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September 15, 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 (Sep 15, 2020 11:37 HST)

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: August 1 - 31, 2020

Submitted: September 14, 2020

PUBLIC CONSULTING GROUP

Solutions that Matter

Overview

- Executive Summary
- IV&V Findings and Recommendations
- IV&V Engagement Status
- Appendices
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PUBLIC CONSULTING GROUP
Solutions that Matter

Executive Summary

Executive Summary

In August, the project team continued to refine the project delivery framework. IV&V observed, however, that the project schedule is not effectively managed, and it has not been adjusted by lessons learned from Release 0.1. The pace of the project needs to increase – too many due dates are missed and when delays are identified, slippage is often weeks instead of days, indicating a lack of urgency. The project team has not effectively integrated the Agile Methodology for code development with the required milestones, collaboration and deliverables, which are more closely aligned to a Waterfall Methodology, causing the software code development activities to be out of sync with other project artifacts and processes. Recognizing this, DHS/ASI agreed to pilot changes to the deliverable review/approval process. This is a positive step and may prevent go-live slippage due to already experienced delays.

While it may be in the best interest of the project to conduct a root cause analysis to address these challenges, IV&V believes there are several 'quick wins' that could be implemented with or without doing so. A few examples include: Identify staff to 'drive' the team to the schedule and completion of action items, improve communications between DHS/ASI/Development Team; improve meeting facilitation. If the project management processes and communication activities do not change, there is a high probability more delays will be experienced.

Jun	Jul	Aug	Category	IV&V Observations
M	H	H	Project Management	The Project Management category continues to represent most of the IV&V findings, which consist of risks and issues specific to the project schedule, solution architecture, quality of project artifacts, communications, roles and responsibilities, DHS staffing and UAT readiness.
M	M	M	Configuration and Development	The project team is still attempting to understand the ASI's development approach. A deeper understanding is expected to be gained in September, 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.

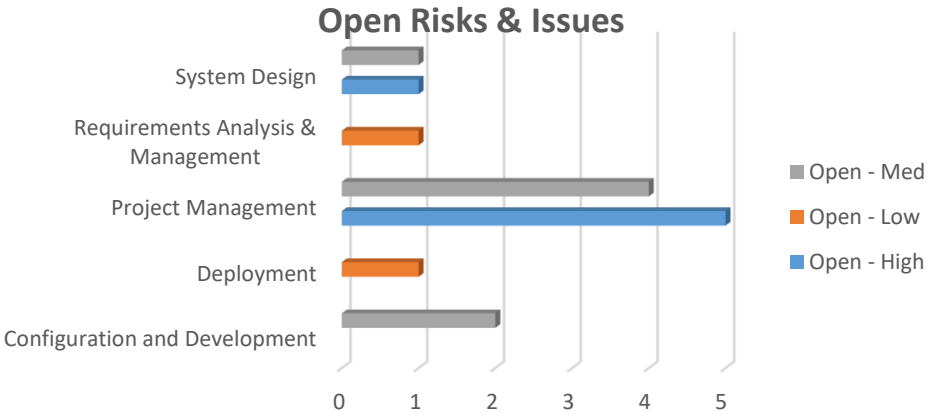
Executive Summary

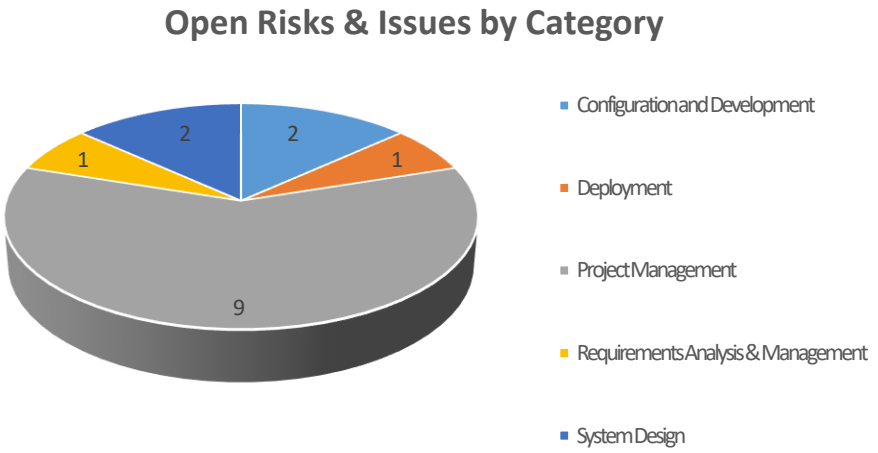
Jun	Jul	Aug	Category	IV&V Observations
M	M	H	System Design	A new issue (previously reported as a concern) was added this month, increasing the criticality of this category to high. The overall architecture is not documented for the project yet Release 0.2 coding is complete.
L	L	L	Deployment	There are no material changes to this category in this reporting period. Several Release Management improvements were identified during early M&O and Release 0.1, which the ASI is planning to apply to future releases.
M	L	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 was delayed and is planned for completion in September.

IV&V Findings and Recommendations

IV&V Findings and Recommendations

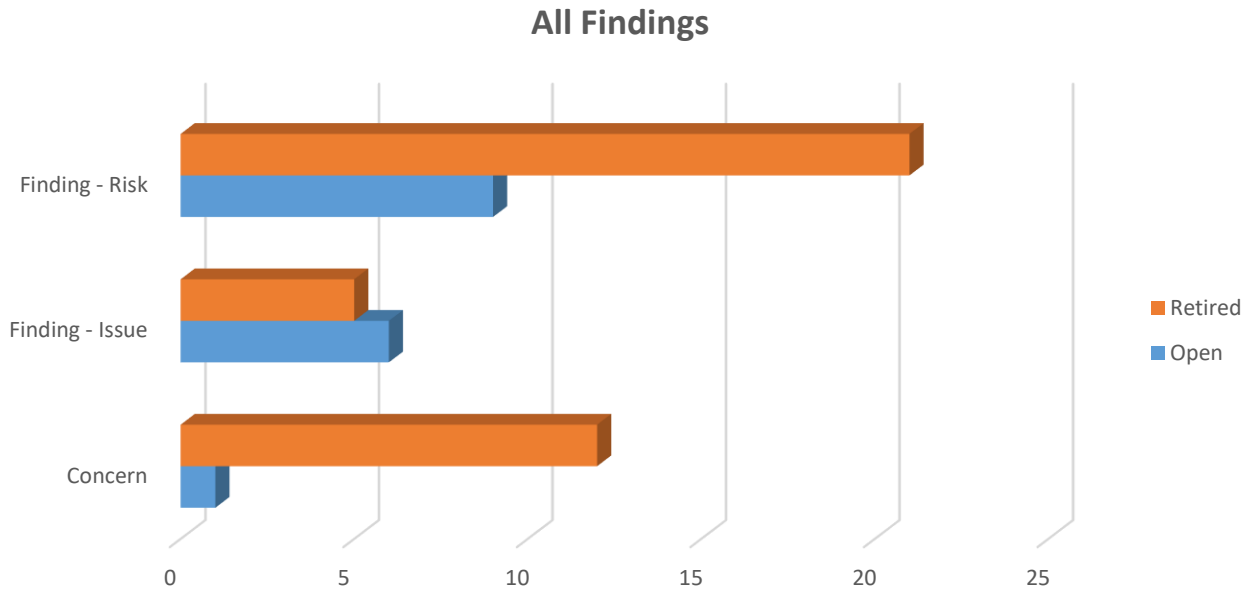
As of the August 2020 reporting period, PCG is tracking 15 open findings (9 risks and 6 issues) and has retired a total of 38 findings. Of the 15 open findings, 9 are related to Project Management, 2 in Configuration and Development and System Design and 1 each in Requirements Analysis and Management, and Deployment.





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).



IV&V Findings and Recommendations

Findings Opened During the Reporting Period

#	Finding	Category
	Two preliminary concerns reported in previous months were escalated to a risk/issue this month. They are found on page 20 and 24 of this report.	

IV&V Findings and Recommendations

Findings Retired During the Reporting Period

#	Finding	Category
56	**Concern** - **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 work and resolving issues that may impact the project, user, client and solution. In August, the ASI addressed both areas of this concern, inviting DHS and IV&V to the weekly Architecture and agreed to include DHS and IV&V in select future Development meetings.	Project Management

IV&V Findings and Recommendations

Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
55	**Test Case creation without functionality acceptance from JAD/JAR sessions.** IV&V is researching how the JAD results including acceptance criteria are carried over or linked to the use cases and testing processes.	Testing

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
2	**Issue – Late Delivery of project deliverables may result in schedule delays**. Although the ASI provided some deliverables and work products on time during this reporting period, the finalization of several other deliverables (i.e., Solution Optimization BI-5 Project Schedule, various Release 0.1, 0.2 and 0.3 Deliverables and work products including the Data Conversion Plan) are behind schedule 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 completion dates, and 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 August, DHS is considering changing the cloud platform from Azure to Google and a Change Request is currently in progress. The ASI appears to be making plans to migrate their existing environment to the new platform as the ASI's subcontractor (eWorld) is currently developing the system using their own environments. The ASI is making some progress in the communication of architecture decisions. The new ASI lead architect holds a weekly Architecture meeting which provides DHS a forum to discuss and/or clarify architecture plans and decisions. However, it remains unclear if these architecture plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ESI given the change of platforms from Siebel to Java in the cloud; the ESI will not be responsible for any stand-alone BES environments, only the KOLEA/BES shared service environments.	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.	In process
• The project should vet possible architectural change impacts to the platform, M&O, MQD, and BES systems before finalizing architectural decisions.	In process
• 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.	In process

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 ASI has made changes to the format and content of the project status report to address DHS concerns. For the most part, weekly status meetings have involved the ASI reading the status report to DHS without much discussion or elaboration. DHS leadership has stated they fail to see the value in this method and have asked the ASI to explore ways to encourage productive conversations during this meeting. DHS has also requested the status report include target dates and suggested combining the schedule meeting with the project status meeting. DHS also expressed concern that the project is maintaining multiple action item logs, which could create confusion. Not all ASI staff were aware there were separate logs and are currently reviewing to merge as much as possible into the main project action item log.	M

Recommendations	Progress
• Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule. For example, notifications in preparation for release activities.	In process
• ASI establish a single communications channel to manage all ASI to DHS communications and ensure regular communication to DHS.	In process
• ASI increase dialog with the DHS project team individuals instead of relying on formal meetings to inform and discuss project topics. Update the project communications plan with enhanced communication processes.	In process

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**. Progress was made this month in that the Data Steward position was filled. The candidate will join the project on 9/1/20. The Data Conversion Lead and the DHS PMO positions continue to be in an open status. The DHS PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is seeking approval to fill all open positions and recruitment is ongoing.	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.** Honolulu City and County leadership announced an updated Stay at Home order beginning 8/27/2020, planned for 2 weeks. COVID-19 related hiring freezes may hinder the DHS ability to replace project PMO vacancies as well as other potential hires to meet project needs and to support the new system post-go-live. DHS and the ASI have managed the project effectively over the last 6 months, therefore IV&V is changing the priority to Medium.	M

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 was provided 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 August, mostly to address outstanding comments. The BI-10 deliverable for Release 0.1 was iterated twice in August and does not meet DHS' needs. IV&V will leave this finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products.	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 ASI conducted 3 Lessons Learned sessions with the project team to review the list of Release 0.1 UAT opportunities for improvement. The summary of the actions, planned resolution, and release number when resolution will be implemented was sent to the project team. Not all actions will be implemented for Release 0.2. DHS indicated they were expecting all actions be applied in Release 0.2 and it is unclear why some actions are planned after Release 0.2. This may result in UAT issues/concerns experienced in Release 0.1 replicated in Release 0.2. Additionally, all actions planned for Release 0.2 are not in current schedule; which may cause additional delays.	H

Recommendations	Progress
• The ASI further develop the action plan to include owners and target complete dates. Report progress in the weekly status meeting.	Not started
• All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution.	In process

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
57	***New*** **Risk – Roles and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team is not clear.** This finding was reported as a preliminary concern in the July IV&V report and is escalated to a risk to the project in this reporting period.. Due to DHS staffing constraints, the ASI is filling the role of Product Owner and Product Manager. The product manager and/or owner often make decisions that impact specific business functionality. If this role is to be filled by the ASI, knowledge of DHS' business functions is critical and strong communication channels are a must. However, IV&V could not find evidence of a communication path of these discussions and decisions with DHS. In August, although the ASI stated many touch points exist between DHS and the Product Owners/Managers, DHS does not confirm a level of engagement they feel is needed to properly influence/monitor design and development processes. The complexity of BES increases with the future releases and is a risk that needs a clear mitigation plan. Recently, the ASI recognized this as a gap and is taking action.	H

Recommendations	Progress
• Identify and execute to the communication path agreed to by DHS/ASI between the Product Managers and Product Owners and DHS/BESSD.	In process
• The ASI to clearly define the staff assigned and the roles and responsibilities of the ASI Product Managers and Product Owners.	In process
• DHS consider adding staff to the project team with 'deep' BESSD business knowledge to work hand-in-hand with the product owners and development team	In process

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 leadership agreed the intent of the portal is to support the "No Wrong Door" experience for the clients (similar client experience regardless of portal used) and continues to discuss options regarding how this concept will be planned, executed and implemented.	M

Recommendations	Progress
• DHS continue to work with the ASI as DHS evaluates options to plan, execute and implement the BES Portal.	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 all SDLC Processes..** DHS Test Leads continue to express concerns about the effectiveness and efficiency of the ASI testing process, tools and methodology despite efforts by the ASI to improve processes based on feedback from multiple lessons learned sessions.	M

Recommendations	Progress
• ASI 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.	Not started
• Encourage ASI and DHS testers to consistently collaborate during SIT and UAT activities.	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.** There are no material updates to this risk in August 2020.	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

System Design

#	Key Findings	Criticality Rating
53	***New*** **Issue – The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.** This finding was reported as a preliminary concern in the previous IV&V monthly report and is escalated to an issue in this reporting period. 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, to ensure the code meets with the architectural principles and overall design. We recognize some flexibility is needed in an Agile approach however, the overall Architecture should be documented and followed with updates as needed. To date, no sections of the System Architecture deliverable (BI-12) have been formally approved by DHS. The ASI is currently responding to comments on some sections of the initial draft, however the schedule dates for the Shared Services and CMM sections continue to be missed. Software continues to be constructed without the overall guidance of the System Architecture deliverable, which may result in variation in the development efforts. Based on the current schedule, 5 of the planned 7 releases will be in progress by the time the architectural details are made available, and 2 releases will already be completed.	H

Recommendations	Progress
• Recommend completing and approving the BI-12 System Architecture deliverable prior to development of source code.	In process
• 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.	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.** Although UAT for Release 0.1 was completed in early July, the associated deliverables have either not been delivered or not been accepted more than 6 weeks later. Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASI conducted a third Release 0.1 Lessons Learned activity on 8/17/20, and delivered an Action Plan on 8/21/20, however the plan does not include owners or due dates for the planned improvements.	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
• Update the Release 0.1 Lessons Learned action plan to include owners and due dates.	Not started

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.** There are no substantive changes on this finding reported for August. Although this activity was scheduled for completion on 8/25/20, the work is not complete.	

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	Jun	Jul	Aug	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final July 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				
IV&V Scope				DHS and IV&V met on August 13,2020 to discuss the IV&V schedule, contract and cost in relation to the BES project delays.

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 August reporting period:
  - Completed – July Monthly Status Report
  - Completed – Delivered the Final Adhoc Staff Assessment Report to DHS
  - Ongoing – Review Artifacts and Deliverables for BES the 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 September reporting period:
  - Ongoing – Observe BES Development, JAD and Workgroup sessions as scheduled
  - Ongoing – Observe Weekly Project Status meetings
  - Ongoing – Observe Weekly Architecture meetings
  - Ongoing – Observe Weekly/Monthly Security 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-10 Release 0.1 FMM Functional and System Design Document	08/06/2020	1.7
BI-10 Release 0.1 FMM Functional and System Design Document	08/19/2020	1.10
BI-10 Release 0.2 SSP Functional and System Design Document (draft in walkthrough)	Draft	N/A
BI-12 FMM System Architecture	8/5/2020	N/A
BI-14 Release 0.1 SSP Technology Design Document (draft in walkthrough)	Draft	N/A
BI-21 Release 0.1 Functional and Technical RTM	08/11/2020	1.0
BI-22 Release 0.1 System Test Report (draft in walkthrough)	Draft	N/A
BI-22b Release 0.1 FMM UAT Evaluation Report	08/12/2020	1.1
BI-22b Release 0.1 FMM UAT Evaluation Report	08/14/2020	1.3

Additional Inputs – Artifacts

Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
2019-11-22 HI Test Plan - FNS Comments.xlsx	11/22/2019	N/A
FNS 901 Handbook	01/2020	V2.4
Release 0.2 Test Plan (draft in walkthrough)	N/A	N/A

Additional Inputs

Meetings and/or Sessions Attended/Observed:

1. Weekly Platform Security Meeting x3 (8/6/2020, 8/13/2020. 8/27/2020)
2. PCG Internal BES Project Meetings x11 (08/03/2020, 08/03/2020, 08/06/2020, 08/10/2020, 08/12/2020, 08/17/2020, 08/18/2020, 08/20/2020, 08/24/2020, 08/27/2020, 08/31/2020)
3. BESSD PMO, IV&V Weekly Meeting x4 (08/05/2020, 08/12/2020, 08/19/2020, 08/26/2020)
4. BES Status Meetings x4 (08/05/2020, 08/12/2020, 08/19/2020, 08/26/2020)
5. BES Schedule Review Meetings x4 (08/04/2020, 08/11/2020, 08/18/2020, 08/25/2020)
6. July Pre-Draft Report Review with ASI (08/04/2020)
7. Jira Review with ASI (08/03/2020)
8. August Pre-Draft Report Review with ASI (08/31/2020)
9. July Draft Report Review with ASI and DHS (08/11/2020)
10. ASI Touch Base x2 (08/18/2020, 8/31/2020)
11. BES Functional Meeting x2 (08/11/2020, 08/18/2020)
12. Bi-Weekly Deliverables Walkthrough x2 (08/04/2020, 08/06/2020)
13. Data Conversion Meetings x3 (08/06/2020, 08/18/2020, 08/25/2020)
14. R0.2 FMM and CMM Requirements (08/06/2020)
15. DHS DDI Architecture Weekly Review Meeting x2 (8/18/2020, 08/25/2020)
16. R0.2 FMM and CMM Demo and Final Requirements (08/25/2020)
17. JAD to Testing Walkthrough Meeting (08/11/2020)
18. BI-20 R0.2 Walkthrough Meeting (08/13/2020)
19. R0.1 Lessons Learned Action Plan Meeting (08/17/2020)
20. SSP | RIDP Replacement Option (08/20/2020)
21. BES Tools, Use and Reports Questions Meeting (08/24/2020)
22. BI-10 & Release Phase Gates Meeting (08/26/2020)
23. ECM/ECF Meeting (08/26/2020)
24. BES Project Release 0.3 Kick-off Meeting (08/27/2020)

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	Data 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.	Brad	Finding - Risk	7/22/2020	Project Management	Due to DHS staffing constraints, the ASI is filling the role of Product Owner and Product Manager. The product manager and/or owner often make decisions that impact specific business functionality. If this role is to be filled by the ASI, knowledge of DHS' business functions is critical and strong communication channels are a must. However, IVV could not find evidence of a communication path of these discussions and decisions with DHS.	DHS and BESSD need to establish a clear communication path with the BES Product Managers and Owners to ensure the functionality required is being met.	Identify and execute to the communication path agreed to by DHS/ASI between the Product Managers and Product Owners and DHS/BESSD. The ASI to clearly define the staff assigned and the roles and responsibilities of the ASI Product Managers and Product Owners. DHS consider adding staff to the project team with 'deep' BESSD business knowledge to work hand-in-hand with the product owners/managers and development team	ASAP	4	4	High	Open		8/30/2020 Although the ASI stated many touch points exist between DHS and the Product Owners/Managers, DHS does not confirm a level of engagement they feel is needed to properly influence/monitor design and development processes. The complexity of BES increases with the future releases and is a risk that needs a clear mitigation plan. Recently, the ASI recognized this as a gap and is taking action.		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.
55	Test Case creation without functionality acceptance from IAD/IAR 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 IAD/IAR 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 IAD/IAR sessions be provided in the Test Results documentation to help assure that acceptance criteria that was agreed upon is met.	Immediate	3	4	Mad	Open		8/31/2020 - In August there were a couple of situations (gender, number of entries allowed in a search function) where it did not appear that the prototype was aligned with the IAD results. It remains unclear if the developers are using the IAD results or only focused on the requirements, IVV will continue to monitor.		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 RD.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.03 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; 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.	- All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution. - The ASI further develop the action plan to include owners and target complete dates. Report progress in the weekly status meeting.	immediately	4	3	High	Open		8/30/2020 - The ASI conducted 3 Lessons Learned sessions with the project team to review the list of Release D.1 UAT areas to improve. The summary of the actions, planned resolution, and release number when resolution will be implemented was sent to the project team. Not all actions will be implemented for Release D.2. DHS indicated they were expecting all actions be applied in Release D.2 and it is unclear why some actions are planned to be complete after Release D.2. This may result in UAT issues/concerns experienced in Release D.1 replicated in Release D.2. Additionally, all actions planned for Release D.2 are not in current schedule, which may cause additional delays. 7/29/2020 - The lessons learned for Release D.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	Finding - Issue	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, to ensure the code meets with the architectural principles and overall design.	- 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		08/31/2020 - This finding was reported as a preliminary concern in the previous IV&V monthly report and is escalated to an issue in this reporting period. 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, to ensure the code meets with the architectural principles and overall design. We recognize some flexibility is needed in an Agile approach however, the overall Architecture should be documented and followed with updates as needed. To date, no sections of the System Architecture deliverable (BI-12) have been formally approved by DHS. The ASI is currently responding to comments on some sections of the initial draft, however the schedule dates for the Shared Services and CMM sections continue to be missed. Software continues to be constructed without the overall guidance of the System Architecture deliverable, which may result in variation in the development efforts. Based on the current schedule, 5 of the planned 7 releases will be in progress by the time the architectural details are made available, and 2 releases will already be completed. 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	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, only BES 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 Chenwei 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 CDT 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 CIT staff. Yes, CIT staff are receiving some training - WDDN8 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	Mad	Open		08/31/2020 - The ASI re-submitted multiple deliverables during August, mostly due to rework to address outstanding comments. The BI-10 deliverable for Release D.1 was iterated twice in August and does not meet DHS's needs. IVV will leave this finding open until Release D.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products. 07/31/2020 - The ASI re-submitted multiple deliverables during July, mostly centered on the BI-Optimization changes. The BI-10 deliverable for Release D.1 was iterated again, and is currently under review. The BI-20 deliverable quality for Release D.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 D.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 DIDs 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 DCF'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	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 Requi	5	4	Mad	Open		8/31/2020 - No update during this reporting period. 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 in 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 any 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 assure 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	Mad	Open		08/27/2020 - Honolulu City and County leadership announced an updated Stay at Home order beginning 8/27/2020, planned for 2 weeks. COVID-19 related hiring freezes may hinder DHS' ability to replace project PMO vacancies as well as other potential hires to meet project needs and to support the new system post-go-live. DHS and the ASI have managed the project effectively over the last 6 months, therefore IVV is changing the priority to Medium. 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 COOP (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 NJCD 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 each key resource as required by the RFP (reference RFP section 3.5.1.2 'Benefits Eligibility Solution Project Staffing'.)	ASAP	5	4	High	Open		8/31/2020 - Progress was made this month in that the Data Steward position was filled and planned to begin work on the project 9/1/2020. The Data Conversion Lead and the DHS PMO positions continue to be in an open status. 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. 7/31/2020 - 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 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	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 3/9/2020, transition activities from Donna will begin next week. ASI PM also stated they are currently filling the ASI PM and ASI Engagement Manager Roles and is commited 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 project information is at times insufficient and/or delayed. Recent examples include: - DHS reported that changes to the JAD calendar are being made by the ASI without notifying stakeholders. - PMO and BES Project Team did not receive sufficient clarity or notification about challenges impacting the previously planned October MDM Release. The topic was discussed ad hoc during the 8/28/2019 ASI Weekly Status Meeting (see: Meeting Minutes from DDI Status Report 8/28/2019 and project Action Item #797). - During the 10/30/19 Release lessons learned (retrospective) session, DHS UAT participants detailed multiple instances of ASI communication challenges, including: - Little to no communication during the design phase of the release. - Insufficient communication to DHS-left participants unprepared to begin UAT testing. It is important to note that while MO is not in IV's scope, many of the ASI's release resources and processes are shared between MO and DDI, making the challenges experienced during MO activities relevant to DDI. These instances of insufficient communication caused confusion amongst the project, and in some cases resulted in project risks, issues, and/or action items being opened. Insufficient and untimely communications can confuse and strain project resources, and can further complicate project activities, challenge the project's ability to meet milestones, and impact the quality of both planning and execution.	mfors	Finding - Risk	10/28/2019	Project Management		Insufficient communication can lead to project delays and may not allow DHS sufficient time to respond, prepare for, or plan their resources for time sensitive activities. Failure to improve communications can strain DHS resources that are already at or beyond capacity and can further complicate project activities, challenge the project's ability to meet milestones, and impact the quality of both planning and execution.	• Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule. For example, notifications in preparation for release activities. • ASI establish a single communications channel to manage all ASI to DHS communications and ensure regular communication to DHS. • ASI increase dialog with the DHS project team individuals instead of relying on formal meetings to inform and discuss project topics.	ASAP	4	4	Med	Open	08/27/2020 - The ASI has made changes to the format and content of the project status report to address DHS concerns. For the most part, weekly status meetings have involved the ASI reading the status report to DHS without much discussion or elaboration. DHS leadership has stated they fail to see the value in this method and have asked the ASI to explore ways to encourage productive conversations during this meeting. DHS has also requested the status report include target dates and suggested combining the schedule meeting with the project status meeting. DHS also expressed concern that the project is maintaining multiple action item logs, which could create confusion. Not all ASI staff were aware there were separate logs and are currently reviewing to merge as much as possible into the main project action item log. 7/31/2020 - 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. 6/30/2020 - During June, IVV noted a lack of communication regarding deliverable submission. Although the ASI is required to notify DHS when deliverables are submitted, this did not always occur (e.g., BES Optimization updates). When brought to the ASI's attention, this was corrected. IVV also notes that the ASI has updated their Communications Plan to address changes resulting from the BES Optimization. IVV will continue to monitor this finding to ensure that the process is consistently followed. 05/27/2020 - There continues to be a lack of timely communication between the ASI and DHS PMO. During May, IVV noted the following: The ASI published changes to their Key Personnel without providing the DHS PMO notice or prior approval as documented in the agreement. The ASI was scheduled to deliver the updated Organization Chart and Communication Plan to DHS on 5/15/20. In a weekly status meeting on 5/20/20, DHS was informed that the delivery date was changed to 6/1/20. 04/29/2020 - During the 2/26/20 status meeting, the ASI stated their intention to update the Communications Plan. The ASI delayed the delivery of the updated Communication Plan to DHS to address the additional changes necessitated by the COVID-19 pandemic. The ASI stated the updated Communications Plan will be delivered by 4/30/20 for DHS to review. As the project development activities shift to eWorld, DHS is concerned about the lack of transparency around their progress and details of what they are working on. IVV will revisit this risk with the ASI and DHS in May but maintains this is a medium risk to the project as of the		6/2/2020 - The delay was due to the adding the communications plan updates into the overall PMP updates. The Org chart was sent before Paul had a chance to talk to Gary. Paul did chat with Gary and will follow-up today. To improve the informal communications, the ASI and DHS PMO now have established a weekly meeting. 5/5/2020 - Paul Oliver indicated the updated Communication Plan and PMP (BI-04) will be delivered on the 5/15/2020. ASI PM questions why Unisys is not represented at the ESC - currently working with DHS to have Unisys included. 03/03/2020 - The ASI PM stated the updates to the Communications Plan will be submitted next week. 11/18/19 SB: The ASI would like to clarify the global nature of this new item raised by IV&V. This communication was all related to the October Kolea release which included DDI content, and not to the entirety of all project communication as an unfamiliar reader may assume. This was the first release with DDI content which included submittal of DDI related deliverables which were new to the Kolea team. There were a number of circumstances that arose out of this being the first time a number of the processes were executed and the ASI attempted to accommodate extended review cycles given this was a new process for the team. With that accommodation, deliverable review and approval was often not waterfall sequential - which led to some confusion. The ASI believes it is inaccurate to describe that communication was late to DHS when there are at least three standing meetings each week where status is provided.
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	Requirements are listed in Design artifacts as 'Partially Met'. With hundreds of planned design artifacts, it is unclear how complete traceability for each requirement will be accomplished within the design artifacts and ALM. Although the ASI has developed a method of splitting requirements in ALM, the process does not address the management and traceability of 'one-to-many' relationships (i.e., when a requirement is satisfied by multiple features or functions).	If requirements are not completely traced throughout the SDLC, it is may result in missing functionality and reduced scope.	Determine a requirements management and design artifact that provides full accountability of where each and 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.	Q4 2019	4	3	Low	Open	08/31/2020 - There were no substantive changes on this finding reported for August. The latest project schedule anticipated this to be to be completed by 8/25/2020, however the work is not complete. 07/31/2020 - 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, IVV has reduced the priority of this finding to Low. 6/30/2020 - The ASI and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by eliminating all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence (CC). DHS reports that this effort is still not completed with the ASI, and that they continue to work towards agreement. IVV will continue to monitor the project's progress towards finalization of requirements. 05/31/2020 - The ASI and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by eliminating all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence (CC). To date, five (5) CC documents have been written and approved for this activity. DHS states they are awaiting additional CC's for Appeals, SSP, and a few others. IV&V notes that these required tasks and activities are not included in the BI-5 Project Schedule however, the ASI is working with DHS to plan the activity details and add them to the schedule. 04/30/2020 - The ASI continues its efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence process. This activity is behind schedule, it was planned to be complete by the end of April, and the revised completion date is currently unknown. The latest interim project schedule published by the ASI incorrectly states this activity as being completed, however per DHS, this activity is not completed. IVV will continue to monitor the status of this important requirements management activity during May. 03/31/2020 - The ASI is continuing its efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements. Per the latest interim schedule, this activity was scheduled for completion by March 31, 2020, however it was not completed at the end of the month. IVV will continue to monitor in April. 02/29/2020 - IVV is aware that the ASI has commenced efforts with DHS BESSD to break down requirements into		11/18/19 SB: The ASI appreciates IV&V clarifying that IM had noted this concern while onsite rather than FNS. The ASI does not see any comments related to the FNS visit and their assessment of the project progress to date - much of which was positive. 10/10/19 SB: The ASI believes the current process tracks requirements appropriately and will work with DHS and the IV and V to address their remaining concerns.
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	Release planning does not appear to be sufficient to meet the needs of the project. IVV observed that there was not a SPOC Release Manager assigned to manage the first release for KOLEA. IVV observed that there was a lack of timely release planning for the KOLEA Release, and that communications regarding the release were inconsistent, ineffective, and inaccurate. IVV is unaware if a 'Release Plan' has been fully documented to clearly outline details of the release, including timing of detailed tasks and activities, documentation updates, configuration item updates, and roles and responsibilities of all resources involved from the ASI and DHS.	Insufficient release management processes can lead to implementation schedule delays and poor release quality if not managed properly. Insufficient release management processes can also lead to configuration challenges when contents of a release are not well documented. Low quality and/or failed releases could negatively impact system user acceptance and project stakeholder confidence in the solution. Additionally, poor release planning and communication may result in the disruption of business operations.	- Assign a Release Manager to manage all details of planned releases. 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. - Ensure that release planning includes all deliverables within a release, in addition to the software development efforts. - Update the Release 0.1 Lessons Learned action plan to include owners and due dates.	OCT 2019	3	2	Low	Open	08/31/2020 - Although UAT for Release 0.1 was completed in early July, the associated deliverables have either not been delivered or not been accepted more than 6 weeks later. Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASI conducted a third Release 0.1 Lessons Learned activity on 8/17/20, and delivered an Action Plan on 8/21/20, however the plan does not include owners or due dates for the planned improvements. 07/31/2020 - 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. A Lessons Learned activity took place on 7/23/2020 and 7/28/2020 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. 06/30/2020 - No BES releases were accomplished in June. The scope of R0.1 was reduced in mid-June, as some of the originally planned SSP component stubs were delayed to R0.2. R0.1 is currently scheduled for completion on 7/14/2020 with the EBT Card Inventory Module (less card issuance functions, which are currently planned for R0.5). However, IVV notes that several R0.1 pre-requisite deliverables requiring updates based on SOAP have not yet been delivered and/or are not yet approved by DHS, and R0.1 UAT efforts have been delayed. The new tools being implemented by the ASI could potentially help to improve the release management functions. IVV will continue to monitor the ASI and DHS activities related to this important first release for BES. 05/31/2020 - No changes to this finding in May. While there is currently a KOLEA MO release (R20.2.M) planned for June, the first BES DDI release is scheduled for August 2020. IVV will continue to monitor. 04/30/2020 - IVV validates that no new MO or DDI releases were performed during the month. IVV 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, planned to occur in June 2020. 03/31/2020 - IVV validates that no new M and O or DDI releases were performed during March. IVV 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. 02/29/2020 - IVV validates that the ASI still has not yet performed a BES release, however the ASI has now successfully accomplished two releases for KOLEA MO. IVV will continue to monitor as it is anticipated that some DDI release changes will be made as the project		5/5/2020- Paul Oliver suggested this finding is a risk, not an issue. The ASI is consolidating KOLEA and BES release management teams and processes to be the same. 03/03/2020 - The ASI PM stated some BES functionality was included in the KOLEA releases and the 3rd KOLEA release was successful last week. ASI PM requested IVV to evaluate the priority (reduce from high) of this finding considering the plans and performance of the KOLEA releases. 11/18/19: The ASI disputes the term rotated as it relates to the Release Manager for the October release. There was no rotation. The ASI assigned an additional resource to the January release. 10/10/19 SB: The ASI had named a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely. DHS requested that the release manager be onsite. The ASI has assigned a release manager who will be more readily available onsite, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes workshare arrangements with the ASI team. The October release being the first DDI related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.
38	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.	mfors	Finding - Risk	8/29/2019	System Design	ASI-led JAD sessions are currently divided up into functional areas (Portal, Admin Appeals, Core, Financial, etc.) and have been ongoing since approximately March 2019. Workflow/task JAD's have yet to begin. Currently, when functional area design discussions involve a workflow/task, the discussion is tabled because the ASI has yet to define how the workflow/task will be implemented. The ASI has stated that once the workflow/task functionality is defined, they will go back and update the existing designs to include this functionality.	Stopping (or putting on hold) design and process flow discussions during JAD's can result in an incomplete understanding of future processes. Uninformed design decisions could lead to significant rework, confusion among SME's and the ASI project team, unproductive analysis discussions, and a poor design. Further, if DHS is asked to sign off on designs that lack clear workflow/task functionality, they could be signing off on a poor or incomplete design.	- ASI work quickly to define how the workflow/task functionality will work, train BA session leads - Introduce SME's to workflow/task functionality and integrate into system designs.	ASAP	4	4	Med	Open	08/27/2020 - No material update for this reporting period. 07/29/2020 - 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. 06/30/2020 - IVV has no material update for this finding in June, as the schedule has not yet been finalized. 05/27/2020 - The ASI stated efforts are being made to identify design gaps due to workflow functionality being tabled during some JAD sessions. The ASI has also stated their intention to address these gaps in an Agile fashion as more implementation details become available. As details become available, IVV will update this finding. 04/29/2020 - As part of the BES Optimization re-planning effort, the ASI is adjusting the project schedule to ensure Workflow is designed across the BES solution consistently. This risk will remain open until IVV receives/reviews the project artifacts. 03/29/20 - 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. IVV will review plans for the revised BES Optimization effort, specifically as they pertain to JADs, once they become available. 02/27/2020 - The project continues to work with the ASI to negotiate the terms and scope of the BES Solution Optimization. At this time, the plan for how Workflow will be incorporated into JADs is unknown. IVV will review plans for the revised BES Solution Optimization effort, specifically as they pertain to JADs, once they become available. 01/31/2020 -In the January reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO 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 resourcing 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 readdress 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 PMO 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 resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and		5/5/2020 - Paul Oliver did not realize there was a follow-up activity. Addressing workflow in the JAD sessions was inconsistent. Need to determine (1) which JAD sessions already completed did or did not include workflow (2) if workflow was covered in the JAD, will it change due to the Optimization Solution? (3) if workflow was not covered in the JAD session, how will those requirements be included in the solution? Further, per Paul the plan moving forward for CMM/FMM is to include workflow as it is developed 3/31/2020 - Paul Oliver did not have a chance to talk to his team, he will do so and get back with IVV. 03/03/2020 - The ASI PM stated workflow is being addressed in some of the JAD sessions. ASI and IVV will follow-up with the project team to gain a clear understanding of how workflow will be addressed. 10/10/19 SB: The ASI meets with DHS multiple times a week and there has been no request to alter the sequence of upcoming sessions. 09/12/19 SB: The ASI will work with DHS in assessing whether to change the current schedule for these funtional areas.
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.	mfors	Finding - Issue	5/28/2019	Project Management	Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Siebel instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud.	The current project architecture and design should be as representative and inclusive of all known future solution plans as possible. As an example, if KOLEA and BES are to move to a single instance of Siebel in the future, planning for that integration should be incorporated into the project now. If such significant future changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.	- The ASI continue to document the architectural details in the BI-12 System Architecture Deliverable and if possible, review draft content with DHS and IVV. DHS request ASI perform due diligence in any recommendation for foundational architecture change decisions. - The project should vet possible architectural change impacts to platform, M and 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. DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.	ASAP	4	5	High	Open	08/27/2020 - In August, DHS is considering changing the cloud platform from Azure to Google and a Change Request is currently in progress. The ASI appears to be making plans to migrate their existing environment to the new platform as the ASI's subcontractor (eWorld) is currently developing the system using their own environments. The ASI is making some progress in the communications of architecture decisions. The new ASI lead architect holds a weekly Architecture meeting which provides DHS a forum to discuss and/or clarify architecture plans and decisions. However, it remains unclear if these architecture plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ESI given the change of platforms from Siebel to Java in the cloud; the ESI will not be responsible for any stand-alone BES environments, only the KOLEA/BES shared service environments. 07/31/2020 - DHS and the ASI have noted some 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. 06/30/2020 - The ASI drafted updates to the BI-12 System Architecture Deliverable and performed a walkthrough of the Overview Chapter of the deliverable in late June. As an example, DHS reported that contract award to migrate the KOLEA portal to Adobe is imminent. Although the ASI will implement the BES portal on the Liferay platform, the ASI states that this will be transparent to end-users, presenting a 'combined application' for which the design has yet to be finalized IVV will continue to monitor this discussion to gain clarity on DHS' portal integration strategy. 05/31/2020 - The BES Architectural details are planned to be documented in the BI-12 System Architecture Deliverable and published in phases. The first iteration of the deliverable is planned to be complete on 08/27/2020. IVV will review the provided documentation as it becomes available. 04/29/2020 - The BES Optimization contract amendment was completed, and it provides high-level architecture information. However, important architecture details are not yet available; once details become available (likely as updates to the BI-12 Architecture Plan) IVV will review and provide feedback. 03/29/2020 - DHS continued to work with the ASI to negotiate the terms and scope of the BES contract amendment. Currently, the project is anticipating the possibility of delaying the BES implementation timeframe and reducing the scope (requirements) in order to stay within the current	06/30/2020 - Combined application is still planned. App still not finalized by DHS. From Arch perspective, we are building in Liferay. Future integration of the portals is still to be determined, but is not more complex than originally planned for data sharing. If change is made to Adobe, this would require a CR.	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. 5/5/2020 - Paul Oliver stated the Architecture documents to include high-level and lower level detail are being incorporated into the BI-12 Architecture Deliverable. 10/10/19 SB: The ASI is working on the KOLEA specific content of BI-12 and this has been relayed to DHS. 08/11/19 S Brown: The ASI requests clarity on what long term architectural decisions are being referred to.

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 SB; • ASI provide an additional DDI approach overview session for stakeholders and allow for QA • ASI 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 • Encourage ASI and DHS testers to consistently collaborate during SIT and UAT activities.	1/31/19	4	3	Med	Open	08/27/2020 - DHS test leads continue to express concerns with the effectiveness and efficiency of the ASI testing process, tools and methodology despite efforts by the ASI to improve processes based on feedback from multiple lessons learned sessions. 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 adopt 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. 03/29/2020 - 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	1/7/19: Note. During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Unisys offered to present the orientation during each JAD session. It was suggested by DHS that the pre-JAD packet be placed in the SharePoint project site. For new participants in the JADs, a separate orientation before the JAD should be held for those new participants.	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 this 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.	08/31/2020 - DHS continue to work with the ASI as DHS evaluates options to plan, execute and implement the BES Portal. 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	8/31/2020 - DHS leadership agreed the intent of the portal is to support the "No Wrong Door" experience for the clients (similar client experience regardless of portal used) and continue to discuss options regarding how this concept will be planned, executed and implemented. 7/3/2020 - 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. 03/29/20 - 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 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		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.	8/31/2020 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 IVV to include the Release 0.1 lessons learned. - 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). - Complete 5/31/2020 - Finalize the updates to the project schedule to address the outstanding items/issues identified by DHS and IV&V. 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 5/10/2020 - 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 on 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 proces 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	8/31/2020 - Although the ASI provided some deliverables and work products on time during this reporting period, the finalization of several other deliverables (i.e., Solution Optimization BI-5 Project Schedule, various Release 0.1, 0.2 and 0.3 Deliverables and work products including the Data Conversion Plan) are behind schedule IVV 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 completion dates, and late tasks span multiple releases. 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 by DHS, 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 DDI 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		9/10/2020 - Rob Plummer indicated the IVV comment regarding Release 0.3 late tasks is not a fair representation. 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. The ASI team 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 interim schedule will be used for 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 1/23/2019 and the deliverable is planned for submission the week of 3/18/2019. 2/6/19, Bill Thornton, Unisys: Executive Summary Risks Feedback The project schedule has been baselined but it needs to be re-baselined based on the approved dates of the DED's. Deliverable delays – as deliverables are not supposed to be started until the DED is approved, the deliverables