23/2019	V0.5
BI-04 Project Management Plan Deliverable – Schedule Management Sub-Plan Re-Assessment	04/03/2019	V0.3
BI-04 Project Management Plan Deliverable – Schedule Management Sub-Plan Re-Assessment	04/23/2019	V0.4
BI-04 Project Management Plan Deliverable – Scope Management Sub-Plan Re-Assessment	04/04/2019	V0.4
BI-04 Project Management Plan Deliverable – Issues and Risk Management Sub-Plan Re-Assessment	04/17/2019	V0.5
BI-05 Project Schedule Deliverable Baseline Draft	04/12/2019	N/A
BI-05 Project Schedule Deliverable Baseline Draft	04/16/2019	N/A
BI-05 Project Schedule Deliverable Baseline Draft	04/26/2019	N/A
BI-06 System DD&I Plan Preliminary Draft	03/29/2019	V0.5
BI-08 Technical Environment Specifications – CNV21	04/08/2019	V0.3

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-08 Technical Environment Specifications – DEV02B	04/08/2019	V0.3
BI-08 Technical Environment Specifications – DEV21	04/04/2019	V0.3
BI-08 Technical Environment Specifications – DRX21	04/08/2019	V0.3
BI-08 Technical Environment Specifications – PRD21	04/10/2019	V0.3
BI-08 Technical Environment Specifications – SIT21	04/10/2019	V0.3
BI-08 Technical Environment Specifications – STG21	04/10/2019	V0.3
BI-08 Technical Environment Specifications – TRN21	04/10/2019	V0.3
BI-08 Technical Environment Specifications – UAT21	04/11/2019	V0.3
BI-23 Stakeholder Analysis Report Re-Assessment	04/19/19	V0.3



Additional Inputs – Artifacts

Artifact Name	Artifact Date	Version
Use Cases for Consent Management	N/A	N/A
Functional and technical standards meeting minutes	Multiple	
BES Project Decision Log (SharePoint)	N/A	N/A
BES Risk and Issue Log (Excel)	N/A	N/A
MDM Consent and Referral Management Meeting Minutes	Multiple	
JAD Issues and Decision Process	N/A	N/A
BES RFP and Unisys BAFO	N/A	N/A
JAD Process Improvement Plan (PIP)	N/A	N/A

Additional Inputs






- **Meetings and/or Sessions Attended/Observed:**
- Project Status Meetings (April 3, April 10, April 17, April 24)
- BESSD PMO, IV&V Weekly Meeting (April 3, April 10, April 17, April 24)
- Internal PCG Team Meetings (April 8, April 16, April 22, April 29, April 29)
- Functional and Technical Standards Workgroup (April 4, April 11)
- MDM, Consent Management, Referral Management Workgroup (April 9, April 16, April 23)
- PMP DCF Review and Working Session (April 23)
- Consent Management Meeting with Oracle (April 1)
- IV&V/Unisys Findings Review (April 17)
- BI-05 Project Schedule Walkthrough (April 30)
- BI-08 Technology Specifications Environments Walkthrough (April 26)
- Enterprise Operations Committee (April 11, April 25)
- Enterprise Steering Committee (April 18)

Appendices



Appendix A – IV&V 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 evaluated and 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 – Findings Log



- The complete Findings Log for the BES Project is provided in a separate file.

Appendix C – Acronyms and Glossary



Acronym	Definition
APD	Advance Planning Document
ASI	Application System Integrator
BES	Benefits Eligibility Solution
CCWIS	Comprehensive Child Welfare Information System
CM	Configuration Management
CMMI	Capability Maturity Model Integration
CMS	Center for Medicare and Medicaid Services
CR	Change Request
DDI	Design, Development and Implementation
DED	Deliverable Expectation Document
DHS	Hawaii Department of Human Services
DLV	Deliverable
E&E	Eligibility and Enrollment
EA	Enterprise Architecture
ECM	Enterprise Content Management (FileNet and DataCap)
ESI	Enterprise System Integrator (Platform Vendor)
ETS	State of Hawaii Office of Enterprise Technology Services
FIPS	Federal Information Processing Standard
HIPAA	Health Information Portability and Accountability Act of 1996
IDM	Identity and Access Management (from KOLEA to State Hub)
IEEE	Institute of Electrical and Electronics Engineers
IES	Integrated Eligibility Solution
ITIL	Information Technology Infrastructure Library

Appendix C – Acronyms and Glossary



Acronym	Definition
IV&V	Independent Verification and Validation
KOLEA	Kauhale On-Line Eligibility Assistance
M&O	Maintenance & Operations
MEELC	Medicaid Eligibility and Enrollment Life Cycle
MEET	Medicaid Eligibility and Enrollment Toolkit
MOU	Memorandum of Understanding
MQD	Hawaii Department of Human Services MedQuest Division
NIST	National Institute of Standards and Technology
OE	Operating Environment
OIT	Department of Human Services Office of Information Technology
PIP	Performance/Process Improvement Plan
PMBOK®	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project/Program Management Office
PMP	Project Management Plan
QA	Quality Assurance
QM	Quality Management
RFP	Request for Proposal
ROM	Rough Order of Magnitude
RMP	Requirements Management Plan
RTM	Requirements Traceability Matrix
SEI	Software Engineering Institute
SLA	Service-Level Agreement
SME	Subject Matter Expert

Appendix C – Acronyms and Glossary



Acronym	Definition
SOA	Service Oriented Architecture
SOW	Statement of Work, Scope of Work
VVP	Software Verification and Validation Plan
XLC	Expedited Life Cycle

Appendix D – Background Information



Systems Modernization Project

The DHS Enterprise Program Roadmap includes contracting with three separate vendors with the following high-level scope:

- ESI or Platform Vendor – responsible for the shared technology and services required for multiple Application vendors to implement and support functionality that leverages the DHS Enterprise Platform.
- ASI or ASI Vendor – responsible for the DDI of the Benefits Eligibility Solution (BES Project) enhancing the currently implemented Medicaid E&E Solution (KOLEA) and providing support for the combined Solutions.
- CCWIS Vendor – responsible for the DDI of the CCWIS Solution to meet the needs of child welfare services and adult protective services (CCWIS Project) and providing support for the Solution.

Systems Modernization IV&V Project

IV&V performs objective assessments of the design, development/configuration and implementation (DDI) of DHS' System Modernization Projects. DHS has identified three high-risk areas where IV&V services are required:

- Transition of M&O from DHS' incumbent vendor to the ESI and ASI vendors
- BES DDI
- CCWIS DDI

On the BES DDI Project, IV&V is responsible for:

- Evaluating efforts performed by the Project (processes, methods, activities) for consistency with federal requirements and industry best practices and standards
- Reviewing or validating the work effort performed and deliverables produced by the ASI vendor as well as that of DHS to ensure alignment with project requirements
- Anticipating project risks, monitoring project issues and risks, and recommending potential risk mitigation strategies and issue resolutions throughout the project's life cycle
- Developing and providing independent project oversight reports to DHS, ASI vendors, State of Hawaii Office of Enterprise Technology Services (ETS) and DHS' Federal partners

Appendix D – Background Information



What is Independent Verification and Validation (IV&V)?

- Oversight by an independent third party that assesses the project against industry standards to provide an unbiased view to stakeholders
- The goal of IV&V is to help the State get the solution they want based on requirements and have it built according to best practices
- IV&V helps improve design visibility and traceability and identifies (potential) problems early
- IV&V objectively identifies risks and communicates to project leadership for risk management

PCG's Eclipse IV&V® Technical Assessment Methodology

- Consists of a 4-part process made up of the following areas:
 1. **Discovery** – Discovery consists of reviewing documentation, work products and deliverables, interviewing project team members, and determining applicable standards, best practices and tools.
 2. **Research and Analysis** – Research and analysis is conducted in order to form an objective opinion.
 3. **Clarification** – Clarification from project team members is sought to ensure agreement and concurrence of facts between the State, the Vendor, and PCG.
 4. **Delivery of Findings** – Findings, observations, and risk assessments are documented in this monthly report and the accompanying Findings and Recommendations log. These documents are then shared with project leadership on both the State and Vendor side for them to consider and take appropriate action on.

IV&V Assessment Categories for the BES Project

- Project Management
- Requirements Analysis & Management
- System Design
- Configuration and Development
- Integration and Interface Management
- Security and Privacy
- Testing
- OCM and Knowledge Transfer
- Pilot Test Deployment
- Deployment



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Finding #	Title	Finding Type	Identified Date	Category	Source	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Priority	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
1	Current project management techniques in the JAR and JAD sessions may negatively impact system design	Finding - Risk	10/31/2018	Project Management	Observation	<p>Finding: IV&V has observed weak meeting facilitation skills and noted that meeting minutes or notes from all of the Joint Application Review (JAR) and Joint application Design (JAD) sessions are not posted on the BES SharePoint site.</p> <p>General Observation from October reporting period: During requirements validation, all Policy requirements were 'docked', or tabled, for further research and discussion. It is unclear whether Policy requirements should be met within the BES solution, or outside of the BES solution. How the requirements and processes for Preliminary Eligibility requirements can or should be satisfied within BES is a large process change for DHS. It was clear during requirements validation that there was not agreement on how this should work within BES and DHS, so all Preliminary Eligibility requirements were docked for further research.</p>	<p>If JAR and JAD notes are not consistently posted, session participants are unable to validate if input has been accurately recorded, potentially affecting BES system functionality.</p>	<p>*Implement project management best practices and identify opportunities to improve meeting management techniques. Publish/post missing JAR/JAD session notes on SharePoint, and moving forward, publish notes within a reasonable period of time (e.g., 24 hrs) after completion of any given session.</p>	Q1 2019	4	3	High	Med	Open	<p>01/30/2019 - Unisys and DHS continue to meet to discuss the JAD templates, and progress has been made. DHS plans to review the latest version of the templates the week of April 29, 2019. Until these templates are approved, JADs will remain on hold, while the MDM and Technical Workgroups continue to meet weekly. IVV will continue to monitor this risk in May, and will review the updated JAD templates as they are made available. The risk remains a Medium priority for the April 2019 reporting period, and IVV will continue to monitor progress made by the ASI. 03/26/2019 - IV&V notes that the third round of PMP comments by IV&V and DHS has been submitted to the ASI, but the deliverable has not yet been accepted. DHS deemed the PIP as sufficient enough to allow ASI-led Workgroup Meetings to commence in March 2019. IV&V will continue to monitor this risk through acceptance of the PMP and upon verification that JADs are following the redesigned processes as stated in the PIP, and that the processes are effective. 03/15/2019 - February comments updated as noted. 02/28/2019 - IV&V notes significant momentum in resolving this risk was achieved in February. The ASI continued to refine the Process Improvement Plan (PIP) for JADs. Issues cited within the JAR and JAD processes have been addressed, and Stakeholders are becoming more comfortable with the revised approaches. Unisys asserts that data collected in the first few JADs is considered useful and will be documented in use cases and functional design documents, notwithstanding the volume of process and output changes in the PIP. IV&V will assess the early JAD outputs when the ASI states that they have been updated to align with the elements of the PIP. The risk remains a Medium priority pending execution of the PIP and evaluation of its success. This is expected to occur in March 2019. 01/29/2019 - The ASI presented their 3rd iteration of the Process Improvement Plans for JADs on 1/23, which schedule requires improvements in several JAD elements 1/20/2019 - The PMP and Project Schedule continue to be updated based on comments from BES/PMO and IVV. IVV will review and assess the approved schedule (when available) to determine if there is an impact to the overall project schedule due to the activity/task delays experienced by the project-to-date. The risk remains at a High priority for the April 2019 reporting period, pending review and analysis of the finalized Project Schedule. 3/31/2019 - The PMP continues in the review cycle by DHS and IVV, with the third round of comments having been submitted to the ASI. A revised draft project schedule was submitted on 3/27/2019, however IV&V would like to review and analyze the schedule before taking any further action on this finding. 2/28/2019 - The PMP is in its second review cycle by DHS and IVV. A revised project schedule had not been published by the end of this review period, however, Gary Hirata, DHS BESSD Project Manager reported that a draft project schedule had been shown to him on February 28. The revised project schedule is expected to be formally submitted for review and approval in early March, and will be preceded by a walk through of the schedule and tracking tools and format. The risk remains at a High priority pending formal submission of the revised project schedule, and evaluation of the impact to project dates. 1/31/2019 - The ASI delivered the Draft PMP for review by DHS and IVV. The project schedule has not been updated and the Deliverable Review Process has not been finalized. The project schedule lacks baseline dates for many tasks, and there is no evidence that the project schedule deliverable has been approved. A project schedule is posted weekly, however, a review of the weekly project schedule shows that it has not been updated (i.e., percent complete, actual start and/or finish dates, et al). Delays in achieving approved DEBs may necessitate that the project schedule be re-evaluated (baselined) for tasks lacking baseline dates, as baselined four tasks continue proposed 04/30/2019 - Over the last two weeks in April, the ASI has incorporated several improvements to project status reporting, in terms of both structure and more detailed content. As a result, IVV has noted significantly increased participation from DHS based on the improved status details provided by the ASI. IVV is encouraged by the progress seen in the April 2019 reporting period, however, given that the schedule still lack sufficient detail, DHS has little information to track project status towards or to gain insights into whether project activities will meet established project milestones. Hence, IVV maintains that this remains a Medium risk to the project and will continue to monitor this finding to verify that the changes made thus far continue, and that the status reports and meetings continue to improve. 3/29/2019 - IV&V acknowledges that the ASI has made multiple changes to the weekly status report. Nevertheless, the changes have not satisfactorily improved the State's understanding of project progress nor provided sufficient transparency into ASI activities. The ASI weekly status report must present sufficient project information for the report to independently stand on its own; providing enough content and detail that any project stakeholder reading the report would have a clear understanding of project accomplishments, in-progress work, planned work, changes, and potential challenges. IV&V recommends that the ASI provide additional information that will enable greater insight into project activities, which may include the following: - An aggregate of hours spent on in-progress tasks, activities, and deliverables - In-progress task, activity, deliverable, and work product percent complete, and the delta in progress from week to week - Expected completion dates of all in-progress tasks, activities, deliverables, and work products, updated weekly, directly from the updated schedule - Detailed description of potential impacts of reported project risks and issues, as recommended by DHS</p>	<p>2019/03/13 Bill Thornton, Unisys: Data collected in the initial JADs is useful and will be documented in the use cases and FDDs for those subject areas.</p>		
2	Late delivery of project deliverables may result in schedule delays.	Finding - Risk	11/28/2018	Project Management	Observation	<p>Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Expectation Documents (DED) requiring approval and acceptance from the State.</p>	<p>Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences in scope, schedule, cost, and quality parameters.</p>	<p>IVV recommends that the ASI works to complete the Project Management Plan deliverable, work with DHS and IV&V for review and edit as needed, and attain approval of the PMP. This will help ensure that all processes within the project management entity are thoughtfully and collaboratively developed and implemented to meet the needs of the project. Review the project schedule to capture and discuss the late deliverables and delivery thereof, complete the Project Management Plan and deliver it for review to DHS and IV&V for review; attain approval of the PMP.</p>	TBD	4	3	High	High	Open	<p>3/13/19 Bill Thornton, Unisys: Specific to the PMP, the DED was approved by DHS on 1/15/2019 and the deliverable submitted on 1/21/2019. Specific to the project schedule, the DED was approved by DHS on 1/23/2019 and the deliverable is planned for submission the week of 3/18/2019. 2/6/19, Bill Thornton, Unisys: Executive Summary Risks Feedback - The project schedule has been baselined but it needs to be re-baselined based on the approval dates of the DED's. Deliverable delays - as deliverables are not supposed to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval. Findings and Recommendations (#2) - Project Management ASI submitted 19 deliverables and DEDs - Clarification - there were 2 deliverables submitted (B-8 Technical specs for the non-prod environments and B-4 the PMP) - the rest were DEDs. Deliverable Review process has not been finalized - this is part of the PMP document. Late deliverables - as deliverables are not supposed to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval. 12/6/18, Keith Stock, Unisys: 2) We don't disagree with the statements but assigning this high which states "a major disruption is likely and the consequences would be unacceptable" seems inappropriate.</p>			
3	Project Status Reporting does not meet with expectations or Best Practices for presenting status updates of schedule, cost, scope, risks, issues, and change management, which may inhibit effective project management and limit project transparency.	Finding - Risk	11/19/2018	Project Management	Observation	<p>Although the Project Status Report follows the RFP requirements, IV&V has observed that the Status Report does not list/track all of the current project tasks and activities, and appears to primarily reflect tasks and activities requiring DHS participation. Additionally, the content of the Project Status Report in some areas (e.g., risks and issues) is redundant to BES SharePoint Log. Examples include: 1. The Project Status Report does not include tracking of ALL current tasks and activities. It appears to largely be limited to only tasks and activities requiring DHS participation. 2. The Project Status Report includes multiple sections for Risks and Issues, which are redundant to a corollary SharePoint Risk and Issue Log. 3. All current 'Issues' cited in the Status Report are incorrectly listed as 'Risks' in the Risk and Issues Log on SharePoint.</p>	<p>Reporting Project Status on some, but not all, areas of the project provides an incomplete understanding of the status of the entire project. A complete understanding is necessary to ensure that scope, cost, and schedule parameters are all being met across the project.</p>	<p>IVV recommends that DHS, the ASI, and IVV jointly determine revisions to the Project Status Report that would meet the needs of reporting on all active tasks and activities, and that redundancy between the data contained in the Project Status Reports and the SharePoint logs is removed.</p>	February 2019	5	3	High	Med	Open	<p>2/6/19, Bill Thornton, Unisys: Findings and Recommendations (#3) - Project Management Status reporting - The original status report adhered to the DED - it has been adjudicated multiple times based on feedback. 12/6/18, Keith Stock, Unisys: 3) Status report structure is dictated by the RFP. There is an ongoing action item to modify structure and content by mutual agreement</p>			

Finding #	Title	Finding Type	Identified Date	Category	Source	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Priority	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
4	An unclear deliverable review and acceptance process may be contributing to project delays.	Finding - Risk	11/28/2018	Project Management	Observation	Project processes for delivering, noticing and reviewing project deliverables are unclear. In order to identify whether a deliverable is available for review, the IV&V team must review the project schedule and check for deliverable postings to SharePoint. While the ASI may be submitting deliverables to the BES Project Manager, neither the IV&V team nor the PMO are notified. As a result, review cycle-times may be missed and deliverable acceptance can be delayed, which may inhibit the ASI's ability to move forward on future tasks.	An unclear deliverable review and approval cycle can lead to project delays.	Finalize the deliverable review and acceptance process that clarifies to whom the deliverables are to be submitted, how the deliverables are to be provided, how the recipients are to be notified (e.g., SharePoint alert or email notification), and when review comments are due in order to finalize the deliverables on a timely basis. Include this process in the PMP.	December 2018	3	3	Medium	Med	Retired	3/29/2019	3/29/2019 - IV&V is retiring this risk as the deliverable review process has fully adopted and implemented by the project team. 2/28/2019 - The project made progress in mitigating this risk in February, DHS developed, and the project team adopted, a deliverable review and approval process. The project team is adjusting to the process along with revisions to the tracking/reporting methodology for deliverables. With consideration to the deliverables expected to be received in March, IVV will observe the deliverable review process and potential retirement of this risk. 1/31/2019 - Both the ASI and DHS proposed deliverable review and approval processes in January. The DHS PMO and BES Project Manager drafted a deliverable review/approval process that includes the PMO preferred Deliverable Comment Form (DCF) to aggregate reviewer comments. The ASI included a deliverable review/approval process along with an alternate comment form within the draft PMP. The DHS PMO is working with the ASI to determine the process to be implemented and, when agreed upon, roll-out to the Project Team. 12/31/2018 - IVV provided a sample of a deliverable management process on 12/20/18 to the DHS Project Manager that could be modified for the BES Project. The DHS PM and the PMO are developing a review and approval process and are in discussions with the ASI to mitigate the risk. Until a process is developed, finalized, and executed, DHS, the ASI and IV&V will use email notifications to ensure new and/or updated deliverables will be reviewed timely. Additionally, the ASI and IV&V developed MS-Excel spreadsheets to track status.		
5	The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding.	Finding - Risk	11/26/2018	Project Management	Observation	The CMS Project Partnership Understanding (PPU) is not finalized between the State and CMS for this project. If funding is expected from CMS, they may require alignment to the MITA Framework, Gate Reviews and/or use of the Medicaid Eligibility and Enrollment Toolkit (MEET) Checklists. The MEET checklists are developed prior to the CMS gate reviews and are part of the Medicaid Eligibility and Enrollment Life Cycle (MEEELC) that defines the CMS processes for Eligibility and Enrollment projects.	If the PPU is not finalized prior to the State's approval of the functional and technical requirements, the projects Federal funding may be at risk.	The State and CMS complete the PPU and the project incorporate all Federal reporting and process requirements into the appropriate project deliverables.	Prior to Functional and Technical Requirement Approval.	5	1	Medium	Low	Open		4/30/2019 - CMS indicated to the BES/PMO this month that the MEET Checklists may be optional. IVV will keep this risk open until there is clarity from the BES/PMO regarding the identification of any CMS requirements to secure the funding for the KOLEA Enhancements. The priority of this risk was changed to low in the April 2019 reporting period, based on this information from CMS. 3/31/2019 - As the PPU has not been approved, and the CMS reorganization is still underway, IV&V has not updated this risk. 2/28/2019 - DHS reports that CMS is moving to a new organizational structure where one person will handle all APDs (APD-U, OAPD-U) for the state. Steven Chang is Hawaii's State Officer. The PPU will be transitioned to Steven Chang for disposition. The risk remains a High priority pending CMS approval. 1/31/2019 - No update. 12/31/2018 - On December 17, 2018, the State submitted the PPU to CMS for their review and approval. The PPU limits scope to any new Medicaid Functionality and includes the CMS Status Report Schedule and overall BES high-level schedule.		
6	The BES Risk and Issues Log lacks necessary data elements, which are needed to afford complete transparency.	Finding - Risk	11/26/2018	Project Management	Observation	IV&V has observed that the current Risk and Issues Log on SharePoint lacks certain necessary data elements to effectively mitigate risks and contain issues. These elements include Risk Exposure, Required Mitigation / Closure Timeframe or Date, Mitigation Steps, and Updates to Mitigation Steps. It should be noted that the current Risk and Issues Log was provided by DHS and is in the default DHS Risk and Issues format.	Complete documentation of risk and issues is critical to mitigate risks on current projects and prevent similar issues on future projects. Without the integration of effective risk and issue tracking with project status reporting, complete transparency is not afforded and the ability to mitigate risk is diminished.	Meet (DHS, ASI, IV&V) to determine all elements needed to support the Risk and Issue Management processes. Following that activity, update the Risk and Issues Log to reflect all agreed-upon elements.	February 2019	3	2	Medium	Med	Retired	2/28/2019	02/28/2019 - IVV has reviewed the Excel workbook to determine if all needed elements for tracking have been included. The date of last update was missing, and has since been corrected by the ASI. IVV recommends retiring this finding. 01/31/2019 - Late in the month (1/29), the Project decided to abandon the SharePoint log in favor of an Excel workbook developed by the ASI. IVV will review and assess the new workbook in early February to determine if all needed elements for risk and issue tracking have been included. 12/31/18: The planned meeting to review, discuss, and tailor the Risk and Issues Log was not held in December, but is anticipated to be held in early January. 12/06/2018; IVV recognizes that the SharePoint Log was provided by DHS. A meeting to review, discuss, and tailor the log to meet the needs of the BES Project is expected to take place during December.	12/4/18, Tracey Laride: Key Finding #6, p.12. Is the "Risk Exposure" the same as the Severity or Probability fields on SharePoint? If not, then can you clarify what "Risk Exposure" is? I think "Mitigation Steps" may be the same as Recommendation(s) in the log? If yes, the title can be changed to Mitigation Steps. For the "Updates to Mitigation Steps", it is entered with a date of the update into the comments section of the logged item. If needed, the field title can be changed.	12/6/18, Keith Stock, Unlisy:6) The risk and issue log has been provided as a default to all DHS projects along with instructions. DHS PMO has asked for clarification from IV and V and will likely agree to add additional fields
7	The Change Management Process is not fully documented and approved, which could delay Change Requests and affect scope, schedule, cost, and quality.	Finding - Risk	11/27/2018	Project Management	Observation	The Change Management Process is not yet documented and approved. All three (3) risks currently tracked in the SharePoint Risk and Issues Log indicate the potential need for a formalized Change Management process.	If the Change Management process is not developed and instituted, there is a high likelihood that needed Change Requests could be delayed, which could negatively affect scope, schedule, cost, and quality.	IVV recommends that the ASI complete development of the Change Management Plan, and collaborate with DHS to ensure the process is institutionalized for the BES Project.	January 2019	3	2	Medium	Med	Retired	4/28/2019	04/28/2019 - As of the end of April, there are no longer open DCF comments on this PMP sub-plan, effectively providing acceptance of this sub-plan. IVV is closing this risk, however will monitor the project's change management activity throughout the life of the project. 03/26/2019: The ASI updated the Change Management Plan as a component of the third draft of the PMP. After incorporation of final comments, IV&V anticipates this finding should be ready for closure in the April reporting period. 02/28/2019: The ASI updated the Change Management Plan as component of the second draft of the PMP. There remain some outstanding comments to be addressed by the ASI, however, the Change Management Plan is now closer to meeting stakeholder expectations. The risk remains at a Medium priority pending finalization and approval of the plan. 01/29/19 - The ASI updated the Change Management Plan sub component of the PMP, and delivered it as a draft. IV&V is in process of review and assessment of all PMP sub plans. 12/31/18: IV&V reviewed the Change Management Plan artifact, and provided assessment comments to DHS and the ASI for resolution. The risk remains open at a Medium critically pending finalization of the Plan. 12/6/18: IV&V was provided a copy of the Change Management artifact in early December. IV&V will review the document during December and update this finding accordingly.	12/4/18, Tracey Laride: Key Finding #7, p.12. The Change Management process is documented and is in the review process with DHS.	
8	The SharePoint Decision Log is not being used to record project decisions, which will hamper communications and cause decisions to be revisited	Finding - Risk	11/27/2018	Project Management	Observation	The SharePoint Decisions Log is not being used to record and track project decisions, and it requires additional data elements for tracking and reporting on Decisions such as: Decision Types, Decision Sub-Categories, etc.	If Project Decisions are not recorded on a central repository (such as the SharePoint Log developed for this purpose), communications based on Project Decisions are likely to become hampered, and decisions will need to be revisited multiple times.	IV&V recommends that DHS, the ASI, and IV&V meet to determine all elements needed to support the Decision Log and associated processes, and that the project institutionalizes the process. Following that activity, IV&V recommends that the DHS SharePoint Decisions Log is updated to reflect all agreed-to needed elements and decisions.	January 2019	3	3	Medium	Med	Retired	12/6/2018	12/06/2018: Per the ASI, there are no Decisions to enter into the Decisions Log. This is confirmed with DHS BES. Based on this correction of fact, IV&V will retire this finding, and will open up new Findings to address the separate topics of the lack of a documented decision making process and the need for additional data elements in the Decision Log.	12/4/18, Tracey Laride: Key Finding #8, p. 13. Is the IV&V recommending DOK BESSD decisions (requirements, design, etc.) be logged here or BES Scope (Change Management) decisions be logged here or both?	12/6/18, Keith Stock, Unlisy: 8) It is being used there just are not any decisions yet to log

Finding #	Title	Finding Type	Identified Date	Category	Source	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Priority	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
9	BESSD leads and/or teams have not been assigned to the Project, which negatively impact the schedule and workload.	Finding - Risk	11/30/2018	Project Management	Observation	IV&V has observed that DHS has not designated specific individuals to serve as BESSD leads to support the project. In addition, although the SharePoint site for the project indicates that BESSD teams have been envisaged for BI and Reporting, Data Conversion, Functional, Organizational Change Management, Project Management, Security, Technical, Testing and Training, team members have not been identified.	Without committing dedicated BESSD resources to the project, the schedule is at risk as project demands (e.g., meeting attendance, document review) and workloads increase. For a project of this size and significance, the involvement of subject matter experts to ensure that the solution is designed to meet the business needs is critical.	*Identify high-priority areas where BESSD Leads are needed and obtain executive level support to reallocate BESSD staff to the project soon as possible. Re-assess the need for support throughout the project life cycle to ensure that the appropriate subject matter experts are available as required.	January 2019	3	3	Medium	Med	Open		4/29/19 - DHS has indicated that their newly hired Business Analyst will be responsible for assisting with updating/reviewing the RTM. DHS/ASI are currently leveraging weekly meetings (Thursdays) to collaborate on JAD session templates. While DHS leads may be in place and each workgroup has been assigned a DHS and ASI co-lead, it is unclear if the co-leads are effectively communicating and/or collaborating. For example, DHS has indicated that the ASI may not be collaborating with DHS leads to develop workgroup session agendas. This could lead to session content that is unexpected or not well thought through, and ultimately result in project team frustration. IVV maintains that this is a Medium risk to the project for the April 2019 reporting period. 3/27/19 - DHS has hired a project management assistant and business analyst, but IV&V is not aware of the details of their roles or responsibilities. IV&V will continue to monitor this risk and will provide updates in the April as more details of roles and responsibilities are learned. 2/28/19: JAD sessions remain on hold. 1/31/19: JAD sessions were placed on hold in January. This risk remain open pending resumption of JAD sessions and observation of the results of the BES staffing assignments made in late December. 12/31/18: The DHS Project Manager (PM) provided Unisys with the staffing assignments for deliverable reviews on 12/31/18. Further, the DHS PM advised IV&V that DHS BESSD has defined roles and assigned Lead responsibilities for JADs to their project staff, and an escalation process has been defined. This information was announced the week of December 31st. This risk remains open - downgraded to a Medium criticality - pending observation of results of these actions.	2019 03 14 Aileen Hiramatsu: we [DHS] do not recall any agreement on 3/6 to accept the IAD/workgroup schedule and that work has begun on both. Only the technical workgroups have started.	03/13/2019 Bill Thornton, Unisys: JAD session schedule has been published and agreed to on March 6th and JADs/Workgroups are in progress.
10	The number of instances of Siebel to be implemented for BES Project is undecided, which may impact the project schedule and project costs.	Finding - Risk	11/28/2018	Configuration and Development	Observation	Discussions are ongoing regarding the need for single vs. dual instances of Siebel to support the ability to share data between MQD and BESSD. Although the ASI's BAFO proposed dual instances and the ASI has indicated the need to memorialize this in the project Decision Log, DHS has expressed an interest in a single instance. This scope change could introduce a significant cost/schedule impact to the project. The ASI is currently tracking this as a high risk to the project and has indicated this could incur a 1 year delay. Details of moving to a single instance have yet to be resolved. Such a move would be out of scope of the existing contract. The decision on one versus two instances of Siebel could have negative impact to scope, cost and schedule.	This scope change could introduce a significant cost/schedule impact to the project. A decision to move forward with one versus two Siebel instances could result in additional project costs and schedule delay, and would likely be a significant effort that is out of scope of the existing contract. If the decision is delayed, the vision of data sharing between the departments could be compromised. The sooner this decision is finalized, the better the chances for successful mitigation in the best interest of the project.	1. Work collaboratively (DHS, ASI and ESI) to develop a long term infrastructure strategy along with 5+ year ROI, cost/benefit, license strategy, and risk proposition that includes an assessment of a single vs. dual instance assessment. 2. Record the decision in the Decision Log - even if the decision remains within project scope - to memorialize the outcome and alleviate the impact of the topic resurfacing later.	Q1 2019	4	4	High	High	Open	4/29/19 - The ASI has indicated that their original architecture strategy may change, however, internal discussions are underway regarding these potential changes. These changes could significantly impact ESI and ASI responsibilities and ultimately impact the project budget. IVV recommends DHS request the ASI work quickly to solidify and vet this plan with the appropriate stakeholders as well as determine schedule and budget impacts. ASI has indicated that DHS intends to defer merging to a single instance post BES DDI. IVV will seek to validate and gather more information on this decision. IVV maintains this is a High risk to the project as of the April 2019 reporting period. 3/27/19: IV&V has no material update to this risk and is not aware if the planned working session between the ASI and DHS was held, or, if additional information on the ROM has been provided to DHS. 2/28/19 - DHS has initiated a CR in order to better understand the associated costs of the single instance. This risk remains open with high criticality due to increasingly high potential for rework the longer the decision is pending. 1/31/18 - ASI has provided DHS with Use cases which DHS has reviewed. DHS to determine if a CR will be submitted to develop ROM pricing and schedule impacts for a single instance. 12/31/18: DHS PMO is developing use cases that will describe the DHS business need (i.e., the overarching need for all of DHS vs only BESSD), and intends to discuss the business need for a single instance with Unisys in January to help bring about an understanding of the importance and urgency. This risk remains high due to increasingly high potential for rework the longer a decision is pending.12/6/18: The language about a CR caused the finding to be a bit misleading and we have removed the language. Our intent was simply to state that we cannot yet fully analyze the impact. Nevertheless the finding remains open.	12/6/18, Keith Stock, Unisys:10 We agree that this "decision" needs to be finalized and memorialized. However, we are unclear as to how a potential change request (i.e. potentially changing from the proposed dual instance approach to a single instance) is a high risk to the project. It would be a change. If a change is requested, the change would go through the Change Request process where DHS could assess the impact of cost, time, etc. and determine to move forward or not. In other words, if we do nothing, no issue, we are moving forward as proposed ... no risk. If they decide to change, they will do so via the CR process with all available information and schedules and costs would be adjusted accordingly.		
11	Changes in direction regarding the preferred business intelligence (BI)/reporting tool may impact project schedule and cost. [Cognos vs. OBIEE]	Finding - Risk	11/28/2018	Configuration and Development	Observation	The project intends to utilize OBIEE, instead of Cognos, for the BES project business intelligence (BI)/reporting solution. The Change Request (CR) for this change to the original contract has been drafted and is currently under review. Unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope swaps.	IV&V has insufficient information to fully analyze the impact(s) on this project, thus a low criticality rating has been assigned until such analysis can be performed.	* Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate	Q1 2019	3	4	High	Low	Retired	2/28/2019	3/27/19 - No change. 2/28/19 - ASI has stated the move to OBIEE will incur no addition cost to DHS and will submit a no cost CR. 1/31/19 - No progress.12/31/18: A draft CR was initiated by DHS but has not yet been provided to Unisys to start the change management process. The draft CR contains no stated impacts to the schedule, project cost, or platform costs (e.g., licensing, et al). This low criticality risk remains open pending completion of the CR process.		

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12	Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. [LifeRay vs. Adobe]	Finding - Risk	11/28/2018	Configuration and Development	Observation	<p>The project intends to utilize Adobe as the preferred platform for portal development, instead of LifeRay (which is currently used for the existing KOLEA portal platform), as the BES project web portal solution. Adobe Forms is currently out of scope for the BES portal but is in scope for BES PDF production. This decision represents a change in scope and requires a CR, which is currently in process. ASI has given DHS a Rough Order of Magnitude (ROM) estimate of \$2.8 million for this CR and has also provided a more details PIA. As of the date of this report, the Project is tracking this as a 'Top Level Issue.' It is unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope swaps.</p>	<p>If DHS executes a change request to implement Adobe as the BES portal solution, there will be a significant impact to the project budget. The ASI has stated that if the portal platform is not decided soon there will be schedule impacts as they need to staff for the appropriate skillset. ASI has also stated they may begin developing a solution in LifeRay until a CR is executed to move to Adobe.</p>	<p>DHS request more details from the ASI to better understand the details around such a high cost to move to an Adobe-based BES portal solution. DHS request more details from the ASI to better understand the ASI's urgency to begin portal development now instead of focusing on other areas of design and development.</p>	Q1 2019	3	3	Medium	Low	Open	<p>4/29/19 - The ASI has indicated that they may be able to lower the original cost estimate of the move from LifeRay to Adobe. However, no additional details on this CR or PIA are available on the project SharePoint site. IVV will continue to monitor this risk and review details as they become available, and maintains this is a Low risk to the project in the April 2019 reporting period. 3/27/19 - IV&V has no update to this risk and is not aware of further PIA details being submitted. 2/28/19 - Recent DHS analysis of the PIA estimate indicates a discrepancy between the hourly rate quoted in the Unisys proposal and rates quoted in the PIA. DHS has requested the ASI provide a more detailed PIA with itemized costs/tasks. 2/13/19 - A Project Impact Analysis (PIA) was submitted by the ASI, with a cost estimate of \$3.76M. 1/31/19 - A project impact assessment (PIA) is being created by the ASI. The ASI previously estimated the overall ROM cost to be approximately \$2.8M. ASI has estimated annual license costs for LifeRay to be \$80k/yr and Adobe at \$140k/yr. 3/1/19 - The ASI has provided PIA (detailed CR estimate) but DHS has requested the ASI update to provide itemized costs to help them understand the seeming high cost. Unclear how much of the existing KOLEA LifeRay portal solution will be reusable for the new Adobe solution and whether reuse could help reduce the cost. 12/29/18: A CR was initiated by DHS and provided to Unisys in December. An Initial Business Review (IBR) of the CR was originally scheduled for 12/28/18 but subsequently moved to early January. The IBR confirms the CR goals. The only impact identified to date is an increase in licensing costs. The CR has not been evaluated for impacts to ASI vendor costs or project schedule changes. However, Adobe is the department's standard for websites. This low criticality risk remains open pending completion of the CR process.</p>	03/13/2019 Bill Thornton, Unisys: Clarification has been provided to the composite rate applying to DDI enhancements with the existing technology stack. Adobe is a new technology and the composite rate does not apply. We will update the PIA with effort and the roles utilized.		
13	Differing ASI and ESI expectations regarding DDI environments may impact project schedule and cost	Finding - Issue	11/28/2018	Configuration and Development	Observation	<p>The ASI has requested development environments to support BES DDI that the existing on-premise infrastructure may not support. There is discussion that the underlying challenge relates solely to the number of environments, in fact, the ASI is not requesting more environments than specified in their BAFO. The ASI is requesting development environments for the BES Project that are aligned with the platform and application software upon which the BES solution will reside in production. It is IV&V understanding that the existing KOLEA development environments have not been kept up to date (e.g., tool and operating system patches and updates) and that a concerted effort to bring those environments current would be necessary if the ASI could use the KOLEA environments. However, since the BES solution is planned to be implemented on a higher version (version 17) of Siebel than KOLEA uses (version 15), the ASI cannot use existing KOLEA environments even if those environments were up to date for their platform version(s). The Project requires development environments that align with the future production environment and platform. The cost impact of acquiring suitable development environments could be substantial. The Project is tracking this and has rated the ESI and Platform Items as Yellow in the most current status report; nevertheless, IV&V considers this risk to be Red due to the level of complexity and potential cost and schedule impacts.</p>	<p>If the ASI is constrained by having to develop the BES solution in the existing KOLEA development environments (regardless whether those environments are up to date), the quality of the BES solution may be negatively affected. The BES solution could not be fully tested on a production-like platform prior to roll-out or go-live. Nuances between Siebel versions, among other supporting software versions, between development and production can cause unexpected defects ranging from catastrophic to annoying. Creating suitable development environments for BES is a task that, from all appearances, was not anticipated by the ESI or DHS. Contract details notwithstanding, creation of new or re-purposed environments is complex and will require time and effort from DHS, the ESI, and the ASI. The contract details, particularly around the responsibility for the cost of creating BES development environments, and potential increased licensing fees may ultimately result in increased costs to DHS. Both of these impacts may subsequently cause delay to the BES project schedule.</p>	<p>ASI work with the State to reach a common understanding of the requirements for the BES DDI environments. ESI and ASI work together to formulate an environment strategy that will meet the project platform and development needs and minimize impact to the State.</p>	Q1 2019	3	5	High	Med	Open	<p>4/29/19 - The ASI has indicated that their original environment strategy may change, and internal discussions of these changes are ongoing. These changes could significantly impact ESI and ASI responsibilities and ultimately impact the project budget. IVV recommends DHS request the ASI work quickly to solidify and vet this plan with the appropriate stakeholders as well as determine cost and schedule impacts. To date, there is still no resolution between ESI and DHS regarding the number of environments to be provisioned and the platform (on-premise vs. cloud) to be used. Unisys has indicated they are waiting for the newly hired DHS Enterprise Officer to come onboard before addressing this topic further. This lack of resolution may have contributed to the ASI decision to move their development environments to the cloud, therefore, IVV has now characterized this finding as an issue. 3/27/19 - It is IV&V's understanding that, in an effort to mitigate the current need for a development environment, Unisys is in process of provisioning and standing up an Oracle Cloud environment. It is anticipated that this environment should be ready for use by approximately the end of April. It remains unclear if/how reimbursement for the funding for this environment is envisioned by DHS. 3/13/19 - February comments corrected as noted. 2/22/19 - The ASI has stated their intention to implement development environments in the cloud and will soon submit a proposed solution to implement this change. Costs to DHS remain unclear. Some environments will remain on premise and be managed by the ESI (e.g., the DR environment). ASI has also stated their intention to utilize cloud environments to mitigate DHS security concerns with regard to Unisys off-shore resources. To date, however, details for implementation and finalization of the CR are incomplete. This risk has been downgraded to a Medium priority in light of the proposed solution(s), and schedule environment details. 1/31/19 - This risk was also.</p>	<p>1/4/2019, Doug Murdock, COO - ETS: DHS is aware of the environments issue and we are working with Oracle, Unisys and BIAS to find a resolution. BIAS and Unisys have indicated a need for more environments than expected and we have a disagreement about exactly what the contracts require or allow. We had a big meeting at Unisys to discuss the problem and BIAS and Unisys have submitted preliminary solutions. Both solutions involve setting up BES environments on the cloud and they require additional funding. I plan to meet with both next week and I have a meeting with Oracle on Thursday to discuss price of cloud capacity. We recently signed the year 2 extension for BIAS and there is a priced option for them to build the environments. I would also note that Unisys has a deliverable for their environments plan that we have not received yet, so I believe requests for environments without an approved plan is premature.</p>	<p>3/13/19 Bill Thornton, Unisys: ASI has submitted a proposed solution for the environment issue – not a no-cost CR. 2/6/19, Bill Thornton, Unisys: Findings and Recommendations (#13) – Configuration and Development DEV environment—This issue was entered into the risk register on December 28th/1/30 as implied in this risk write-up. 12/6/18, Keith Stock, Unisys: 13) The comment that the ASI vendor is requesting "additional environments" is misleading. The ASI vendor is requesting the number of environments as described in our proposal and subsequent contract. The recommendation that the ESI and ASI vendors work together to come up with an environment strategy that "will not incur additional cost to the State" may not be possible – recommend the recommendation be that a strategy be identified that minimizes additional cost to the State.</p>	
14	The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions.	Finding - Risk	11/27/2018	Project Management	Observation	<p>The process by which key project decisions should be added to the Decision Log is undefined and unclear. While it is not realistic to add each and every detailed project decision to a Decision Log, parameters need to be determined and documented that clearly indicate which decisions should be added to the log versus which decisions should not be added to the log.</p>	<p>If guidance is undefined/unclear on how the Decision Log will be utilized, it is highly likely that the log's purpose will not be met. Decisions at a too-detailed level will 'clutter' the log, and decisions at a too-broad level will cause decisions to be remain undiscovered, both of which will cause team members to be unaware of such decisions. The impact of both may cause rework in the project, which could lead to project delays and diminish project quality.</p>	<p>IV&V recommends that DHS, the ASI, and IV&V meet to determine the parameters that will be used to identify the level and types of decisions that will be entered in the log. This information should then be recorded in the Project Management Plan, Communications Plan, or other appropriate document/artifact.</p>	First Key Decision	3	3	Medium	Low	Open	<p>04/28/2019 - The ASI and DHS have come to agreement for the process to be used for Decision Management. Nested directories will be utilized in the SharePoint Decision Log to differentiate the varying levels of decisions attained for the project. IVV will continue to monitor this risk in the May to ensure that the revised approach and new process is successful, repeatable, and meets the Decision Management needs of the project. IV&V maintains this is a Low risk to the project in the April 2019 reporting period. 03/26/2019. IV&V has no material update to this risk. Review of the third draft of the PMP is complete, however the Decision Log parameters were still not included. IV&V is adding a comment to the PMP document DCF to bring attention to this item, and anticipates having additional information in the April report. 02/28/2019: Review of the second draft of the PMP is complete, however the Decision Log process was not present in the second draft of the PMP. 01/29/19: No change. Review of the draft PMP is underway, however the Decision Log process was not found in the initial review of the PMP. 12/31/18: No change. Parameters for how the Decision Log will be utilized have not yet been documented by the ASI or DHS PMO. It is assumed that this may be documented in the Project Management Plan, which has not yet been delivered to DHS. 12/6/18: Rated Low by the analyst due to only one Decision in play at this point in time.</p>			

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15	The Decision Log lacks data elements needed for tracking and reporting on key Project Decisions, which may hamper discovery of decisions.	Finding - Risk	11/27/2018	Project Management	Observation	The SharePoint Decision Log requires additional data elements for tracking and reporting on Decisions such as: Decision Types, Decision Sub-Categories, etc.	If material data about the decision is not tracked and recorded, the Project may miss opportunities to benefit from trends in key decisions. Additionally, inadequate data capture may hamper reporting on decisions and ultimately obscure discovery of key decisions by project team members.	DHS, the ASI, and IV&V meet to determine all elements needed to support the Decision Log and associated processes. Following that activity, IV&V recommends that the DHS SharePoint Decisions Log is updated to reflect all agreed-to needed elements and decisions.	First Key Decision	3	3	Medium	Low	Retired		04/28/2019 - The ASI and DHS have come to agreement as to how the log will be utilized. Nested directories will be utilized in the SharePoint Decision Log. IVV will continue to monitor this risk in May to ensure that the SharePoint Decision Log data elements mirror the needs of the revised Decision Management process. IV&V maintains this is a Low risk to the project in the April 2019 reporting period. 03/26/2019: IV&V has no material update to this risk. Review of the third draft of the PMP is complete, however the Decision Log data elements were still not included. IV&V is adding a comment to the PMP document DCF to bring attention to this item, and anticipates having additional information in the April report. 02/28/2019: No Change. Review of the second draft of the PMP is complete, however Decision Log elements were not present in the second draft of the PMP. 01/29/19: No change. Review of the draft PMP is underway, however Decision Log elements were not found in the initial review of the PMP. 12/31/18: No change. The necessary data elements for the Decision Log have not yet been finalized by the ASI or PMO. It is assumed that this may be documented in the Project Management Plan, which has not yet been delivered to DHS. 12/6/18: Rated Low by the analyst due to only one Decision in play at this point in time.		
16	Lack of clear understanding of SI DDI approach may reduce effectiveness of JARs and JADs	Finding - Risk	12/17/2018	Configuration and Development	Observation; Customer Concern	Several DHS stakeholders have commented that the SI Design, Development, and Implementation (DDI) approach is unclear. While stakeholders can observe SI activity and have participated in some SI activities, they do not understand how it all fits together and some activity objectives seem unclear. The SI conducted a DDI approach overview session during an initial JAR session, however not all stakeholders were present. IV&V did not locate any DDI approach documentation or materials that could be referenced by stakeholders who may have missed to the overview session, by new members of the team, or by other interested parties.	Lack of stakeholder understanding and buy-in to the SI DDI approach and project activity objectives may reduce the effectiveness of JAR and JAD sessions as well as other BES project activities and decisions.	PCC recommends one or more of the following to mitigate this risk: * SI provide an additional DDI approach overview session for stakeholders and allow for Q&A * SI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint * SI submit DDI Plan deliverable and make it easily available to all project stakeholders	1/31/19	4	3	High	Med	Open		4/29/2019 - IVV and DHS have provided feedback on the DDI Plan and the ASI rework is ongoing. IVV recommends that the ASI provide a walkthrough of the next version of the DDI Plan. ASI and DHS are currently leveraging weekly meetings (Thursday's) to increase understanding of the ASI process and to collaborate on JAD session templates. Unclear if these weekly meetings will continue. 3/27/19 - IVV has no material update for the March report. The ASI presented and submitted the draft DDI Plan on 3/27/2019. IVV will review and analyze the DDI Plan and provide a more detailed update in the April report. 2/27/19: The ASI has included some high-level information in recent Process Improvement Plan (PIP) sessions with DHS leadership to help clarify their DDI approach and methodology. The high-level representation of the DDI approach lacked sufficient details to fully evaluate. JAD packets also include some of this information, but more comprehensive documentation has yet to be made available. The ASI intends to include further details in the DDI Plan (B-01) that has yet to be delivered. 1/31/19: There remains some confusion over what the ASI has agreed to do to increase understanding of the overall ASI DDI approach for DHS leadership and JAD participants. The ASI produced a DDI Plan (B-01) DED and received feedback/comments. Their response to the deliverable comment form (DCF) comments has not yet been provided to DHS. The ASI has begun execution of a process improvement plan (PIP) that includes providing some DDI approach information in JAD packets sent to JAD participants prior to JAD sessions. DHS leadership continues to state that they remain unclear on the SI's DDI approach. 12/31/18: The SI has agreed to provide approach documentation and separate sessions, however, IV&V has not seen any progress towards this to date.	1/7/19: Note. During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Unisys offered to present the orientation during each JAD session. It was suggested by DHS that the pre-JAD packet be placed in the SharePoint project site. For new participants in the JADs, a separate orientation before the JAD should be held for those new participants.	1/3/19 - Unisys (Bill Thornton) reports that they offered to provide the approach materials in the pre-JAD package and conduct an overview prior to each JAD session, however, DHS has declined this offer.
17	The Project may experience the situation where several deliverables may be presented to DHS for review and approval within a short period of time, which may cause schedule delays.	Finding - Risk	1/16/2019	Project Management	Observation	The lack of a deliverable review process, delays occurring in the DED review and approval process and final approved DED's may result in the ASI to submitting multiple deliverables for review/approval at the same time or within short time frame. Following the early identification of this risk, DHS, ASI and IV&V met to gain a better understanding of revised deliverable schedule. The ASI has not published an updated schedule (as of the end of January), therefore it is unknown at this point when the project deliverables will be available for review.	An unusually high number of deliverables submitted for review in the same general time frame may be more than available. State staff are able to process in desired review cycle times. This will in turn cause new delays in approvals of the submitted deliverables; increasing the risk for negative project schedule impact.	Options to mitigate the risk include: * Prioritizing the deliverables to identify those that should be reviewed first based on the criteria of schedule impact and/or cross-deliverable integration; * Review of interim drafts; * Addition of DHS resources to review/approve deliverables; * Addition of DHS review time for the larger deliverables; and/or * Adopt an option of 'conditional' approval with specific criteria that must be met to achieve final approval.	Unknown at this time	4	2	Medium	Low	Open		4/30/2019 - A revised draft of the schedule was published on April 12, 2019 and has still not been approved. IVV plans to review and analyze the revised schedule before taking any further action on this finding. The ASI is also working with BES/PMO to identify deliverable review/approval process changes to streamline the process. As many of the up-front deliverables have been approved, IVV dropped the priority of this risk from Medium to Low in the April 2019 reporting period. IVV will continue to monitor this risk. 03/31/2019 - A draft version of the schedule was presented and delivered on 3/27/2019, however IV&V would like to review and analyze the schedule before taking any further action on this finding, and anticipates having a more detailed update in the April report. 02/28/2019 - Progress was made this month in that DHS developed, and the Project Team adopted, a deliverable review and approval process. The ASI has not yet published the revised project schedule. It is noted many of the DED's are now approved, however the downstream impact will not be known until the revised schedule is published. 01/31/2019 - The ASI has not published the revised schedule yet. We will continue to monitor this risk.		

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18	Failure to identify project issues (i.e., follow-up/research activities) may result in the development of the application that does not meet the Project goals, objectives and requirements.	Concern	2/27/2019	Project Management	Observation	IVV is concerned that there are few issues raised by the project team. IVV understands the Issue Management process was only recently approved and are in the early stages of identifying and managing issues; and that JAD sessions are on hold until the PIP is completed. However, requirement research to include DHS/MQD/BES discussions and research of the KOL/EA should continue. In Project meetings, DHS has asked the ASI team to research KOL/EA, and BES has offered to assist the ASI on multiple occasions. Issues are a proven method to manage tasks/activities that are in question and work to a common resolution between DHS and the project team. At this phase of the project, it is typical for there to be many issues raised by the project team as requirements are researched and discussed with the users (DHS PMO/BIAS/BES/MQD). This concern requires further observation and discovery by IVV.	The absence of any recorded issues could lead to a situation where the end solution does not meet the business needs or intent of the requirements in some or multiple areas. The sooner issues are identified and resolved by the project team, the less potential for the impact to the project.	The DHS and ASI leadership team should encourage the project team to identify and document issues so that they are resolved timely with the appropriate staff. Reinforce the concept that the Issue Management process is positive and healthy for the overall success of the project.	Requirement Phase Concludes	3	3	Medium	Med	Open		4/30/2019: IVV notes improvement in the Requirements Committee sessions in that data is now captured to improve managing action items to include target complete dates and status. IVV notes decisions are now logged in the Project Decision Log however, some are noted with a status of "In Progress". IVV needs further research to determine where the actions are documented to finalize the decisions to avoid confusion with the project team. IVV will keep this concern open until the JAD sessions are reestablished and conducted for a minimum of one month to ensure consistency and execution to the defined process. 03/31/2019; DHS, Unisys and IVV met to review the process to manage action/research items and decisions during the Requirement Workgroup and JAD sessions on 3/25/2019. Action items will be maintained in each of Requirement Workgroup and JAD sessions Meeting Minutes. Decisions will be logged in the Project Decision Log to provide an audit trail of decisions. Round Table sessions are planned for those requirements that cross Workgroup/JAD teams and escalated items will be tracked and managed via the projects Risk/Issue Management Process. Unisys made recent updates to the process and IVV will review the Round Table Process. IVV will continue to research the updated processes and monitor the tracking of the Action/Research Items, Decisions and Round Table sessions. 03/06/2019; The DHS PMO noted that the subject follow-up/research activity items are understood to be buried in JAD notes. There may not be any action on these items given that JADs are presently on hold. IV&V will seek additional information on how these items are catalogued, tracked, and incorporated back into requirements and design.		
19	The lack of an approved, baselined project schedule obscures the ability of stakeholders to accurately measure project progress and/or impacts to the schedule.	Finding - Issue	2/28/2019	Project Management	Observation;Customer Concern	Despite on-going efforts to establish project management processes, the project schedule baseline was neither completed by the ASI nor accepted by DHS for the majority of the March reporting period. The ASI has made assertions that delays on some tasks have affected the project timeline, however without a completed baselined schedule, transparency in this regard was obscured. The ASI has been re-structuring and baselining the schedule throughout the month of February, with a goal of delivering the revised, baselined schedule by the end of February. A baselined schedule was not delivered nor approved by the end of February, however, Gary Hirata, DHS BESSD Project Manager reported that a draft project schedule had been shown to him on February 28. In anticipation of a draft project schedule being formally delivered in early March, this finding was initially entered as a concern. When the project schedule was not delivered in early March, this finding was escalated to an Issue.	Without a baselined schedule, project team members are unaware when tasks and activities are due to be completed, and it is nearly impossible to fully understand the impact of delayed tasks. Without an realistic, approved baselined project schedule, the project is likely to miss deadlines without knowing the overall impact to the project.	IV&V recommends that the completed Schedule be utilized as both a guide and a communication vehicle on a weekly basis by all project participants, to ensure that all needed tasks and activities are executed in accordance with the detailed dates within the plan, with adherence to the Schedule Management Plan. The Schedule should be used to provide information on what tasks and activities are in-flight, their status, key resources involved, and downstream dependencies, and should be reported out to DHS weekly.	Immediately	5	4	High	High	Open		04/30/2019: The ASI produced two draft revisions of the schedule in April, showing marked improvement from previous months. IVV provided DCF comments to DHS and the ASI, and also provided DHS with a list of priority recommendations for incorporation, to help ensure it is thorough, logical, manageable, and maintainable prior to acceptance. IVV will continue to monitor the progress the ASI makes on developing the project schedule. IVV maintains this is a High risk to the project as of the April 2019 reporting period. 3/26/2019: IV&V has no material update on this issue for the March report. A draft copy of the schedule was presented and delivered on 3/27/19. IV&V would like to review and analyze this schedule before taking any further action on this finding. 3/11/2019: This has been re-prioritized as an Issue. The lack of an approved, baselined schedule is currently impeding transparency into schedule impacts due to CRs and other project events. The project schedule was promised to be delivered at the beginning of February, then moved to the end of February, and now in the last half of March. IV&V acknowledges that Unisys is currently working to complete the project schedule.		
20	The Change Request decision process is inordinately slow, which may delay the project schedule	Concern	2/28/2019	Project Management	Observation	IV&V has observed that the Change Management process, specifically the Change Request decision process, has been inordinately slow, and certainly slower than needed for the project. The same Change Requests have been outstanding for several months, without final approval or denial. These include Uferlay to Adobe; One Siebel Instance; Review Updated BPR Manual; and DMV Migration. This finding is entered as a concern with further observation and discovery to be conducted by IVV.	Change Management is a process that requires some level of expediency. Delays in decisions regarding Change Requests can negatively affect the project schedule.	IV&V recommends that the project determines acceptable durations for each step of the Change Management process, in order to ensure that they are fully evaluated and adjudicated on a predictable and timely basis.	Q2 2019	3	3	Medium	Med	Open		4/29/2019 - IVV has no material update for the April reporting period. In May, IVV will work with DHS to better understand the CR process and the information being provided by the ASI, and will either substantiate this concern, or close it. 3/26/19: No change. The process is slow for the reasons stated by DHS below. IV&V will continue to monitor this concern and CRs as they come in. 3/6/2019: The DHS PMO noted that the CRs to date have been fairly large, and there have been many questions about the ROM and Project Impact Assessments (PIA) given. The decision process in these situations needs to be deliberate and careful to assure Hawaii funds are expended properly. IV&V will investigate further, and make recommendations for target timeframes or other process improvements.		
21	The ASI (Unisys) PMO Lead and Data Conversion Lead roles are held by a single staff member, which may cause the Project to suffer due to staff over-allocation and competing priorities.	Concern	2/28/2019	Project Management	Observation	One ASI staff member holds two positions on the team, including PMO Lead and Data Conversion Lead. Due to the attention required in each of the roles, these two roles are better resourced as individual, full time staff members. This finding is entered as a concern with further observation and discovery to be conducted by IVV.	If the single staff member holding both positions runs into unexpected challenges for either role, both workstreams may end up suffering from lack of resource attention. Both positions and workstreams are very important to the success of the project effort.	IVV recommend that the PMO Lead position and the Data Conversion Lead position are both resourced at full time levels.	Q2 2019	2	2	Low	Low	Retired	3/13/2019	3/13/19: Unisys introduced Vic Dudoit as the new PMO Lead for the project. The addition of Mr. Dudoit alleviates the concern, which is now retired.	3/13/19 Bill Thornton, Unisys: ASI agrees with this recommendation and has added an additional full time, dedicated resource for the PMO Lead position.	
22	Lack of a dedicated ASI Quality Assurance Team is resulting in extended deliverable reviews	Concern	4/15/2019	Project Management	Observation;Customer Concern	ASI deliverables have consistently exhibited the lack of QA. Poor quality (grammar issues, incomplete sentences, and content issues (duplicate content, missing content, duplicative content, etc.)) has directly caused several unnecessary rounds of deliverable reviews. The ASI's draft PMP states that quality assurance is performed through peer reviews prior to delivery, however there has been no evidence to substantiate that this process is utilized. If it is being utilized, it simply is not meeting the needs of the project.	If the ASI does not properly perform QA, the onus for correction inappropriately falls on the deliverable review team to identify issues that render deliverables as poor and/or unreviewable. Poor quality results in additional unplanned ASI rework and unplanned rounds of review for DHS and IVV. Continued unplanned review cycles due to lack of ASI is likely to result in schedule delays.	The ASI should immediately implement a process to improve deliverable readability and quality (examples: for grammar, incomplete sentences, duplicative content, missing content, and conflicting content) prior to delivery to DHS.	May 2019	4	3	High	NA	Open		4/30/2019: Before the end of the month of April, the new PMO Lead was also named as QA Team Lead. IVV will keep this open as a preliminary concern to be further monitored in May.		
23	Lack of overall productivity since project inception.	Finding - Risk	4/30/2019	Project Management	Observation	Some of DHS stakeholders have expressed frustration that the project has not met expectations and, though the project schedule has yet to be re-baselined and finalized, there is a perceived lack of ASI progress over the past 7 months (since project kickoff) by many stakeholders. It is unclear if the ASI has accounted for or has a mitigation plan for this shortfall in productivity or if they can assure key milestones will be met now that JAD's have been put on hold.	The perceived lack of ASI productivity by the client can hinder client engagement and negatively impact team buy-in and morale. Waning productivity can lead to negative impacts to project quality, schedule, budget, and resources and compromise the project's return on investment. While the ASI maintains the project end date remains unchanged, it is not clear how this can be verified given the unapproved schedule, JADs being on hold, and the number of deliverables that have been submitted as draft and are still not approved. This lack of productivity can result in unexpected schedule extensions and budget cuts that could negatively impact the quality of project deliverables as well as limit contract flexibility.	The ASI should produce, communicate, then execute a clear plan for addressing the project's productivity concerns as they relate to lack of quality, poor customer service, resourcing issues, process issues (including JADs), schedule issues, and deliverable/documentation shortcomings. Additionally, the ASI should ensure that senior resources are appropriately assigned and effectively involved in the project, in an effort to improve quality and restore confidence in the ASI's ability to effectively execute their contract.	ASAP	4	4	High	High	Open				

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24	Insufficient utilization of modern productivity tools (e.g. SharePoint)	Finding - Risk	4/30/2019	Project Management	Observation	The ASI prefers to use traditional tools (e.g., Excel) as opposed to modern, more efficient productivity tools (e.g., SharePoint) that provide greater functionality and empower stronger collaboration on and sharing of project information.	Usage of modern productivity tools are typically proven effective in organizing and providing visibility to information that can increase stakeholder awareness and productivity as well as encourage project engagement. For example, while some project information would be better stored in a SharePoint list the project often chooses to utilize traditional Excel spreadsheets that lack the same versioning and shared use capabilities as SharePoint lists. SharePoint Lists are often utilized as up to date repositories for information that can easily be accessed, updated, filtered, and sorted (without the need to open a document). Often, stakeholders will avoid looking for information if they need to search through SharePoint document libraries and then search through multiple documents to compile information that is buried in one or more Word/Excel document.	It is recommended that the ASI acquire modern productivity tool (e.g. SharePoint) expertise to ensure effective use of more advanced tool productivity capabilities. Additionally, the ASI should collaborate with DHS to identify information/spreadsheets that could be more effectively stored in SharePoint Lists for better shared use, easy access, and dissemination of information.	May 2019	1	3	Low	Low	Open				