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March 12, 2020

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

The Honorable Scott K. Saiki,
Speaker, and
Members of The House of Representatives
Thirtieth 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 reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawaii Department of 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,


Douglas Murdock (Mar 12, 2020)

Douglas Murdock
Chief Information Officer
State of Hawai'i

Attachment (2)



Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: February 1-29, 2020

Final submitted: March 12, 2020

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
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Solutions that Matter

The background is a solid blue color with various abstract geometric shapes. These include several squares and rectangles, some of which are outlined in a lighter blue, while others are solid. The shapes are scattered across the page, with a higher concentration on the left side. The overall aesthetic is clean and modern.

Executive Summary



In February, DHS Executive Management decided against pursuing Accenture's benefit management solution to support the System Modernization Project. Efforts shifted back to BES Optimization and amending the ASI contract to include changes to the scope of work, requirements, high-level project timeline and other contract modifications. The project plans to complete the contract amendment in March 2020. The project also restarted the weekly status meetings, JAD sessions, and conversion meetings in February, and committed to producing an updated work plan in early March.

Similar to recently released IV&V reports, the practice of providing updates and/or criticality ratings on IV&V findings related to the BES Optimization effort continues to be on hold during this reporting period. With the Project's decision to move forward with the BES Optimization and the project restarting some activities, IV&V will provide ratings for all findings and categories in the March 2020 IV&V Monthly Status Report, regardless of the status of the contract amendment. Now is a good time for the project team to apply lessons learned to avoid past challenges and reduce risk to the project, specifically in the areas of:

- Communication – update the Communication Plan to describe the specific framework for sharing and coordinating information in a timely manner between vendors (Unisys and subcontractors (e.g. eWorld)) and DHS, clarify roles and responsibilities, and indicate clear escalation paths that are respectful of the project governance structure.*
- Planning - identify, schedule and manage all (to include Unisys and subcontractors (e.g. eWorld) and DHS) of the activities to be performed to get to end of job.*
- DDI approach – document, review and update the detailed methodology to demonstrate the ASI's ability to complete the project and successfully implement the solution, creating a clear understanding of how the project will be performed that is commonly shared between Unisys and subcontractors (e.g. eWorld) and DHS.*
- Architecture – document the technical solution to include the overall architecture, integration and tools in its long-term sustainability and maintainability.*

IV&V is hopeful that applying these lessons learned will reduce risk to the project over time and will continue to monitor project activities in these, and other areas in the coming reporting periods.

Executive Summary



| Dec | Jan | Feb | Category | IV&V Observations |
|--------------------------------------|-----|-----|-------------------------------|---|
| N/R | N/R | N/R | Project Management | Five out of seven items in the Project Management category are directly impacted by the BES Optimization. IV&V opened a new issue in the February reporting period specific to DHS not having a documented plan to achieve the BES Optimization contract amendment, however, steps to complete the process are being taken. IV&V will continue to review BES Optimization planning documents to further understand potential impacts to the Project Management category in March. |
| N/R | N/R | N/R | Configuration and Development | One of the two open findings in the Configuration and Development category will likely be significantly impacted by the BES Optimization. The remaining finding is related to the MQD Portal, for which the RFP has not yet been released. IV&V will continue to review BES Optimization planning documents to further understand potential impacts to the Configuration and Development category in March. |
| N/R | N/R | N/R | System Design | IV&V has determined that the only open finding in the System Design category will likely be significantly impacted by the BES Optimization. IV&V will continue to review BES Optimization planning documents to further understand potential impacts to the System Design category in March. |
| N/R | N/R | N/R | Deployment | IV&V has determined that the only open finding in the Deployment category will likely be significantly impacted by the BES Optimization. IV&V will continue to review BES Optimization planning documents to further understand potential impacts to the Deployment category in March. |
| N/R = No criticality rating provided | | | | |

Executive Summary



| Dec | Jan | Feb | Category | IV&V Observations |
|--------------------------------------|-----|-----|------------------------------------|--|
| N/R | N/R | N/R | Requirements Analysis & Management | In February, the project team made good progress by agreeing to 'break down' the MDM Release requirements so that none of the requirements will be 'partially met'. IV&V will keep this finding open until the go forward path for all BES requirements is defined by the project team and will provide an update in March. |
| - | N/R | N/R | OCM & Knowledge Transfer | IV&V has a single finding related to the numerous positions on the project (both State and Vendor) that have either departed the project or will be departing the project in the coming months, without having a documented transition plan in either case. In February, the ASI indicated some knowledge transfer sessions were conducted and they are actively recruiting to fill the open positions. DHS is also taking the initial steps with transition planning. IV&V will follow up in March to better understand both the ASI's and DHS's transition plan and efforts. |
| N/R = No criticality rating provided | | | | |

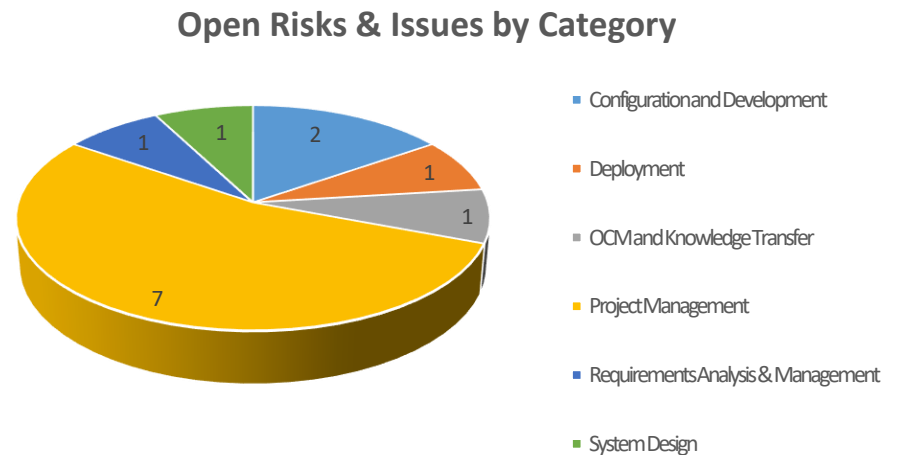
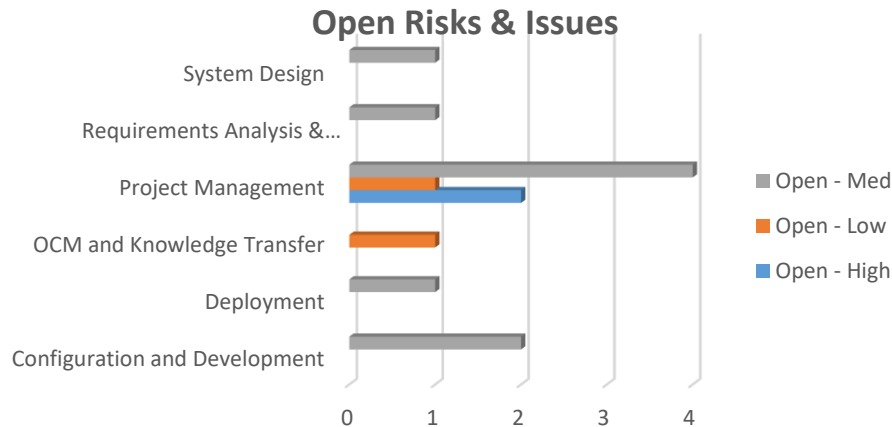
The background is a solid dark blue color. It features several decorative elements: a cluster of overlapping rounded rectangles and squares in the upper left quadrant, and a few more scattered rounded rectangles and squares in the lower right quadrant. The shapes are in various shades of blue, some with white outlines and others as solid colors.

IV&V Findings and Recommendations

IV&V Findings and Recommendations



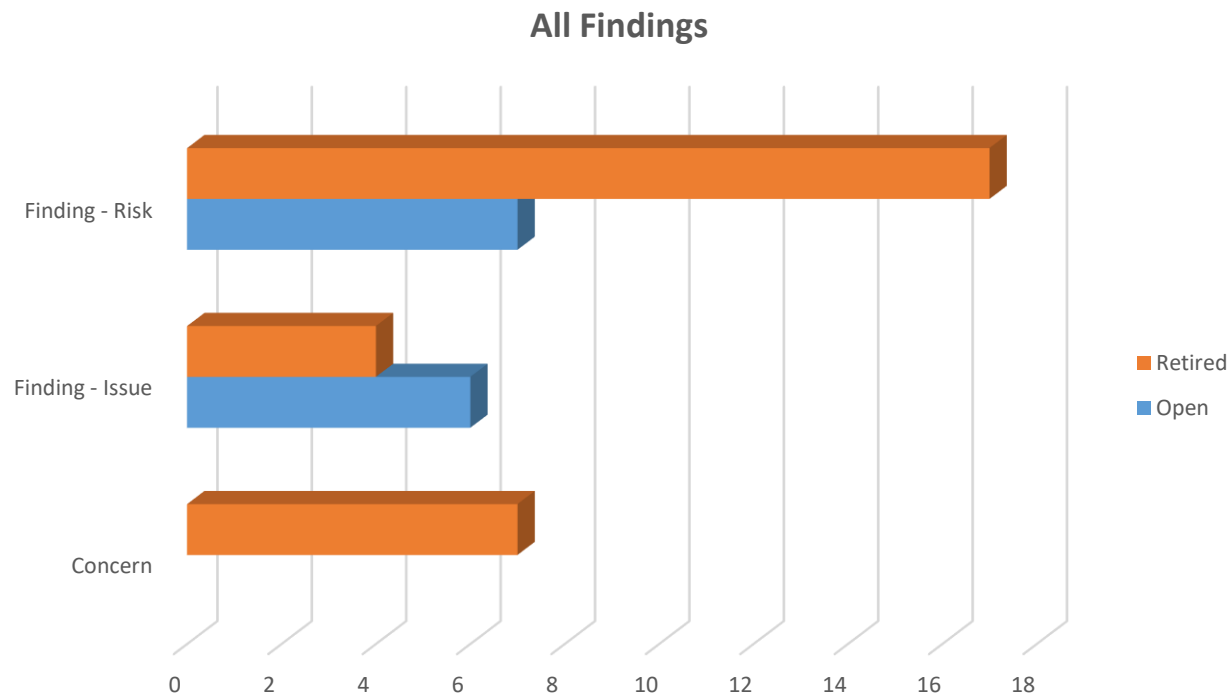
As of the February 2020 reporting period, PCG is tracking 13 open findings (7 risks and 6 issues) and has retired 28 findings and concerns. Of the 13 open findings, 7 are related to Project Management, 2 are related to Configuration and Development, and 1 each in System Design, Deployment, and Requirements Analysis & Management. IV&V opened one new medium issue in February but did not close any findings during the reporting period. The following figures provide a breakdown of our open risks and issues by priority and 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



Findings Opened During the Reporting Period

| # | Finding | Category |
|----|---|--------------------|
| 44 | Issue - The project has not documented key milestones to amend the contract for the BES Optimization, which could result in a lack of clarity regarding current status and work that remains to be accomplished. | Project Management |

IV&V Findings and Recommendations



Findings Retired During the Reporting Period

| # | Finding | Category |
|---|---|----------|
| | No findings were retired during the February 2020 reporting period. | |

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

| # | Finding | Category |
|---|--|----------|
| | No new preliminary concerns were identified during the February 2020 reporting period. | |

IV&V Findings and Recommendations



Project Management


| # | Key Findings | Criticality Rating |
|---|---|--------------------|
| 2 | <p>Issue – Late Delivery of project deliverables may result in schedule delays. In the February reporting period, the State decided to move forward with the BES Optimization and is currently working with the ASI to amend the contract. An ASI action item was opened to develop an interim schedule on 2/12/2020 detailing the work currently being performed, with expected completion by 2/26/2020. The ASI reported in the 2/19/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASI contract is executed. This action item was since pushed out for completion (at a high level) on 3/4/2020.</p> <p>IV&V will leave this finding open until such time that a revised schedule is published by the ASI.</p> | N/R |

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none">IV&V will reassess the standing of this finding when the schedule is published by the ASI. | In process |

IV&V Findings and Recommendations



Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 5 | <p>Risk – The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding. DHS met with CMS and decided the MEELC will not apply for this project. The project may be a pilot for the new Outcomes Based Certification (OBC) process to include MITA alignment. DHS provided the ASI with standard language to incorporate into the deliverables that may be impacted by OBC and MITA alignment. IV&V will continue discussions with DHS to ensure there is a clear understanding of the CMS requirements regarding MITA and OBC.</p> <p>IV&V maintains this is a low criticality risk to the project as of the February reporting period.</p> |  |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">Continue dialogue with CMS regarding the project's approach to OBC and MITA alignment to ensure all CMS requirements are met by the BES Solution. | In process |

IV&V Findings and Recommendations



Project Management

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 26 | <p>Risk – Due to the lack of detail in the baseline schedule, unanticipated schedule delays may occur. In the February reporting period, the State decided to move forward with the BES Optimization and is currently working with the ASI to amend the contract. An ASI action item was opened to develop an interim schedule on 2/12/2020 detailing the work currently being performed, with expected completion by 2/26/2020. The ASI reported in the 2/19/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASI contract is executed. This action item was since pushed out for completion (at a high level) on 3/4/2020.</p> <p>IV&V will leave this finding open until such time that a revised schedule is published by the ASI.</p> | N/R |

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none">IV&V will reassess the standing of this finding when the schedule is published by the ASI. | In process |

IV&V Findings and Recommendations



Project Management

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 27 | <p>Risk - The baseline schedule lacks proper resource loading which could result in unanticipated schedule delays. In the February reporting period, the State decided to move forward with the BES Optimization and is currently working with the ASI to amend the contract. An ASI action item was opened to develop an interim schedule on 2/12/2020 detailing the work currently being performed, with expected completion by 2/26/2020. The ASI reported in the 2/19/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASI contract is executed. This action item was since pushed out for completion (at a high level) on 3/4/2020.</p> <p>IV&V will leave this finding open until such time that a revised schedule is published by the ASI.</p> | N/R |

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none">IV&V will reassess the standing of this finding when the schedule is published by the ASI. | In process |

IV&V Findings and Recommendations



Project Management


| # | Key Findings | Criticality Rating |
|----|---|--------------------|
| 29 | <p>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.</p> <p>In the February reporting period, the project continued to work with the ASI to negotiate the terms and scope of the BES Optimization. Currently, the project is anticipating the possibility of having to push out the BES implementation timeframe, along with a reduction in scope (requirements) in order to stay within the current project budget. Until the BES Optimization contract amendment is finalized, the full impact to scope, schedule, cost, and resources will not be known. IV&V will review plans for the BES Optimization effort and contract amendment as they become available.</p> <p>IV&V will continue to monitor the progress of the BES Optimization, and will readdress this finding in March.</p> | N/R |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">IV&V will reassess the standing of this finding upon complete review of the BES Optimization documentation and will update recommendations for this finding as appropriate. | In process |

IV&V Findings and Recommendations



Project Management


| # | Key Findings | Criticality Rating |
|----|---|---|
| 42 | <p>Risk - Insufficient ASI communication with DHS regarding key (urgent/time sensitive) project information could lead to project delays and disrupt DHS operations. The ASI has stated their intention to update the project Communications Plan based on IV&V feedback. With the recent replacement of the ASI PM, some stakeholders have reported improved communications and IV&V has observed a significant improvement in productive ASI/IV&V communications.</p> <p>IV&V will revisit this risk with the ASI and DHS in March but maintains this is a medium risk to the project as of the February reporting period.</p> |  |

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none"> Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule. | In process |
| <ul style="list-style-type: none"> ASI establish a single communications channel to manage all ASI to DHS communications and ensure regular communication to DHS. | In process |
| <ul style="list-style-type: none"> Update project communications plan with enhanced communication processes. | In process |

IV&V Findings and Recommendations



Project Management


| # | Key Findings | Criticality Rating |
|----|---|---|
| 44 | <i>New Issue</i> - The project has not documented key milestones to amend the contract for the BES Optimization, which could result in a lack of clarity regarding current status and work that remains to be accomplished. This is a new issue being reported for the first time. Based on discussions with the ASI in early March, a high-level schedule has been drafted. IV&V will review the schedule and provide an update in March. |  |

| Recommendations | Progress |
|--|------------|
| <ul style="list-style-type: none">Develop a singular document (e.g., a milestone calendar) to track progress and understand the scope of work needed to be done to complete the BES Optimization contract amendment. | <i>New</i> |

IV&V Findings and Recommendations



Configuration and Development

| # | Key Findings | Criticality Rating |
|----|--|---|
| 12 | <p>Issue – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. The ASI has restarted JAD sessions for the BES portal design as of 2/11/20 and the KOLEA Portal RFP has not been released.</p> <p>IV&V will continue to monitor and provide an update in March.</p> |  |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">Complete the Change Request (CR) process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate. | Closed |
| <ul style="list-style-type: none">Continue discussions with the ASI and DHS to understand the go forward plan related to the BES Portal requirements. | In process |

IV&V Findings and Recommendations



Configuration and Development

| # | Key Findings | Criticality Rating |
|----|---|--------------------|
| 16 | <p>Issue – Lack of clear understanding of DDI approach may reduce effectiveness of JARs and JADs.</p> <p>The ASI recently provided DHS with a series of LucidChart Process Diagrams as a means to provide them with a better understanding of the 'big picture' and how all the individual processes and analysis relate to each other and 'fit together'. Review sessions of these diagrams are planned. Additionally, the project continues to move forward with the BES Optimization. It is currently unknown if the Solution Optimization, or the inclusion of subcontractor development resources, will change or impact the ASI's DDI approach.</p> <p>IV&V will continue to evaluate this finding as additional details about the Solution Optimization are made available.</p> | N/R |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">IV&V will reassess the standing of this finding upon complete review of the BES Optimization documentation and will update recommendations for this finding as appropriate. | In process |

IV&V Findings and Recommendations



System Design

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 38 | <p>Risk – Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessions, the project could be faced with significant design rework, which may result in schedule delays, and impact the quality of solution design. The project continues to work with the ASI to negotiate the terms and scope of the BES Optimization. At this time, the plan for how Workflow will be incorporated into JADs is unknown. IV&V will review plans for the revised BES Optimization effort, specifically as they pertain to JADs, once they become available.</p> <p>IV&V will continue to monitor the progress of the BES Optimization and will readdress this finding in March.</p> | N/R |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">IV&V will reassess the standing of this finding upon complete review of the BES Optimization documentation and will update recommendations for this finding as appropriate. | In process |

IV&V Findings and Recommendations



Deployment

| # | Key Findings | Criticality Rating |
|----|---|--------------------|
| 40 | <p>Issue - Due to inadequate DD&I Release Management practices the project may experience delayed or failed releases and/or poor release quality. In the February reporting period, IV&V validates that the ASI still has not yet performed a BES release, however the ASI has now successfully accomplished two releases for KOLEA M&O. IV&V will continue to monitor as it is anticipated that some DDI release changes will be made as the project gets closer to the next BES release.</p> <p>IV&V will continue to monitor the progress of the BES Optimization and will readdress this finding in March.</p> | N/R |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">Assign a Release Manager to manage all details of planned releases. | Complete |
| <ul style="list-style-type: none">Develop a Release Plan document for each release, that provides details of the planned release and all associated configuration items, clear assignments for all staff involved in all tasks, a schedule for completion of all tasks and activities, planned release status communications, and back out procedures should they be necessary. | In process |

IV&V Findings and Recommendations



Requirements Analysis & Management

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 41 | <p>Risk - Due to a lack of clarity regarding “Partially Met” requirements in design artifacts, full traceability of requirements may be hampered, and all requirements may not be fully met. IV&V is aware that the ASI has commenced efforts with DHS BESSD to break down requirements into singular, traceable, and testable requirements, in an effort to eliminate concerns about partially met requirements. IV&V recommended use of a uniform acceptance criteria be used to break down the requirements, such as IEEE 29148. IV&V confirms that this effort has been completed and there are no longer any partially met requirements for the Iteration 1 MDM Release. However, it is unclear at this point what the schedule is for the remaining balance of the partially met requirements, or if a uniform acceptance criteria was utilized.</p> <p>IV&V will continue to monitor in March to gain further details of the planned approach forward.</p> | |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">Determine a requirements management and design artifact that provides full accountability of where every component of a requirement that is listed as 'Partially Met' is satisfied, ensuring that each requirement is Fully Met and can be validated as such. | In process |

IV&V Findings and Recommendations



OCM & Knowledge Transfer

| # | Key Findings | Criticality Rating |
|----|--|--------------------|
| 43 | <p>Risk - Due to key DHS, BES and ASI Project Team members departing and/or transitioning from the project, succession planning and knowledge transfer is needed to ensure there are no gaps in knowledge and leadership on the project. This finding was discussed with DHS and the ASI PM this month and they are taking the initial steps to mitigate this risk. IV&V learned that the ASI PM did attend knowledge transfer sessions with both the former ASI PM and the former ASI PMO Lead, prior to their departures. Further, the ASI has discussed its plans to hire both a full time PM and full time PMO Lead. IV&V will follow-up with DHS and the ASI PM in March and provide an update in the next report.</p> <p>Due to the progress observed in February, IV&V is reducing this risk to a low priority and will continue to monitor.</p> | |

| Recommendations | Progress |
|---|------------|
| <ul style="list-style-type: none">The state should develop a transition plan for the project and PMO resources as identified in the RFP, which includes DHS PMO and DHS DDI resources (reference RFP section 3.4.3 'DHS Staffing'). | In process |
| <ul style="list-style-type: none">The ASI should develop a transition plan for each key resource as required by the RFP (reference RFP section 3.5.1.2 'Benefits Eligibility Solution Project Staffing'.) | In process |



IV&V Status

IV&V Engagement Status



| IV&V Engagement Area | Dec | Jan | Feb | Comments |
|--|-----|-----|-----|--|
| IV&V Budget | | | | |
| IV&V Schedule | | | | |
| IV&V Deliverables | | | | PCG submitted the final January 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 on hold until IV&V and DHS determine the appropriate time to submit the report. |
| CMS Milestone Reviews | | | | The first CMS Milestone Review date has not yet been determined. |
| IV&V Staffing | | | | In this reporting period, IV&V announced that Brian Nagy will be leaving the BES project team and Jolene Strand will assume the IV&V Project Manager position effective March 1, 2020. |
| IV&V Scope | | | | |

Engagement Rating Legend

| | | | | | |
|--|--|--|--|--|--|
| | The engagement area is within acceptable parameters. | | The engagement area is somewhat outside acceptable parameters. | | The engagement area poses a significant risk to the IV&V project quality and requires immediate attention. |
|--|--|--|--|--|--|



- IV&V activities in the February reporting period:
 - Completed – January Monthly Status Report
 - Submitted – BI-10 resubmission comments
 - Submitted - BI-12 System Architecture Deliverable (MDM only) comments
 - Ongoing analysis of Medicaid Eligibility and Enrollment Toolkit (MEET) requirements applicable to BES project
 - Ongoing – Review Deliverables for BES project
 - Ongoing – Attend ASI project meetings, including JADs and Workgroups (see [Additional Inputs](#) pages for details)
 - Reviewed available BES Optimization documentation
 - Review available Ohio benefits management solution documentation
- Planned IV&V activities for the March reporting period:
 - Ongoing – Observe BES JAD and Workgroup sessions
 - Ongoing – Observe Weekly Project Status meetings
 - Ongoing – Observe bi-weekly BES Project Risk and Issue meetings
 - Ongoing – Monthly IV&V findings meetings with Unisys
 - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
 - Ongoing – Review BES artifacts and deliverables
 - Review updated BES Optimization planning documentation
 - Attend BES Optimization working sessions

Deliverables Reviewed



| Deliverable Name | Deliverable Date | Version |
|--|---------------------|---------|
| BI-02 Project Status Report Deliverable | Weekly as delivered | N/A |
| BI-10 Functional Design Iteration 1 Reassessment | 01/27/2020 | V1.3 |
| BI-12 MDM Architecture Re-Assessment | 01/10/2020 | v1.6 |
| BI-16 Data Conversion Plan Re-Assessment | 11/01/2019 | v1.6 |
| BI-16 Data Conversion Plan Re-Assessment (specific to section 4.3) | 09/01/2019 | v1.3 |

Additional Inputs – Artifacts



| Deliverable Name | Artifact Date | Version |
|---|---------------|---------|
| Accenture Public Service Platform documentation | N/A | |
| SSP Combo App Wireframes | 02/18/2020 | |
| SSP Create Account Wireframes | 02/19/2020 | |
| SSP Pre-Screening Mobile Wireframes | 02/21/2020 | |
| Big Picture Documentation - LucidCharts | N/A | |

Additional Inputs



Meetings and/or Sessions Attended/Observed:




- BESSD PMO, IV&V Weekly Meeting x4 (02/05/2020, 02/12/2020, 02/19/2020, 02/26/2020)
- BES Status Meetings x4 (02/05/2020, 02/12/2020, 02/19/2020, 02/26/2020)
- BES Change Control Board Meeting (02/05/2020)
- Self Service Portal Review / JAD Sessions x5 (02/11/2020, 02/12/2020, 02/13/2020, 02/18/2020, 02/19/2020)
- Data Conversion Meeting (02/18/2020)
- Accenture SNAP-Cash Eligibility System and Self Service Portal Technical Discussion (02/05/2020)
- BI-12 MDM Technical Architecture Deliverable Comment Walkthrough (02/28/2020)



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



Solutions that Matter

| Issue Number | Title | Reporter | Risk Type | Identified Date | Category | Observation | Confidence | CV/2020 | CV/2021 | Recommendation | Event Horizon | Impact | Probability | Asset Priority | Effective Date | Date Resolved | CV/2020 | Client Comments | Vendor Comments |
|--------------|--|----------|-----------------|-----------------|-------------------------------|--|------------|---------|--|---|---------------|--------|-------------|----------------|---|--|--|-----------------|-----------------|
| 27 | The baseline schedule lacks proper resource loading which could result in unanticipated schedule delays | Darren | Finding - Risk | 5/28/2019 | Project Management | The draft baseline schedule does not include all resource assignments, and most of the lead resources that are added to the schedule are largely over-allocated. The RFP and the AD proposal both require a fully resource-loaded project schedule. All lead project staff will be over-allocated through the next 90 days. Over-allocation ranges from 14 hrs/day to 136 hrs/day. The AD has indicated that they will only load resource assignments for lead staff, which obscures transparency. Unknown project staff (Identify Agent Lead, Integration Lead, Safety Ops Lead, O&M Lead, SR release, Data Architect, Tech Writer) are also over-allocated. Quantification ranges from 24.38 hrs/day. There are over 68,000 hours of work assigned to Univy. There are over 63,000 hours of work assigned to O&M. Technical. | High | High | The project's ability to understand 'what' staff are working on 'what' project tasks is obscured. It is recommended that the AD perform, at a minimum, the following: Add all project resources to the project schedule. Assign all project resources to the schedule to be as accurate and planned tasks and activities. Level load the next 90 days to ensure the current and planned tasks in accordance with the schedule. Update resource gaps, and, if appropriate, the appropriate level, resource assignments may not have been fully planned out and/or assigned. | July 2019 | 4 | 3 | Med | Open | 3/10/2020 - The AD PM indicated the schedule may not be fully reviewed in MS-Project since it requires a significant amount of time to manage. They will review alternatives (ETC forecasting) to get back work. | 3/10/2019 SB - The AD did meet with V and V after the Monthly review call for the September report and did walk through resource updates. The AD requests the V and V to update the finding based on the latest review. | 06/11/2019 S Brown: The AD will continue to update and level resource assignments. | | |
| 26 | Due to the lack of detail in the baseline schedule, unanticipated schedule delays may occur | Darren | Finding - Risk | 5/28/2019 | Project Management | The tasks and activities listed in the project schedule for the next 90 days have not been decomposed to a level to allow actual progress can accurately be measured. VIV has become aware that some project tasks are using O&M, Tech, or other tasks to track task and activity details within their respective areas of responsibility. | High | High | If all tasks and activities are not thoroughly decomposed in a common manner using RBS Projects, it is highly likely that sub-plan released elements will at times not be in sync with and/or represent work over/under projected. This type of approach often times results in unplanned activity and/or project delays, and hinders the project's ability to sufficiently plan for the appropriate work to be involved in each task. | July 2019 | 3 | 3 | Med | Open | 10/20/2019 SB - The AD did meet with V and V after the Monthly review call for the September report and did walk through resource updates. The AD requests the V and V to update the finding based on the latest review. | 06/12/2019 SB - The AD and OHS have a weekly meeting to review the schedule in great detail. The AD and OHS are evaluating options to simplify the schedule and work with team training process. 06/11/2019 S Brown: The AD agreed to add additional detail once the schedule is finalized, as discussed with the client. | | | |
| 16 | Lack of clear understanding of IDO approach may reduce effectiveness of JAs and IAs | mfrn | Finding - Issue | 12/17/2018 | Configuration and Development | Several OHS stakeholders have commented that the SI Design, Development, and Implementation (DDI) approach is unclear. While stakeholders can observe a variety of activities and have participated in some SI activities, they do not understand how all fit together and some activities objectives seem unclear. The SI conducted a DDQ approach overview session during an initial JAs session, however all stakeholders were present. VIV did not include any DDQ approach documentation or materials that could be referenced by stakeholders who may have missed the overview session, by new members of the team, or by other interested parties. | Low | High | DDQ recommends one or more of the following to mitigate this risk: • SI provide an additional DDQ approach overview session for stakeholders and allow for Q&A • SI provide DDQ approach documentation/materials for stakeholders to review and/or refresh their knowledge as deemed; the materials could be made available on the project Sharepoint • SI update DDQ Plan deliverable and make it easily available to all project stakeholders | 1/12/19 | 4 | 3 | Med | Open | 06/12/2019 SB - The AD OHS Plan Deliverable has been accepted by the AD. The AD is currently addressing comments on the iterations of the SI 3D Functional Design deliverable provided for review to OHS to more fully align with sections of the approved DDQ. | 1/7/19: Note: During the Q1-Q2-18 [sic] status meeting, OHS did not decline the offer and make suggestions. To my understanding, Univy offered to present the orientation during each JAs session. It was suggested by OHS that the pre-100 pages be placed in the Sharepoint project and for new participants in the JAs, a separate orientation before the AD should be held for those new participants. | | | |
| 12 | Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. (Effort vs. Adobe) | mfrn | Finding - Issue | 11/28/2018 | Configuration and Development | The project intends to utilize Adobe as the preferred platform for portal development, instead of Oracle (which is currently used for the existing O&M portal platform), as the BES project work portal solution. Adobe Forms is currently out of scope for the BES portal but is in scope for BES PDF production. The decision represents a change in scope and requires a CA, which is currently in process. AD has given OHS a Rough Order of Magnitude (ROM) estimate of \$2.8 million for the CA and has provided a more detailed PO. As of the date of this report, the Project is tracking this Plan. Top level effort in O&M will be able to fund this CA if it is approved by OHS. | High | High | If OHS changes a charge request to implement Adobe as the BES portal solution, there will be a significant impact to the project budget. The AD has stated that if the portal platform is not decided soon there will be schedule impacts as they need to staff for the appropriate deliverable. AD has also stated they may begin developing a solution in Oracle until a CA is executed to move to Adobe. | 01/20/20 | 4 | 3 | Med | Open | 3/10/2019 SB - The AD would like the V and V to update their assessment to include the status that there has been multiple iterations of this CA that have been provided to OHS to address their project needs and budget concerns. The AD has provided the PMO with an updated approach and ROM for the conversion of the O&M portal to Adobe that the AD believes is in line with OHS expectations and it is currently under review by OHS. | 06/12/2019 SB: Active conversation and assessment of options continues between the AD and OHS. | | | |
| 5 | The OHS Project Partnership Understanding (PPU) is not finalized between the Data and OHS for this project. If funding is expensed from OHS, they may require alignment to the M&TA Frameworks, Data Review and/or use of the Metadata Eligibility and Environment (MEET) Checklist. The MEET checklist are developed prior to the OHS gate reviews and are part of the Metadata Eligibility and Environment Life Cycle (MEELC) that defines the OHS processes for Eligibility and Environment projects. | Johnie | Finding - Risk | 11/26/2018 | Project Management | The PPU is not finalized prior to the Start-up approval of the functional and technical requirements and project funding may be at risk. | High | High | The Data and OHS complete the PPU and the project requirements of Federal reporting and process requirements into the appropriate project deliverables. | Prior to Functional and Technical Requirement Approval. | 5 | 1 | Low | Open | 06/12/2019 SB: The AD would like the V and V to update their assessment to include the status that there has been multiple iterations of this CA that have been provided to OHS to address their project needs and budget concerns. The AD has provided the PMO with an updated approach and ROM for the conversion of the O&M portal to Adobe that the AD believes is in line with OHS expectations and it is currently under review by OHS. | 06/11/2019 SB: The AD disagrees with this finding and associated rating. The OHS plan has been presented to the client in a variety and the AD is awaiting delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the relationship to the client. The AD is in the process of updating the deliverable based on the OHS comments, with many of them from V and V that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments that need to be closed this week. We will update the schedule as needed. | | | |

| Issue Number | Title | Source | Issue Type | Identified Date | Category | Observation | Confidence | Recommendation | Event Horizon | Impact | Probability | Asset/Priority | Effort/Status | Date Raised | Open/Status | Client Comments |
|--------------|--|----------|-----------------|-----------------|--------------------|---|------------|----------------|---------------|--------|-------------|--|--|-------------|-------------|-----------------|
| 2 | Late delivery of project deliverables may result in schedule delays. | Internal | Finding - Issue | 11/29/2018 | Project Management | <p>Based upon the project schedule dated 11/29/18 (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 lack 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 management in scope, schedule, cost, and quality parameters. Without a schedule that provides the required level of detail to manage the work, the project is at risk to be unsuccessful.</p> <p>IVV recommends that the ASJ complete the Project Management Plan deliverable, work with DHS and IVV for review and edit as needed, and obtain approval of the PMP. This will help ensure that all processes within the project management entity are thoughtfully and collaboratively designed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverable and tasks and deliver them as needed mitigation actions along with identification and agreement with DHS on DED to resolve the late activities and tasks. Updated Recommendation 10/10/2019 - Continue to manage and track the schedule to ensure deliverables are provided as planned. - Review the schedule critical path to the weekly schedule review meeting. - Continue to meet weekly with DHS to convey new schedule changes, obstacles, and document the corrective actions that will be taken to address schedule delays and obstacle resolution. - Determine if the stopped work on TDS will impact the schedule, and update accordingly. - Determine if work on TDS will impact the schedule, and update accordingly. - Analyze the project schedule activities to identify any opportunities to make up time resulting from the current delayed activities. - Develop a process for determining what functionality will be delivered as part of an iteration, determine how many iterations there will be, and update the schedule accordingly.</p> | TDS | 4 | 5 | High | Open | <p>02/26/2020: The State decided to move forward with the BES Solution Optimization and is currently working with the ASJ to amend the contract. An ASJ action item was opened to develop an interim schedule on 2/12/2020 detailing the work currently being performed, with expected completion by 2/26/2020. The ASJ reported on the 2/19/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASJ contract is executed. This action item was since pushed out for completion (at a high level) on 3/4/2020. IVV will leave this finding open until such time that a revised schedule is published by the ASJ. 02/12/2020: During the January reporting period, the State informed IVV they are researching alternative solutions for the BES application. An DHS and the ASJ agreed not to maintain the current schedule, the ASJ published the last schedule update on December 31, 2019. IVV will leave this finding open until such time that a revised schedule is published by the ASJ. As reported last month, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization options and will re-evaluate this finding in February. 12/31/2019: In the December reporting period, the IVV team reviewed the existing BES Optimization proposal documentation and met with the DHS DED to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resources to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will re-evaluate this finding in January. 11/29/2019: At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed "Threat" solution. Based on that information, IVV has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the "Threat" solution with the project. IVV will re-evaluate this finding during the December 2019 reporting period. 10/31/2019 - IVV observed the following in October related to this issue: - The ASJ wrote the "Big Picture" and agreed to document the process - planned to be completed by the end of October 2019 (action item #964). This will support the development of</p> | <p>02/26/2020: The ASJ is working in close collaboration with DHS on the schedule and are awaiting options to the project schedule and content and would ask the IV and V to reflect DHS's current assessment of this issue.</p> <p>02/12/2020: The ASJ meets weekly with DHS to review the schedule in detail and will continue to do so. As noted earlier, the ASJ and DHS are assessing options to simplify the schedule and work item tracking process.</p> <p>02/12/20: The ASJ and client are holding daily stand-up meetings to review progress made that day, any issues identified and the plan for the following day. These meetings specifically review the schedule and review opportunities for pull in. The ASJ and client are also holding weekly status meetings with the entire team to review progress, issues, and activities coming to the following week with the objective of collaboration and joint ownership of the projects progress and schedule improvement.</p> <p>3/19/20 Bill Thurman, Utah: Specific to the PMP, the DED was approved by DHS on 3/19/2020 and the deliverable submitted on 3/23/2020. Specific to the project schedule, the DED was approved by DHS on 1/13/2020 and the deliverable is planned for submission the week of 1/20/2020.</p> <p>2/16/20 Bill Thurman, Utah: Executive Summary Risk Feedback. The project schedule has been finalized but it needs to be re-baselined based on the approved dates of the DED's. Deliverable delays - as deliverables are not supported - 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 (R2) - Project Management ASJ submitted 27 deliverables and DEDs - Clarification there were 2 deliverables submitted (D8 Technical Specs for the non-prod environments and 8 of 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 supported - to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval 1/26/18, Keith Strick, Liaison. 2 We don't disagree with the statements but arguing this high-visibility risk is a major disruption</p> | | | |