DAVID Y. IGE
GOVERNOR

DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

P.O. BOX 119, HONOLULU, HAWAIʻI 96810-0119
Ph: (808) 586-6000 | Fax: (808) 586-1922
ETS.HAWAII.GOV

August 17, 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 (Aug 17, 2020 14:01 HST)

Douglas Murdock
Chief Information Officer
State of Hawaiʻi

Attachment (2)

Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: July 1 - 31, 2020

Submitted: August 13, 2020

PUBLIC CONSULTING GROUP

Solutions that Matter

Overview

-

Executive Summary

Executive Summary

In July, the project team continued to refine the project delivery framework (requirements, architecture, schedule, approach). Some project deliverables were completed this month resulting in notable improvement in the Requirements Analysis/Management and Deployment categories. However, the project schedule continues to be in flux and further revisions are anticipated when the Lessons Learned Action Plan is documented/applied to the project schedule while activities for future releases are underway. With a fully executed contract amendment in place for three months, it is time for the Project to focus on delivering quality services and solution to the State of Hawaii.

May	Jun	Jul	Category	IV&V Observations
M	M	H	Project Management	The Project Management category comprises most IV&V findings, which consist of risks and issues specific to the project schedule, solution architecture, quality of project artifacts, communications, the impact of COVID-19, DHS Staffing and UAT readiness.
M	M	M	Configuration and Development	The project team continues to gain an understanding of the ASI's development approach and how the BES application will be built. A deeper understanding is expected to be gained in August, when the ASI further defines the architecture, completes and delivers the remainder of the of Release 0.1 deliverables and updates the schedule to align to the approach described in the DD&I Plan.
M	M	M	System Design	Workflow (the sequence through which work passes from initiation to completion) was inconsistently addressed during the BES design sessions. As part of the BES Optimization re-planning effort, the ASI is adjusting the project schedule to ensure the design of workflow is consistently addressed in all functional areas. There was no material change to this category in this reporting period.

Executive Summary

May	Jun	Jul	Category	IV&V Observations
M	L	L	Deployment	The ASI's planning and approach to Release Management were identified as opportunities for improvement during early M&O releases. The ASI is planning to apply lessons learned from Release 0.1 to future releases.
M	M	L	Requirements Analysis & Management	DHS and the ASI continued to 'break down' the project's functional requirements to eliminate the instance of 'partially met' requirements. This activity is scheduled for completion in August per the project schedule. As DHS and the ASI agreed to the final list of BES Optimization requirements during this reporting period, this category was moved to a low criticality.
M	H	N/A	OCM & Knowledge Transfer	There are no IV&V findings in this category during the July 2020 reporting period. The DHS staffing finding previously in this category was moved to the Project Management category.

IV&V Findings and Recommendations

IV&V Findings and Recommendations

As of the July 2020 reporting period, PCG is tracking 13 open findings (8 risks and 5 issues) and has retired a total of 37 findings. Of the 13 open findings, 8 are related to Project Management, 2 in Configuration and Development and 1 each in Requirements Analysis and Management, System Design, and Deployment. IV&V opened three new findings and retired six findings during the reporting period. The following figures provide a breakdown of our <u>open</u> risks and issues by criticality and category.
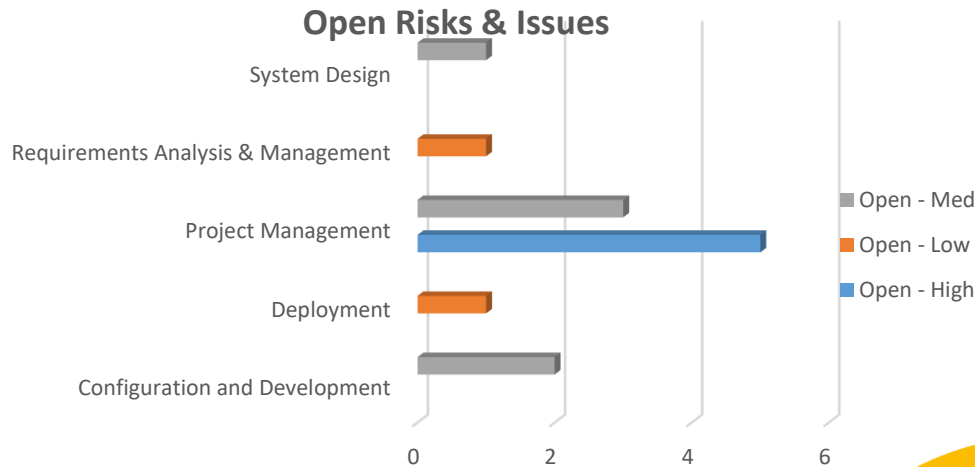
Open Risks & Issues

Open Risks & Issues by Category
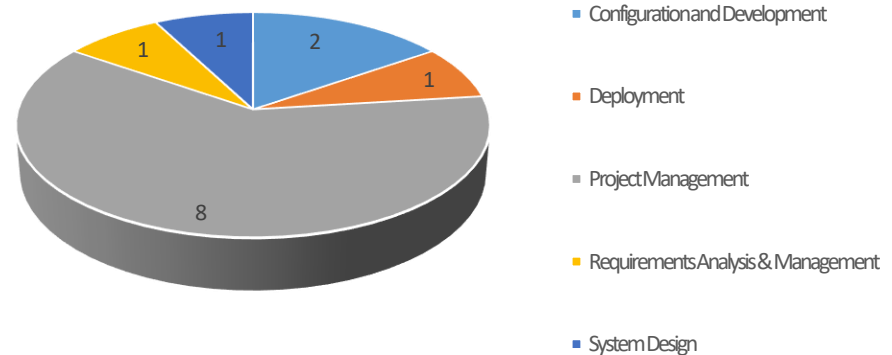
IV&V Findings and Recommendations

The following figure provides a breakdown of <u>all</u> IV&V findings (risks, issues, concerns) by status (open, retired).
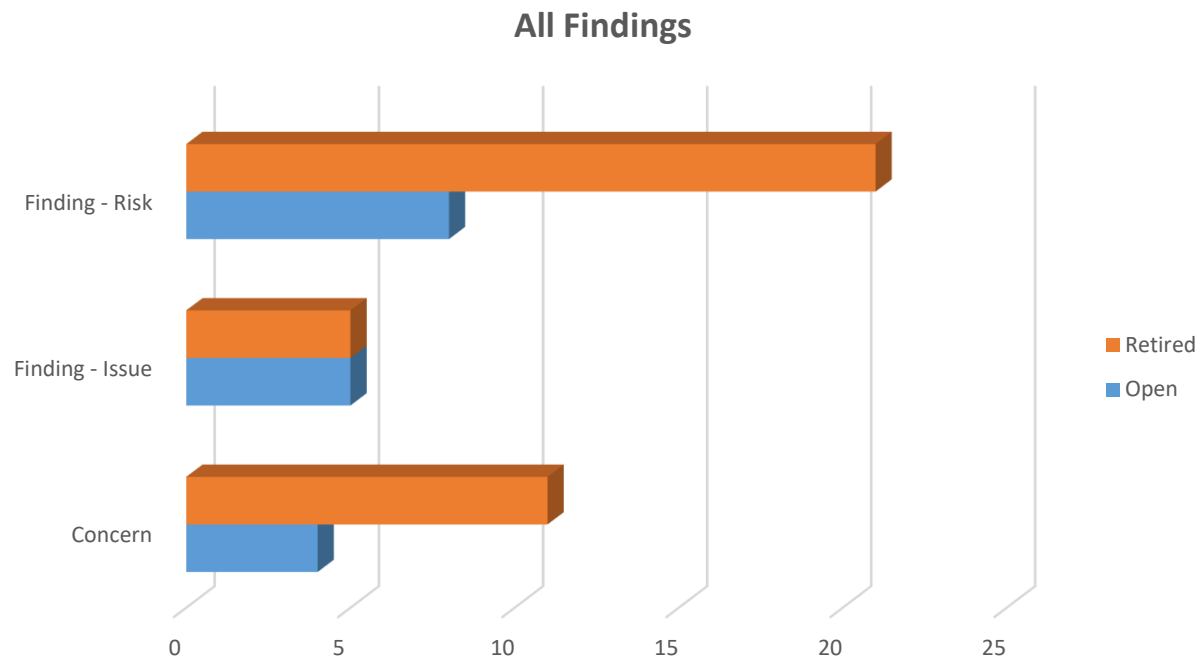
All Findings

IV&V Findings and Recommendations

Findings Opened During the Reporting Period

#	Finding	Category
	No new risks or issues were opened in July 2020; Three new preliminary concerns were opened and are described on page 12 of this report.	

IV&V Findings and Recommendations

Findings Retired During the Reporting Period

IV&V retired six findings this month. Of those, DHS accepted the risks associated with two findings. When this occurs, although IV&V may continue to believe the finding represents a risk to the project, the finding is retired based upon the client's acceptance of the risk. All findings retired in this reporting period are listed in the table below.

#	Finding	Category
26	Risk - Schedule delays may occur due to the lack of detail in the project schedule. The ASI has added detail to the schedule and stated in the 7/21/2020 Schedule Meeting that the BI-5 Schedule structure is complete, and a re-baseline was submitted to DHS week of 7/272020 to approve.	Project Management
27	Risk - Schedule delays may occur if the baseline schedule does not have proper resource loading. The BI-5 Project Schedule does have task resources and hours allocated however, the ASI does not plan to maintain resource allocations and resource leveling within MS Project, they will use internal ASI tools to manage their resources.	Project Management
46	Concern -Unplanned rework may result from prototyping based on systems that will be retired. Requirements should drive design so that the BES application supports new/updated business processes. With the delivery of the updated BI-6 DD&I Plan, the process is now documented and better understood by the project team. Prototypes are iterated to address BES Requirements prior to client demonstrations.	Configuration and Development
50	Concern - The ASI's staffing model is not being adjusted to accommodate the BES Optimization approach. This concern is being closed by IV&V, as the State accepted this risk. If similar concerns arise in the future, DHS will work with the ASI to resolve.	Project Management

IV&V Findings and Recommendations

Findings Retired During the Reporting Period - Continued

#	Finding	Category
51	Risk - Insufficient requirements elaboration prior to executing the contract amendment may result in a solution that does not meet DHS business needs. In July, DHS and the ASI agreed to the final list of the BES Optimization Contract requirements.	Requirements Analysis and Management
52	Concern - The ASI's management of subcontractors has not been documented in a formal management plan. This concern is being closed by IV&V, as the State accepted this risk. If similar concerns arise in the future, DHS will work with the ASI to resolve.	Project Management

IV&V Findings and Recommendations

Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
53	The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed. This is further complicated by the current lack of finalization of both SSP and BES UI standards and coding standards.	Systems Design
55	**New** - Test Case creation without functionality acceptance from JAD/JAR sessions. IV&V is researching how the JAD results including acceptance criteria is carried over or linked to the use cases and testing processes.	Testing
56	**New** - DHS and IV&V lack of participation in the BES Project Architecture and Agile Development meetings. Some DHS staff and IV&V are not included in the Architecture and Agile Development meetings. This prohibits DHS and IV&V's ability to understand how the project team is accomplishing the work and resolving issues that may impact the project, user, client and solution.	Project Management
57	**New** - Roles and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team is not clear. The Product Owner is responsible for working through issues and prioritizing the work with the development team. IV&V is researching how along with the frequency of the communication of these issues/questions and priority decisions are communicated to BESSD and DHS PMO.	Project Management

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
2	**Issue – Late Delivery of project deliverables may result in schedule delays**. The ASI is behind schedule on some of the Solution Optimization (e.g. BI-5 Project Schedule), R 0.1 (e.g. testing documents), R 0.2 (e.g. Requirement Validation) and R 0.3 (e.g. Kick-off) and R 0.4 (e.g. Workflow Requirements Validation) deliverables and work products. The ASI reports these delayed tasks have not impacted the critical path as defined by the MS-Project Tool. IV&V maintains this issue as a high criticality finding since the project schedule is not approved by DHS, the schedule continues to be updated with new target complete dates, and the late tasks span multiple releases.	H

Recommendations	Progress
• Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASI, and IV&V.	In process
• Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline.	Complete
• Establish the process for on-going schedule management and weekly updates, utilizing the Schedule Management sub-plan of the Project Management Plan (BI-04).	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
29	**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.** In July, DHS and the ASI have noted a lack of communication around the portal strategy. For example, some stakeholders were unclear whether the portal online applications for Medicaid and BESSD would be combined and/or replicated in both portals, or if they would remain separate.	H

Recommendations	Progress
• The ASI should continue to document the architectural details in the BI-12 System Architecture Deliverable and if possible, review draft content with DHS and IV&V.	In process
• DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.	
• The project should vet possible architectural change impacts to the platform, M&O, MQD, and BES systems before finalizing architectural decisions.	
• Efforts should be made to increase communication to create an awareness of possible architecture changes so that they can prepare for the possibility of a change. For example, if there is a possibility that the platform could change then analysis/design could focus on platform agnostic design and avoid extensive efforts in refining a platform specific design.	

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
42	**Risk** – **Project delays and disruption in DHS operations may occur if ASI communications with DHS regarding key (urgent/time sensitive) project information does not improve.** The Release 0.1 Lessons Learned sessions identified several areas where communications must improve. The ASI is currently working with DHS to develop an action plan to address the communication issues along with the other areas identified for improvement.	M

Recommendations	Progress
• Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule.	In process
• ASI establish a single communications channel to manage all ASI to DHS communications and ensure regular communication to DHS.	In process
• Update project communications plan with enhanced communication processes.	Complete

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
43	**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 moved from the OCM Knowledge Transfer to Project Management category as requested by DHS to avoid confusion with the OCM work being performed by the ASI. Transition plans for the DHS PMO staff are in place and DHS' PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill open positions and recruitment is ongoing. This month the need for the Data Steward and DHS Conversion Lead was realized, these are both key positions to aid the conversion activities and the BESSD data business needs. DHS is actively working to identify staff to fill these roles.	H

Recommendations	Progress
• 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'). It should also include possible project resource impacts considering the COVID-19 economic impacts to the State.	In process
• 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'.)	Closed

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
47	**Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.** On July 13, the Governor has announced plans to delay a program that would allow trans-Pacific travelers to skip the mandatory 14-day quarantine in Hawaii if they test negative for COVID-19 until September 2020. The project continues preparations and plans for some level of remote UAT and Training.	H

Recommendations	Progress
• Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype).	In process
• Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources.	In process
• Update the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 pandemic in the short and long term.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
48	**Risk – The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.** No update during this reporting period, IV&V will follow-up with DHS and provide an update in the next report.	M

Recommendations	Progress
• DHS to continue dialogue with CMS regarding the project's approach to OBC and MITA alignment to ensure all CMS requirements are met by the BES Project.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
49	**Issue – Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.** The ASI re-submitted multiple deliverables during July, mostly centered on the BES Optimization changes. The BI-10 deliverable for Release 0.1 was iterated again and is currently under review. The BI-20 deliverable quality for Release 0.1 was improved from other deliverables and has been accepted by DHS. As such, IV&V is reducing the criticality to Medium. IV&V recommends leaving this open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across deliverables.	M

Recommendations	Progress
• IV&V recommends that a facilitated root cause analysis be performed by the ASI with DHS and IV&V in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IV&V recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
54	**Issue – Poorly planned and executed UAT could lead to implementation delays and delivery of a solution that may not meet all business needs.** The lessons learned for Release 0.1 was primarily focused on the areas needing improvement for UAT - with two sessions held this month and another session needed to complete the lessons learned activity. Primary areas of concern included deliverables not being completed in the order required by the contract, and DD&I Plan, lack of clear scope, inadequate training on the UAT process, difficulty using the tools to track defects (another training issue), inadequate test environment (only 1 user role, not secured) and poor planning/facilitation of the UAT processes by the ASI. The ASI has committed to improving UAT in the future releases - stakeholders expect to see evidence of improvement in the planning process/pre-requisite deliverables in future releases.	H

Recommendations	Progress
• IV&V recommends that DHS works with the ASI to validate all pre-requisites are met prior to UAT start, in order to facilitate comprehensive testing.	In process
• IV&V recommends that if DHS staff need to log defects in the ASI's new tools, that a deeper level of training will need to be provided on the toolset.	Not started
• IV&V recommends that a comprehensive set of user roles is made available for testing. There is currently only one user role available, which blocks the ability to perform negative testing for user roles.	Not started
• IV&V recommends the ASI and DHS review the UAT process for KOLEA for lessons learned, as remote UAT testing was performed successfully on that project.	Not started

IV&V Findings and Recommendations

Configuration and Development

#	Key Findings	Criticality Rating
12	**Issue – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost.** DHS, ASI and IV&V have noted a lack of a clear portal strategy and the communication around the portal strategy. For example, some stakeholders were unclear whether the portal online applications for Medicaid and BESSD would be combined and/or replicated in both portals or if they would remain separate. It appears the MQD portal rewrite will include an online application for MQD services, not BESSD services. The BES portal is likely to include a combined (MQD/BESSD) online application. There appears to be some lack of clarity around the long-term portal strategy for both MQD and BESSD.	M

Recommendations	Progress
• Continue discussions with the ASI and DHS to understand how the project will pursue alternative methods to integrate the 2 portals in order to simplify and enhance the customer portal experience.	In process

IV&V Findings and Recommendations

Configuration and Development

#	Key Findings	Criticality Rating
16	**Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of JARs and JADs.** The ASI continues to provide further details of their hybrid-Agile implementation approach including describing how they intend to utilize new Application Lifecycle Management and development tools. DHS testers have recently reported a lack of clarity around testing which led to confusion and challenging UAT sessions.	M

Recommendations	Progress
• Once all details of the ASI's Agile approach become available and are communicated to DHS, IV&V will assess and monitor DHS's understanding and project productivity.	In process

IV&V Findings and Recommendations

System Design

#	Key Findings	Criticality Rating
38	**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 Workflow JAD sessions planned to be conducted in July 2020 (per the ASI BI-5 Project Schedule dated 7/27/2020), however they have been delayed and a new planned date has not been published.	M

Recommendations	Progress
• The ASI to define how the workflow/task functionality will be refined and integrated into the system designs. Communicate this approach with the project team and train the Business Analyst session facilitators.	In process

IV&V Findings and Recommendations

Deployment

#	Key Findings	Criticality Rating
40	**Risk - The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.** Release 0.1 completed User Acceptance Testing, however the ASI is still working to complete development of the majority of the associated documentation deliverables needed to memorialize the release effort. Lessons Learned sessions occurred on 7/23/20 and 7/28/20 to determine what went well and what can be improved upon for future releases. There were 36 total items reviewed, 31 of which fell into the 'can be improved upon' category.	L

Recommendations	Progress
• Assign a Release Manager to manage all details of planned releases.	Complete
• 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	**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.** The ASI and DHS continued this effort during the reporting period. Per the latest project schedule, this is anticipated to be completed by late August (8/25/2020). With the number of requirements still remaining to be split being limited, IV&V has reduced the criticality of this finding to Low.	L

Recommendations	Progress
• 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 Status

IV&V Engagement Status

IV&V Engagement Area	May	Jun	Jul	Comments
IV&V Budget	🟢	🟢	🟢	
IV&V Schedule	🟢	🟢	🟢	
IV&V Deliverables	🟢	🟢	🟢	PCG submitted the final June 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	🟢	🟢	🟢	John Grieco joined the HI BES IV&V team.
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

- IV&V activities in the July reporting period:
  - Completed – June Monthly Status Report
  - Ongoing – Review Deliverables for BES project
  - Ongoing – Attend ASI project meetings, (see Additional Inputs pages for details)
  - Reviewed available BES Optimization contract amendment documentation

- Planned IV&V activities for the August reporting period:
  - Ongoing – Observe BES JAD and Workgroup sessions as scheduled
  - Ongoing – Observe Weekly Project Status meetings
  - Ongoing – Observe bi-weekly BES Project Risk and Issue meetings
  - Ongoing – Monthly IV&V findings meetings with the ASI
  - 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 as delivered	N/A
BI-05 Schedule Re-Baseline	Weekly as delivered	N/A
BI-06 System DD&I Plan (SOAP)	07/02/2020	2.1
BI-06 Design, Development, and Implementation Plan (SOAP)	07/27/2020	2.6
BI-10 Release 0.1 Functional and System Design Document	07/16/2020	1.3
BI-10 Release 0.1 Functional and System Design Document	07/22/2020	1.6
BI-20 Release 0.1 Test Scenarios, Test Cases, and Test Scripts	07/01/2020	1.3
BI-21 Functional and Technical RTM DED	07/29/2020	1.9
BI-22 Release 0.1 System Test Report	07/07/2020	1.0
BI-22b Release 0.1 UAT Evaluation Report	07/23/2020	1.0

Additional Inputs – Artifacts

Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
Draft User Interface Standards	N/A	N/A
Draft Coding Standards	N/A	N/A
Release 0.1 Test Artifacts	07/28/2020	N/A

Additional Inputs

Meetings and/or Sessions Attended/Observed:

1. PCG Internal BES Project Meetings x7 (07/01/2020, 07/02/2020, 07/06/2020, 07/13/2020, 07/20/2020, 07/27/2020, 07/29/2020)
2. BESSD PMO, IV&V Weekly Meeting x5 (7/1/2020, 07/08/2020, 07/15/2020, 07/22/2020, 07/29/2020)
3. BES Status Meetings x5 (7/1/2020, 07/08/2020, 07/15/2020, 07/22/2020, 07/29/2020)
4. BES Schedule Review Meetings x4 (07/09/2020, 07/16/2020, 07/21/2020, 07/28/2020)
5. BES Change Control Board Meeting (07/08/2020)
6. BES Release 0.2 Kick Off Meeting (07/02/2020)
7. BES SSP R 0.2 Prototype Demo (07/10/2020)
8. June Draft Report Review DHS and ASI (07/13/2020)
9. ASI Touchpoint (07/14/2020)
10. Release 0.1: EBT Card Inventory MFV Updates Meeting (7/13/2020)
11. Draft UI Standards Walkthrough Meeting (7/14/2020)
12. Bi-Weekly Deliverables Walkthrough (07/07/2020)
    a. BI-22
13. Bi-Weekly Deliverables Walkthrough (07/21/2020)
    a. BI-6
    b. Java Coding Standards
    c. BI-12 FMM
    d. BI-22a
14. BES Release 0.1 Lessons Learned X2 (07/23/2020, 07/28/2020)
15. BES R0.2 Questions Meeting (07/23/2020)
16. BES BI-10 Discussion (07/24/2020)
17. SSP 0.2 Requirements Review Meeting (07/28/2020)
18. BES Data Conversion Meeting (07/28/2020)

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

Finding Number	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
57	Roles and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team is not clear.	Jolene	Concern	7/22/2020	Project Management	The ASI Business Analysts are filling the role of Product Owner, a role which is typically filled by the client. However, due to DHS staffing constraints, the ASI is filling this role. The product owner often makes decisions that may impact specific business functionality however, IVV could not find evidence of a communication path of these decisions to DHS. IVV needs to conduct due diligence to determine if there is a gap or not.	DHS and BESSD need to establish a clear communication path with the BES Product Owners to ensure the functionality required is being met.	Identify and execute to the communication path agreed to by DHS/ASI between the Product Owners and DHS/BESSD.	ASAP	4	4	High	Open			8/4/2020 - Paul Oliver and Rob Plummer. There are 3 formal touch points for communication with BESSD and DHS PMO: The Release Preparation activities, Requirements Validation and Prototype review. The Product Owners do engage with Kat and Jessica to assist with questions or concerns as they are raised by the development team.
56	DHS and IVV lack of participation in the BES Project Architecture and Agile Development Meetings.	Jolene	Concern	7/6/2020	Project Management	DHS and IVV are not currently permitted to participate in ASI project meetings related to the BES Architecture and Agile Development. There is no transparency of the status, challenges, risks and issues related to the development of the BES application and overall architecture.	DHS and IVV have no visibility into the Agile teams progress, status and development activities.	Include DHS and IVV in the Architecture and Agile Development meetings to provide transparency to the work being performed.	ASAP	4	4	High	Open			8/4/2020 - Paul Oliver and Rob PlummerDiscussed the concern and IVV should follow-up with Mark regarding the Architecture Meetings. Paul/Rob will develop a list of meetings and work product reviews that they are open to have DHS/IVV review/attend.
55	Test Case creation without functionality acceptance from JAD/JAR sessions.	Earl Burba	Concern	7/29/2020	Project Management	It appears that test cases are being created and executed without acceptance criteria from the design phase of the project that was provided in JAD/JAR sessions. As previously raised as a finding in IV&V finding #16 DHS stakeholders commented an unclear approach to SI Design, Development, and Implementation (DDI). This may still be a concern and extending into test case creation and execution.	If stories are written without clear acceptance criteria, then the test cases may not provide full coverage to the required functionality.	PCG recommends that details resulting from JAD/JAR sessions be provided in the Test Results documentation to help assure that acceptance criteria that was agreed upon is met.	Immediate	3	4	Med	Open			8/4/2020 - Paul Oliver and Rob PlummerThe results of the JAD sessions are the direct input to the Use Cases. IVV to schedule a session with Nicole to review our specific questions. IVV will cc Rob/Paul and Gary as we work through this concern with Nicole.
54	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of solution that does not meet business need.	Brad	Finding - Risk	6/24/2020	Project Management	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of a solution that may not meet all business needs. During this reporting period, UAT was initiated. However, several deliverables that support the UAT process were not provided and/or approved prior to UAT, which impacted DHS' ability to proceed with testing. Outstanding predecessor deliverables include: Approval of system test scripts (BI-20) Delivery and approval of system test results (BI-22) Delivery and approval of other R0.1 deliverables (BI-10, BI-14, BI-15, BI-21). The ASI plans to address this challenge, as well as other opportunities for improvement evidenced during R.01 as 'lessons learned' during future releases. IVV notes that DHS staff will be required to enter UAT test scripts into pre-defined spreadsheets, which will be imported into Jira by the ASI. DHS staff will enter defects directly into Jira, which may necessitate a deeper level of training for use of the toolset, in addition to the demonstration previously provided by the ASI.	UAT gives DHS the chance to test the BES release using both real-world examples and those people who will be using the application day to day. It is the final stage of the implementation process; UAT conducted to ensure that system requirements meet business needs and allowing for any issues to be fixed before the system goes live. A UAT that is not comprehensive could result in defects being found post go-live, leading to expensive solution updates and reduction of user confidence in the solution.	- IVV recommends that DHS works with the ASI to validate all pre-requisites are met prior to UAT start, in order to facilitate comprehensive testing. - IVV recommends that if DHS staff need to log defects in the ASI's new tools, that a deeper level of training will be need to be provided on the toolset. - IVV recommends that a comprehensive set of user roles is made available for testing. There is currently only one user role available, which blocks the ability to perform negative testing for user roles. - IVV recommends that ASI and DHS review UAT process for KOLEA for lessons learned, as remote UAT testing was performed successfully on that project	Immediate	4	3	High	Open	7/29/2020 - The lessons learned for Release 0.1 was primarily focused on the areas needing improvement for UAT - with two sessions held this month and another session needed to complete the lessons learned activity. Primary areas of concern included deliverables not being completed in the order required by the contract and DDI Plan, lack of clear scope, inadequate training on the UAT process, difficulty using the tools to track defects (another training issue), inadequate test environment (only 1 user role, not secured) and poor planning/facilitation of the UAT process by the ASI. The ASI has committed to improving UAT in the future releases - stakeholders expect to see evidence of improvement in the planning process/pre-requisite deliverables in future releases.	6/30/2020 - RP - Met w/ GH. Acknowledge that the first release is late. Discussed the pre-req deliverables, and the need to start testing. Early drafts for deliverables being circulated for review. DHS does not want to enter UAT test cases into Jira, will populate spreadsheets and provide to ASI for import into Jira. Still under discussion for adding defects into Jira, working towards agreement. PO - DHS Test Lead will triage defects, and DHS WILL add defects into Jira. ASI concern of just one person handling this responsibility to help avoid bottlenecks. None are currently anticipated on ASI side. Project schedule will be re-aligned to ensure that predecessors are completed prior to UAT. Per RP, this may be tied to ASI delivery, not DHS acceptance. Schedule updates expected by next week. Process for potential exceptions for deliverable approvals has not yet determined.	
53	The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.	Darren	Concern	5/21/2020	System Design	The System Architecture documentation is scheduled for completion after 5 of 7 releases are already in progress, and 2 releases completed.	The System Architecture documentation is a foundational technical document, intended to provide the standards and guidelines for all solution hardware and software components that will reside in the solution. This foundational document should be completed and agreed to prior to any code development, in order to ensure that code meets with the architectural principles and overall design. If the architecture document is completed after code is developed, there is a high likelihood that the developed code may require costly and time consuming rework in order to meet the eventual architectural target. This could result in both quality concerns and schedule delays.	- Recommend completing and approving the BI-12 System Architecture deliverable prior to development of source code. - If completing the BI-12 deliverable prior to development of code is not possible for any reason, ensure that all portions of the architecture that are directly or indirectly related to the source code development efforts, standards, and processes be submitted for approval by DHS in draft form prior to code development, and subsequently followed up with final completion of BI-12 in accordance with the project schedule.	June 2020	5	4	High	Open	07/31/2020 - A draft of the FMM architecture and draft JAVA Coding Standards (leveraging Google standards) were presented in a walkthrough held on 7/21/2020, and both were delivered for client comments on 7/22/2020. The Shared Services architecture draft is now re-scheduled for delivery 8/12/2020, and the CMM architecture is now scheduled for delivery 8/27/2020. The longer these foundational deliverables are delayed, the larger the potential impact to BES software development effort. The ASI has stated the project team will develop the detailed software architecture plans needed for each release in future BI-14 deliverables. Over time, this may result in a 'disjointed' application architecture and could result in unplanned variation in developed software products. 06/30/2020 - The ASI stated that the logical architecture related to the software-development efforts would be completed by the end of June, however that date was not met. The System Architecture Overview section was presented to DHS and IVV on 6/23/2020. Details and logical architecture for the FMM and Shared Services components were pushed to July, and the CMM component was pushed to August. The physical architecture and container components are still scheduled for September. IVV will continue to monitor, and will assess these cornerstone artifacts as they are completed and submitted. IVV notes that this is complicated by the incomplete status of SSP and BES UI standards and coding standards.	07/10/2020 - (Paul O)I don't believe this is properly worded – for clarity it should be noted that Software Architecture will be completed before Release 3 and forward (they are in review now) and the technical architecture will have components outstanding, primarily on items that do NOT impact the building of the software (such as our Containerization Management Strategy). SSP coding standards are in the review cycle, RES UI and coding standards are not yet (but will be this month). 06/30/2020 - FMM and Shared Services Chapters will be completed in July, and CMM in August. In parallel, UI standards for Portal will be reviewed this week. Coding standards for Portal in the next couple weeks. BES UI standards are complete, looking for time to review. BES coding standards drafted, going through peer review. (approx 7/10)	07/10/2020 - The ASI provided DHS and IVV feedback on this finding via email. A subsequent conference call with the ASI, BES PM and IVV team on 7/14/2020 was conducted to discuss the comments. 6/2/2020 - Paul/Rob - Release 3-6 have extended prep times; not starting development until mid-sept. The risk is minimal since the physical architecture is the lag, not the logical. Most of the logical (software) architecture will be complete by the end of June 2020 and will be sent to DHS for their review. Revised dates will be updated next week in the schedule. Is Chenxei engaged, yes and Mark C. - is it collaborative? Yes, more so on the physical arch. ASI does not anticipate much DHS involvement on the software. Is OIT involved - yes, they are part of the review cycles. Have not reviewed the BI-12 drafts yet, ASI conducting internal reviews. No ASI concerns integrating the OIT staff. Yes, OIT staff are receiving some training - BOOMI sessions. Not sure on all the details (Java). Mark C. wants a new reporting tool "inspire" (not Jasper).
49	Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.	Darren	Finding - Issue	4/16/2020	Project Management	In April, four BI-10 design deliverables and one Interface Control Document deliverable were submitted for client review. There was an average of 85 comments submitted for each of these deliverables. The documents exhibited erroneous information, a lack of a logical organizational flow, an insufficient level of detail, and a lack of understanding of the subject matter from both a functional and technical perspective. DHS logged this issue in the Project Issue Log for corrective action by the ASI. The ASI acted by conducting an internal root cause analysis and provided DHS and IVV the high-level results.	The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays due to the associated rework needed for remediation. If poor quality deliverables continue to be produced and submitted for review, this can continue to result in unproductive use of time, unanticipated rework, misguided development and testing activities, potentially unfulfilled functionality, and additional schedule delays.	IVV recommends that a facilitated root cause analysis be performed by the ASI with DHS and IVV in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IVV recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables	Immediate	3	5	Med	Open	07/31/2020 - The ASI re-submitted multiple deliverables during July, mostly centered on the BES Optimization changes. The BI-10 deliverable for Release 0.1 was iterated again, and is currently under review. The BI-20 deliverable quality for Release 0.1 was improved from other deliverables, and has been accepted by DHS. As such, IV&V is reducing the findings priority to Medium. IVV recommends leaving this open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across deliverables. 06/30/2020 - The ASI announced the use of the Confluence tool for development of deliverables, as it integrates with Jira and Aha!. The ASI re-submitted multiple DEDs and deliverables after being revised for BES Optimization, most of which have already been reviewed, and some of which are currently under review. New BI-10 and BI-20 deliverables were submitted by the ASI in June. The BI-10 needed rework for quality issues identified by DHS. DHS requested an additional re-layout of the format for BI-10. 05/31/2020 - On 5/18/2020, the ASI held a session to review the planned ASI and DHS remediation actions for the list of issues documented by DHS on 4/22/2020. While many next steps and action items were reviewed and some completed, the outstanding items were not assigned to project staff nor target complete dates identified. Project deliverable development activities are still paused pending these actions, which may result in additional schedule delays. 04/30/2020 - DHS submitted project issue #25 for this deficiency on 4/21/2020. The ASI concurred that there is a quality issue, and met with DHS and IVV on 4/22/2020 to discuss initial plans for remediation. The ASI presented a one page summary of changes to the deliverable process based on their analysis of the recent DCI's and their root cause analysis, which yielded the following areas as being cited for improvement; • Updates are needed to the ASI's Peer Review Checklists • Walkthroughs are needed to ensure that reviewers fully understand the deliverables' intent and their associated content • Deliverable BI-4 (PMP) needs to be updated with the revised processes • The ASI plans to use new tools to enforce the process. The ASI and DHS also agreed on subtle process changes to ensure the accuracy of DCF comments. The ASI has paused submission of any additional deliverables until such time as remediation plans are enacted, and quality issues resolved in deliverables previously submitted in March and April. It is currently unknown what task will be implemented by the ASI to assist in enforcing the processes.	06/30/2020 - New deliverables this month included BI-10 and BI-20. BI-10 was initially called back for quality issues, and the issues were corrected. DHS is not comfortable with BI-10 re-format, will be revised again.	5/5/2020 - Paul Oliver stated DHS performed their own RCA. Unisys completed RCA. The ASI's corrective action plan should be complete next week as is included as a task on the interim project schedule.
48	The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.	Jolene	Finding - Risk	3/30/2020	Project Management	CMS has not published the Outcomes-Based Certification (OBC) requirements/process, which allows states to receive 90% FFP for Medicaid functionality of the BES solution.	If the OBC process and requirements are not published by CMS prior to the State's approval of the functional and technical requirements, the project's ability to receive enhanced Federal funding may be at risk.	The State continue to follow-up with CMS for the status of the release of the OBC Process and Requirements and discuss this risk with CMS to determine if there will be any options available to minimize this risk to the State.	nal and Technical Requir	5	4	Med	Open	7/31/2020 - No update during this reporting period. 06/30/2020 - No update during this reporting period. IVV will follow-up with DHS and provide an update during the next report. 05/31/2020 - No update during this reporting period. 04/30/2020 - No update during this reporting period. 03/31/2020 - This finding replaces finding Number 5 which was in relation to the CMS MEET Life Cycle. CMS informed DHS that the BES project will require the adoption of the CMS OBC process, the MEET process will no longer apply.		
47	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	mfors	Finding - Risk	3/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced state departments' ability to be fully functional as the large majority of state workers will be required to work from home/remotely at least until the end of May and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date.	DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until this crisis passes. The DHS project team will soon lose some key members of the PMO, the PMO lead will retire on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. If the state/DHS institutes a hiring freeze, DHS PMO may not be able to replace these key resources. Additionally, if the state institutes furloughs, DHS project team resources could be further constrained. Unclear if the state budget challenges will impact overall project funding.	- Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype). - Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. - Update the OCM Plan to include key new activities or updates to planned activities to aid the organization through this COVID-19 pandemic in the short and long term. - Send broad communications to stakeholders to ensure clear understanding of changes to the project with this regard to impacts of COVID as well as clarifying communications as to what will remain the same.	ASAP	3	5	High	Open	7/31/2020 - On July 13, the Governor has announced plans to delay a program that would allow trans-Pacific travelers to skip the mandatory 14-day quarantine in Hawaii if they test negative for COVID-19 until September 2020. The project continues preparations and plans for some level of remote UAT and Training. 6/30/2020 - The State has recently opened inter-island travel, and transpacific travel is currently slated for August 2020 with COVID testing constraints. The ASI's local office is slated to reopen in September or October, pending all needed State, Unisys, and Topa Tower approvals. DHS has stated that while they don't have a documented risk mitigation plan, they have made efforts to develop an informal plan and risk mitigation steps and will leverage their existing CODP (continuity of operations plan) to address some mitigation steps. DHS has also stated that while they are concerned about the execution of remote UAT and training, they have a greater concern that the increase in workload due to citizens loss of some COVID benefits will increase their volume of applications and support. DHS has additional concerns that possible furloughs and budget cuts could limit their ability to expand their capacity to handle the additional workload and support the project. The ASI has gained insights into remote UAT from their M/D team experience in performing remote UAT for MQD/KOLEA. 05/27/2020 - There are indications that the Stay-At-Home mandate will be extended through June 30, 2020. The project team is considering impacts to the project, including UAT and training if they will not be able to participate in-person. 4/30/2020 - The Governor's "stay-at-home" mandate has been extended through May 31, 2020, which means the majority of project participants will continue to work from home. It remains unclear if all stakeholders can access email and calendar events from home. IVV will monitor for related impacts to the project and provide an update in the next report.	06/30/2020 - Office opening may be delayed until September/October. TBD.	5/5/2020 - Paul Oliver stated that DHS requested the ASI limit BESSD staff needs during the month of May 2020 due to the focus of state staff to work with clients. Unknown if this will extend to June/July. This is more of a risk for DHS; Unisys used to working off-site. State staff availability to work on the project in the future may impact the schedule - ASI will need to look at options if this risk is realized. 3/31/2020 - Per Paul Oliver, The project has also logged a risk for COVID-19, ASI main concern is the impact to BESSD organization and ability to continue to support the project moving forward. ASI has less concern regarding their staff since Unisys is used to working remotely and it overall has less of an impact on Unisys team.
43	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.	Jolene	Finding - Risk	1/10/2020	Project Management	As reported in various project meetings, several key DHS PMO, BES and ASI project team members are planning to retire or leave the project within the next few months or have already transitioned off the project. While there are plans and actions being taken, a formal transition/succession plan has not been documented. In January, the ASI did announce and introduce an interim Project Manager, but a plan for a permanent replacement is not currently known.	The key resources leaving the BES Project provide knowledge and history of DHS and its software, solutions, and business processes, along with a level of consistency and continuity to the extended project team. This experience and knowledge is critical for the BES DDI and KOLEA Modifications, and planning efforts for BES Maintenance and Operations activities.	The state should document 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'). The plan should include the possible COVID-19 economic impact to the state budget, directly in relation to the project resources. The ASI should document a transition plan for new resource as required by the RFP (reference RFP section 3.5.1.2 'Benefits Eligibility Solution Project Staffing'.)	ASAP	5	4	High	Open	7/31/2020 - This finding has moved from the OCM Knowledge Transfer to Project Management category as requested by DHS to avoid confusion with the OCM work being performed by the ASI. Transition plans for the DHS PMO staff are in place and the DHS PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill all open positions and recruitment is ongoing. This month the need for the Data Steward and DHS Conversion Lead was realized, these are both key positions to aid the conversion activities and the BESSD data business needs. DHS is actively working to identify staff to fill these roles. 06/30/2020 - The ASI announced the addition of a technical resource to work with eWorld, however that person will not be integrated with the team until after travel restrictions are lifted. DHS PMO staff announced the near-term retirements of three (3) more PMO staff, which is essentially the balance of the PMO Team. IVV is unaware of any documented transition plans, and it is unclear if the positions can or will be back-filled at this time. 5/31/2020 - The ASI filled the Solution Architect position. DHS continues to execute the exception process to back-fill the DHS PMO position and execute the transition plan. 4/30/2020 - DHS continues to execute the transition plan for those staff planning to retire. The ASI continues to recruit for the Solution Architect Position. With the COVID-19 Pandemic, the state has instituted a hiring freeze and may take other actions (furloughs, salary adjustments) to address the overall financial impact to the state. The State has and intends to follow the exception approval process to hire critical BES project staff. The State's ability to align the required resources to the project may be challenging as the project moves forward therefore, IVV updated the priority of this risk from a low to medium. 3/31/2020 - DHS has a transition plan in place and is managing the activities. The ASI filled the project coordinator and business analyst position, and is actively recruiting for the Solution Architect position. IVV will continue to monitor this risk until all positions are filled. 2/29/2020 - This finding was discussed with DHS and the ASI PM this month and they are taking the initial steps to mitigate this risk. IVV 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. IVV will follow up with DHS and ASI PM in March and	06/30/2020 - Mark Choi is becoming more involved in the project. Involved in Arch decisions and PM decisions around tool sets, future vision, etc. Day to day PM working closely w/ Gary and Emerald. We have no insight into other DHS staffing.	3/3/2020 - The ASI PM stated the Project Coordinator position is filled and they will begin work on currently filling the ASI PM and ASI Engagement Manager Roles and is committed to the project in these roles for the next 6 months.

42	Project delays and disruption in DHS operations may occur if ASI communications with DHS regarding key (urgent/time sensitive) project information does not improve.	mforx	Finding - Risk	10/28/2019	Project Management				ASAP	4	4	Med	Open		
41	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.	Darren	Finding - Risk	9/23/2019	Requirements Analysis & Management				Q4 2019	4	3	Low	Open		
40	The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.	Darren	Finding - Risk	9/23/2019	Deployment				OCT 2019	3	2	Low	Open		
38	Due to the sequencing of JADs across 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.	mforx	Finding - Risk	8/29/2019	System Design				ASAP	4	4	Med	Open		
29	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.	mforx	Finding - Issue	5/28/2019	Project Management				ASAP	4	5	High	Open		

#	Risk/Issue		Type	Date	Category	Description			Rating			Priority	Status	Commentary		
16	Lack of clear understanding of the DDI approach may reduce effectiveness of all SDLC Processes.	mfors	Finding - Issue	12/17/2018	Configuration and Development	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. IVV 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.	PCG recommends one or more of the following to mitigate this risk 5B; • SI provide an additional DDI approach overview session for stakeholders and allow for QA • 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	Med	Open	07/29/2020 - DHS testers have recently reported a lack of clarity around testing which has led to confusion and challenging UAT sessions. 06/30/2020 - The ASI continues to provide further details of their hybrid-Agile implementation approach including describing how they intend to utilize new Application Lifecycle Management and development tools. IVV will continue to monitor as more details of the revised approach are made available. 05/27/2020 - IVV conducted Agile overview sessions for DHS, at their request, to gain a better understanding of the Agile methodology and make informed project decisions. The ASI has not published nor conducted any sessions with the extended project team to explain how they will adapt the Agile methodology for the BES Project. The ASI agile approach is planned to be documented and shared with DHS in early June 2020. 04/29/2020 - DHS signed the BES Optimization contract amendment which changes the project DDI approach including moving from Waterfall to an Agile approach. While details of these changes have yet to be made available, this shift could introduce additional risks if DHS does not come to a good understanding of Agile principles and how the ASI will implement Agile. 03/25/2020 - The ASI conducted a walk-through of the LucidChart Process Diagrams for DHS, however, DHS has stated that this and other ASI efforts to explain the big picture have not met their expectations or increased their understanding of the ASIs SDLC methods. Additionally, the project continues to move forward with the BES Solution 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. IVV will continue to evaluate this finding as additional details about the Solution Optimization are made available. 02/27/2020 - The ASI has 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 Solution 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. IVV will continue to evaluate this finding as additional details about the Solution Optimization are made available. 01/31/2020 - In the January reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and	1/27/19: 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.	10/10/19 SB: DHS has agreed to the updated BI 10 template which will be reviewed as part of Iteration 3 artifacts. In addition, the ASI has produced a literal big picture and walked DHS and the PMO through it. The whiteboard big picture is being produced for team consumption.

09/12/19 SB: The BI 6 DDI Plan Deliverable has been accepted by DHS. The ASI is currently addressing comments on the interations of BI 10 Functional Design deliverable provided for review to DHS to more clearly align with sections of the approved DED.

06/11/19 S Brown: The ASI disagrees with this finding and associated rating. The DDI plan has been presented to the client in its entirety and the ASI is executing delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the methodology to the client. The ASI is in the process of updating the deliverable based on the DCF comments, with many of them from IV and 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 still due to the client this week. Walkthroughs will be scheduled as needed.

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 the offer. |
| 12 | Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. [LifeRay vs. Adobe] | mfors | Finding - Issue | 11/28/2018 | Configuration and Development | 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. | 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. | Continue discussions with the ASI and DHS to understand if and how the project will pursue alternative methods to integrate the 2 portals in order to simplify and enhance the customer portal experience. | Q1 2019 | 4 | 3 | Med | Open | 7/31/2020 - DHS, ASI and IVV have noted a lack of a clear portal strategy and the communication around the portal strategy. For example, some stakeholders were unclear whether the portal online applications for Medicaid and BESSD would be combined and/or replicated in both portals or if they would remain separate. It appears the MQD portal rewrite will include an online application for MQD services, not BESSD services. The BES portal is likely to include a combined (MQD/BESSD) online application. There appears to be some lack of clarity around the long-term portal strategy for both MQD and BESSD. 06/30/2020 - DHS is no longer planning to create a unified portal due to a required reduction in scope as part of the BES Optimization. DHS is close to awarding a contract to migrate the KOLEA portal from Liferay to Adobe, while the BES Portal will be implemented separately by the ASI in Liferay. The ASI still plans to develop the 'combined application' and has stated that the integration effort will be more complex under BES Optimization than it was in the original scope of work. 05/27/2020 - DHS has stated their intention to create a unified (single) portal for both MQD and BES. DHS is still in discussions with the ASI on whether implementing the BES portal in a unified Adobe-based platform is within their scope of work. Customer benefits (Ohana Nui) of a unified portal could be compromised if the ASI implements a separate BES portal. 04/29/2020 - Proposals for the KOLEA Portal Modernization RFP were due 4/13/20, DHS is currently evaluating the proposals. 03/25/20 - DHS reported the KOLEA Portal RFP was released this month. IVV is not clear regarding the move forward plan for the BES Portal requirements and will follow-up in April. 02/27/20 - The ASI has restarted JAD sessions for the BES portal design as of 2/11/20. IVV is not aware if the KOLEA Portal RFP has been released. IVV will continue to monitor this and will provide an update in March. 01/31/2020 - IVV validated the DHS KOLEA Portal RFP had not been released as of the end of January. IVV also confirmed that the BES portal design is still planned as a component of the ASI scope of work. IVV will continue to monitor this and will provide an update in February. 12/31/2019 - IVV has no update on the status of the DHS Portal RFP for the December Reporting period, however, understands that DHS is targeting the first half of January to release the RFP. IVV will continue to monitor this activity in January 2020. IVV maintains this is a medium criticality risk to the project as of the December reporting period. 11/27/2019 - IVV has no update on the status | | 07/10/2020 - The ASI provided DHS and IVV feedback on this finding via email. A subsequent conference call with the ASI, BES PM and IVV team on 7/14/2020 was conducted to discuss the comments.10/10/19 SB: The ASI would like the IV and V to update their assessment to include the status that there have been multiple iterations of this CR that have been provided to DHS to address their project needs and budget concerns. The ASI has provided the PMO with an updated approach and ROM for the conversion of the KOLEA portal to Adobe that the ASI believes is in line with DHS expectations and it is currently under review by DHS.

09/12/19 SB: Active conversation and assessment of options continues between the ASI and DHS.

06/11/19 S Brown: The ASI disagrees with the finding that there is limited communication to the project on this item. It is statused on a weekly basis as part of the status report and meeting, with client agreement on status.

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. |
| 2 | Late delivery of project deliverables may result in schedule delays. | Jolene | Finding - Issue | 11/28/2018 | Project Management | 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. | Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences 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 successful. | 6/30/2020 Recommendations; - Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASI, and IV&V. - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline. - Establish the process for on-going schedule management and weekly updates, utilizing the Schedule Management sub-plan of the Project Management Plan (BI-04). 5/31/2020 - Finalize the schedule continues to be updated with new target complete dates, and the late tasks span multiple releases. 5/31/2020 - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline. 3/31/2020 - Add all tasks that have been performed or planned to be performed in the interim schedule. Closed 5/30/2020 - effective 5/15/2020 the ASI is no longer maintaining the interim schedule. IVV recommends that the ASI complete the Project Management Plan deliverable, work with DHS and IVV 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 and update the project schedule to capture and discuss the late deliverable and tasks and delivery thereof; needed mitigation actions along with identification and agreement with DHS an DDI 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 in 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 TDDs will impact the schedule, and update accordingly - Determine if rework to FDDs 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 | TBD | 4 | 5 | High | Open | 7/31/2020 - The ASI is behind schedule on some of the Solution Optimization (e.g. BI-5 Project Schedule), R 0.1 (e.g. testing documents), R 0.2 (e.g. Requirement Validation) and R 0.3 (e.g. Kick-off) and R 0.4 (e.g. Workflow Requirements Validation) deliverables and work products. The ASI reports these delayed tasks have not impacted the critical path as defined by the MS-Project Tool. IVV maintains this issue as a high-priority since the project schedule is not approved yet. The schedule continues to be updated with new target complete dates, and the late tasks span multiple releases. 06/30/2020 - The ASI is behind schedule on Solution Optimization tasks and activities but maintains that critical path has not been affected. IVV notes that several R0.1 deliverables being updated for the BES Optimization have not yet been delivered by the ASI and/or approved by DHS, which is currently delaying R0.1 UAT start-up efforts. As such, IV&V has increased the rating of this finding to High in June. IVV will monitor all tasks, activities and deliverables comprising R0.1 during the next reporting period and will provide an update in the next report. 5/31/2020 - On 5/15/2020, the ASI retired the interim project schedule and published the BI-5 Project Schedule, which will be updated on a weekly basis. Based on IV&V's review of the project schedule, due dates of providing updated planning deliverables (e.g., Communication Plan, BI-6 DED Plan, BI-10 Functional and System Design DED) to DHS have been missed. While the ASI is tracking several outstanding items to update the schedule, there is not an DHS/ASI agreed upon process to 'baseline' the schedule, which needs to occur. IV&V will monitor closely and provide an update in the next report. 4/30/2020 - The ASI continued to provide weekly updates to the interim project schedule. The target dates for several deliverables were postponed this month to address a quality issue logged by DHS. The ASI acted by completing a root cause analysis and will adopt process changes to improve the quality and potentially reduce or minimize the risk of deliverable delays in the future. The ASI reported in the 4/29/2020 status meeting that the impact of these delays will be mitigated or adjusted as the BI-5 Project Schedule is further defined. The ASI published a draft BI-5 Project Schedule, reviewed with DHS and IVV and is planning to present the BI-5 Project Schedule to DHS for approval on May 15, 2020. 03/31/2020 - the ASI and DHS continued to work on the BES Optimization contract amendment. Once agreed upon, the ASI is planning to publish an updated schedule. To manage the | | 8/4/2020 - Paul Oliver and Rob Plummer - status update is accurate - no concerns expressed by the ASI. Rob indicated the R 0.4 Workflow activities are currently being updated.

3/31/2020 - Paul Oliver - The interim schedule was not intended to capture every task/activity. It was meant to capture the major (higher level) tasks to manage the project short term. This is focused on the long term schedule aligned to the BES Optimization. The interim schedule is being used and reviewed weekly in the Unisys team meeting. The late tasks span multiple releases approximately 1 month, targeting the end of April for the BES Optimization Schedule.

10/10/19 SB: The ASI is working in close collaboration with DHS on the schedule and are assessing options to the project schedule and content and would ask the IV and V to reflect DHS's current assessment of this issue.

09/12/19 SB: The ASI meets weekly with DHS to review the schedule in detail and will continue to do so. As noted earlier, the ASI and DHS are assessing options to simplify the schedule and work item tracking process.

6/11/19: The ASI 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 ASI and client are also holding weekly standup meetings with the entire team to review progress, issues, and activities coming up the following week with the objective of collaboration and joint ownership of the projects progress and schedule improvement.

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 2/5/19. Bill Thornton, Unisys: Executive Summary Risks Feedback The project schedule has been baselined but it needs to be re-baselined based on the approved dates of the DED's. Deliverable delays — as deliverables are not supposed to be started until the DED's approved, the deliverables are not delivered, they need to be re-baselined based on the DED approval |