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May 24, 2021

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

The Honorable Scott K. Saiki,
Speaker, and
Members of The House of Representatives
Thirty-First 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 (May 24, 2021 17:47 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: April 1 - 30, 2021

Submitted: May 13, 2021

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
- [IV&V Engagement Status](#)
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 - [C – Acronyms and Glossary](#)
 - [D – Background Information](#)



Solutions that Matter

The background is a solid blue color with a subtle gradient. It is decorated with several abstract geometric elements: white-outlined squares of various sizes, some of which are slightly offset from each other, and solid blue squares. Some of these squares are connected by thin white lines, creating a sense of movement or a network. The overall aesthetic is modern and professional.









Executive Summary

Executive Summary









In April, the project team continued to revise the project schedule due to the delays for the KOLEA ATC impact (the CMS required KOLEA modifications are causing a delay of the integration with BES) and CMM Interview, Release 0.3 UAT completed and continued improvement in overall project communications was observed. Project work continued on several releases, but it has been over 2 months since the potential delay was announced resulting in a loss of momentum. There was a noticeable reduction in the number of deliverables and project meetings during this reporting period.

The project is also faced with the challenge of meeting deadlines and maintaining quality. DHS and the ASI are taking actions to minimize rework and design the BES to take advantage of new tools and technologies by adjusting staffing and drilling down to the design details. To reduce the number of defects in UAT and improve the quality of the code, the ASI conducted a Root Cause Analysis. Other actions to improve quality may be identified as a result of the Release 0.3 Lessons Learned activity.

Feb	Mar	Apr	Category	IV&V Observations
			Project Management	IV&V retains a high criticality rating for this category due to the lack of a Project Schedule, loss of project momentum and inability to measure the velocity of the development effort.
			System Design	A new finding was added this month regarding the design of the BES and concerns on the availability of previous JAD documentation and lack of Eligibility and Enrollment expertise on the ASI BA and development teams. DHS and the ASI identified initial corrective actions and other measures may be implemented when the Release 0.3 Lessons Learned activity is completed.
		N/A	Deployment	The project team made several improvements to the BES Release Management Practices over the last several months therefore, IV&V retired the finding in this category in April.

Executive Summary



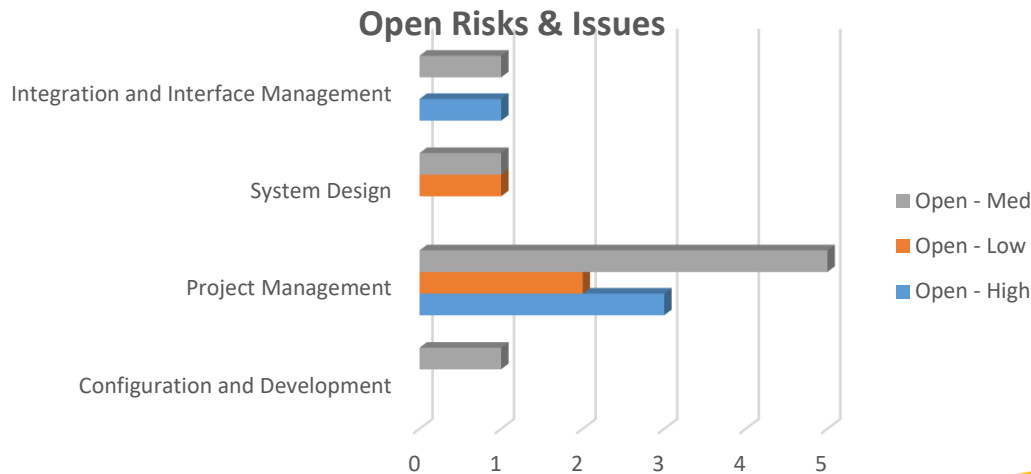
Feb	Mar	Apr	Category	IV&V Observations
			Configuration and Development	There were no material changes to this category in the reporting period.
			Integration and Interface Management	The project team continued to improve the planning, coordination, and communication with interface partners. Work continues to establish a detailed schedule along with the testing approach and plan. The timing of the integration between the BES Modules (SSP, CMM, FMM) and interface partners remains a high criticality rating.

IV&V Findings and Recommendations

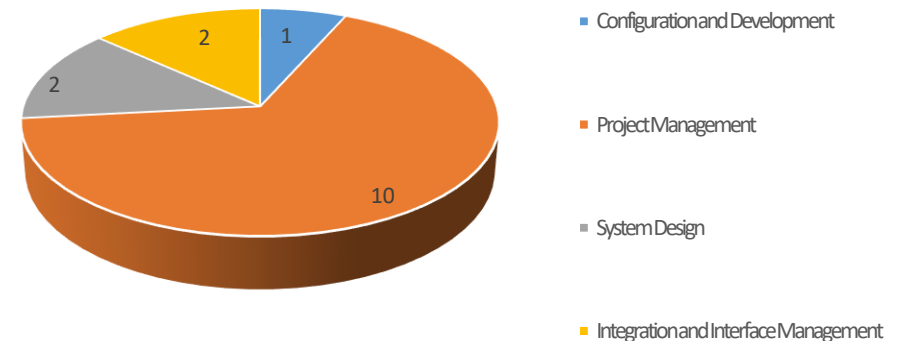
IV&V Findings and Recommendations



As of the April 2021 reporting period, PCG is tracking 15 open findings (7 risks and 8 issues) and has retired a total of 46 findings. Of the 15 open findings, 10 are related to Project Management, 2 in Integration and Interface Management, 2 in System Design and 1 in Configuration and Development.



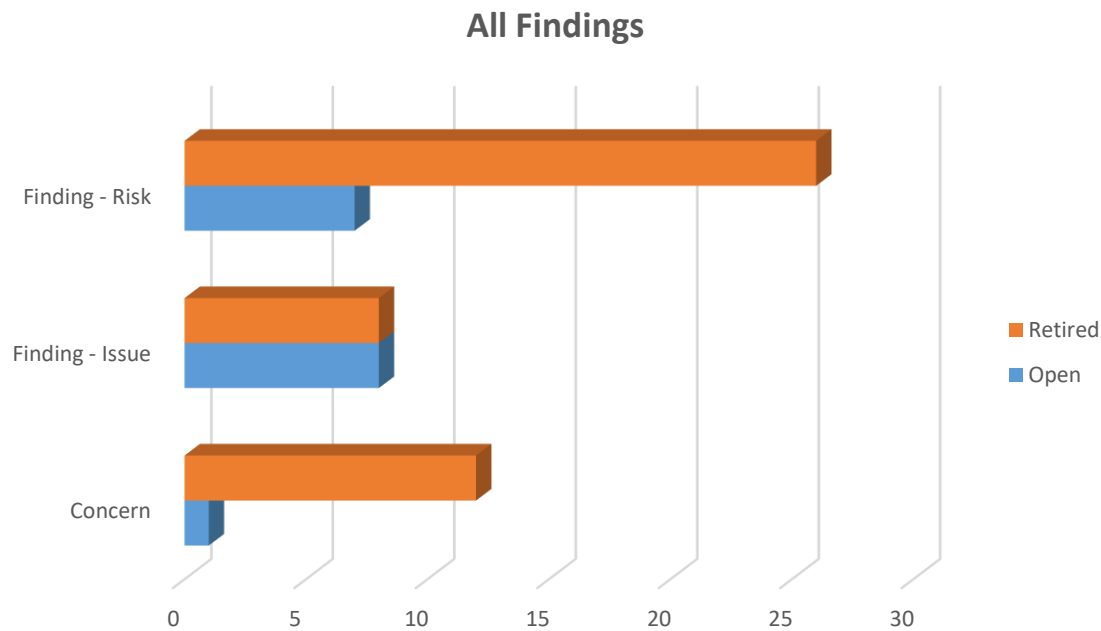
Open Risks & Issues by Category



IV&V Findings and Recommendations



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



IV&V Findings and Recommendations



Findings Retired During the Reporting Period

#	Finding	Category
59	<p>The approach used to identify release and functional dependencies may limit early identification and mitigation of schedule slippage.</p> <p>The ASI demonstrated to IV&V their manual methods for tracking the dependencies and the project critical path. The methods appear to be adequate to assure the project is able to identify and mitigate tasks that impact the critical path early.</p>	Project Management
40	<p>The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.</p> <p>The ASI implemented the IV&V recommendations and other improvements identified in the project's lessons learned activities to manage and communicate key elements of the releases.</p>	Deployment

IV&V Findings and Recommendations




Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
66	<p>An excessive number of issues/defects found in UAT may cause planned work in the future sprints to be delayed due to the prioritization of the resolution of issues/defects found in UAT.</p> <p>The ASI conducted an internal Root Cause Analysis (RCA) that identified 5 main root causes for the high number of defects found in UAT:</p> <ol style="list-style-type: none">1) Duplication of defects2) Mobile Device defects3) Static text defects due to design changes4) Defects tagged to the wrong release5) Valid defects with a shared root cause. <p>The RCA does not address why so many defects were not detected during System Testing. The goal of UAT is to address the use of the solution by the end users. Design problems or design changes based on JAD sessions should be found in Systems Test, not UAT. DHS cited the lack of ASI-experienced BAs and the practice of updating the Functional Design Documents during SIT and UAT may also be root causes. The ASI reported corrective actions are being taken and it is anticipated the Release 0.3 Lessons Learned activity may identify further corrective actions. IV&V recommends the ASI conduct a joint (DHS, ASI, IV&V) RCA with DHS focused on identifying why defects are not being found in Unit or System Testing.</p>	Testing

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
2	<p>Issue – Late Delivery of project deliverables may cause schedule delays.</p> <p>The revised Project Schedule has not been published to reflect the full scope of the project due to the KOLEA ATC impact (the CMS required KOLEA modifications are causing a delay of the integration with BES) and CMM development delays. IV&V notes the project team revised the Release 0.4 schedule in this reporting period and the Release 0.5 schedule is in process. It remains unclear why updates to the schedule continue to be delayed. A residual impact of not having a project schedule is the loss of project team momentum, which is occurring based on the reduction of project meetings and deliverable reviews.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS and the ASI agree and publish the revised schedule based on the KOLEA ATC impact and CMM development delays.	In process
<ul style="list-style-type: none">IV&V recommends the project team evaluate the estimating process to determine if changes should be made to reduce the number of late tasks and/or conduct a root cause analysis to determine and address the root cause(s) of the delays.	Complete

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
29	<p>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could impact the project budget, schedule, system design, and planning decisions.</p> <p>Communication and/or agreement over how BES will utilize the State data hub in the short term as well as going forward is not clear. Repeated ESI questions during the ESI Weekly Platform Status Meeting remain outstanding.</p>	

Recommendations	Progress
<ul style="list-style-type: none">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.	Complete
<ul style="list-style-type: none">DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.	In process
<ul style="list-style-type: none">The project should vet possible architectural change impacts to the platform, M&O, MQD, and BES systems before finalizing architectural decisions.	In process
<ul style="list-style-type: none">Communication should be improved 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.	Complete
<ul style="list-style-type: none">Establish processes to ensure regular communication between the architecture team and the rest of the project team to assess impacts of architecture decisions to the project.	Complete

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
43	<p>Issue - DHS PMO project team members have transitioned off the project, which may cause gaps in knowledge transfer and leadership on the project.</p> <p>DHS reported the 'hiring freeze' has been lifted and are working to secure the budget for these positions.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The state should develop a transition plan for the project PMO resources as identified in the RFP, (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.	Complete

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
47	<p>Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.</p> <p>The project continues to adapt to virtual project activities and sessions. Though in-person sessions are likely more productive and can increase stakeholder participation, DHS has accepted this risk and continues to improve their virtual capabilities. The ASI stated their off-shore India SSP team has been directly impacted by the increased COVID infection rates as 3-4 of their developers have contracted COVID. If these numbers grow the ASI may transfer some of the work to other teams.</p>	

Recommendations	Progress
<ul style="list-style-type: none">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).	Complete
<ul style="list-style-type: none">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
<ul style="list-style-type: none">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.	Complete
<ul style="list-style-type: none">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.	In process
<ul style="list-style-type: none">Explore options for freeing up key BESSD SME's work on the project.	Complete

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 material update this month, IV&V will continue to monitor.	

Recommendations	Progress
<ul style="list-style-type: none">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	<p>Issue – Poor quality project deliverables may impact system design, testing artifacts and the project schedule.</p> <p>Improved collaboration between ASI, DHS SMEs and Product Owners in design-related discussions is having a positive impact on the quality of deliverables. The ASI is currently developing additional quality metrics to quantify these improvements</p>	

Recommendations	Progress
<ul style="list-style-type: none">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
<ul style="list-style-type: none">IV&V recommends that the ASI review the Quality Management Plan to ensure that the project is working within the Quality guidelines. In particular, the ASI should evaluate and consider if it is in alignment with Section 3.1.2 Measure Project Quality, which states “ASI measures process and product quality by 1) selecting BES implementation process and product attributes to measure; 2) selecting component activities to measure; 3) defining value scales for each component activity; 4) recording observed activity values; and 5) combining the recorded attribute values into a single number called a process quality index.” IV&V has not seen evidence indicating the ASI is utilizing metrics to measure its process and product quality.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
54	<p>Risk – User Acceptance Testing (UAT) processes and timing of inputs required for UAT could lead to implementation delays and delivery of a solution that does not meet business needs or requirements.</p> <p>In discussions with DHS, during Release 0.3 UAT, Functional Design Documents (FDDs) were being updated during SIT, making it very difficult for the UAT test team to create accurate and complete test cases.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Further develop the Lessons Learned action plan to include target complete dates. Report progress in the weekly status meeting.	Complete
<ul style="list-style-type: none">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.	Complete
<ul style="list-style-type: none">The ASI could conduct a debrief meeting with DHS after SIT and UAT have completed, summarizing work completed and follow-up actions required from ASI and DHS.	In process
<ul style="list-style-type: none">Develop a clear and collaborative approach and plan to review and categorize all defects after testing if the current defined process is not being followed. This should include joint (ASI/DHS) severity level assignments for defects and determining the next steps for defects that require a change to the FDD or other previously approved or drafted deliverables.	Complete
<ul style="list-style-type: none">Evaluate the process and/or schedule to determine if adjustments could streamline the process for the UAT test team to plan and create UAT test cases, minimizing rework.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
58	<p>Risk – The data conversion effort lacks leadership, consistency in data governance, and effective communications which may impact the schedule.</p> <p>IV&V continues to observe improved working sessions and communications across the data conversion team. However, data conversion tasks should be added to the schedule in current and future releases - including SIT and UAT testing. IV&V remains concerned and will continue to review the schedule and metrics when provided by the ASI.</p>	

Recommendations	Progress
• Assign a dedicated project leader to actively manage all aspects of the Data Conversion effort. Consider a full-time position until the Data Conversion effort is completed.	Complete
• Investigate and resolve communication issues that are suspected to be delaying the data conversion effort.	Complete
• Prioritize the conversion activities to validate the key tasks are addressed early to avoid further delays considering the complexity of the later releases.	In process
• Update the timing of the project Data Conversion meeting from every-other-week to weekly.	Complete
• The ASI should develop reports with metrics that accurately measure the Data Conversion progress.	In process
• Add detailed Conversion tasks to the Project Schedule.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
62	<p>Issue – Inability to measure development team velocity may impact the projects' ability to forecast the delivery date of the remaining features.</p> <p>No major update. The CMM/FMM team is still unable to measure sprint velocity. As mentioned previously, the team is using JIRA as their task tracking tool but have not implemented the use of metrics which would enable them to track velocity.</p>	A red circle with a white 'H' inside, indicating a high criticality rating.

Recommendations	Progress
<ul style="list-style-type: none">The ASI work with the subcontractor Scrum Masters to calculate the average velocity from past iterations to be used as a historical reference.	In process
<ul style="list-style-type: none">Moving forward, the development teams should provide the ASI with Sprint and Product Burndown charts at the end of every iteration.	In process
<ul style="list-style-type: none">To calculate velocity, user stories need assigned values (IV&V recommends relative story points). If the developers are not currently assigning values to user stories, IV&V recommends this become common practice.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
65	<p>Risk - DHS BESSD knowledgeable staff are needed on the project to ensure the BES solution is designed to meet the business needs and requirements.</p> <p>The DHS Product Owners are adjusting to their new roles to include decision making and designing BES to take advantage of the new technologies. DHS has identified a replacement BES PM; onboarding is planned for May 2021.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS continue to identify BESSD SME's to support the project as the project progresses.	In process
<ul style="list-style-type: none">DHS develop a project team list that identifies the participants along with their roles and areas of expertise to be used as short-term needs are identified.	Complete
<ul style="list-style-type: none">DHS utilize the BI-4 Project Schedule report developed by the ASI to identify those tasks owned by DHS in the short team in addition to the 4-month look-ahead to identify time frames and activities where there is a high-demand on DHS resources.	Complete
<ul style="list-style-type: none">Identify and on-board a replacement BES Project Manager.	In process
<ul style="list-style-type: none">Continue coaching the new BES Product Owners to ensure the new system takes advantage of new technologies and aligns to the planned business processes.	In process

IV&V Findings and Recommendations



Integration and Interface Management

#	Key Findings	Criticality Rating
60	<p>Risk – System Integration of the BES Modules (CMM, FMM, SSP) will be developed in the later releases vs. a continuous integration model within each release which may cause schedule delays.</p> <p>Agile Best Practice is to deliver business value through the early development of technical solutions with end-to-end business processes. The ASI is building modules of the application separately and integrating them in later releases to satisfy the end-to-end business processes. This risk will remain until there is demonstration of end-to-end functionality across modules.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Prioritize the build of integration points within each module and the creation of scripts (API calls) required for integration.	In process
<ul style="list-style-type: none">Each release demo should be a collaborative effort across all modules (end-to-end solution) and verified against system-level requirements.	Not started
<ul style="list-style-type: none">If the ASI needs all the remaining releases to demonstrate an end-to-end solution of the identified business processes across all modules, IV&V recommends planning and communicating the mitigation strategy for handling risks associated with a 'big bang' release.	Not started

IV&V Findings and Recommendations



Integration and Interface Management

#	Key Findings	Criticality Rating
63	<p>Risk – The lack of early planning and coordination with interface partners may result in schedule delays.</p> <p>The ASI has updated the Communication Plans and project schedule regarding interfaces. At the Project Status Meeting on 04/28/2021, the ASI verbally reported that the Release 0.5 interfaces will be fully tested to include application testing with converted data. However, the project schedule does not address meetings with interface partners or interface testing. In addition, IV&V has not seen the Test Plan for interface testing.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Establish a communication plan for each interface partner for the duration of the BES DDI activities.	Completed
<ul style="list-style-type: none">Define a detailed schedule for each interface to include milestone dates, coordination, and execution and share with the interface partners.	In process
<ul style="list-style-type: none">Determine which deliverable will include the details associated with the planned connectivity and detailed technical designs of all interfaces.	In process

IV&V Findings and Recommendations



Configuration and Development


#	Key Findings	Criticality Rating
16	<p>Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of all SDLC Processes.</p> <p>The ASI and IV&V agree that continuing to educate the DHS product owners in Agile and other software development processes can increase the quality of design sessions and productivity of their role.</p>	A yellow circle with a black border containing the letter 'M'.

Recommendations	Progress
<ul style="list-style-type: none">ASI provide an additional DDI approach overview session for stakeholders who still may be unclear on elements of the methodology, especially new product owners.	In process
<ul style="list-style-type: none">ASI make available their DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand.	In process

IV&V Findings and Recommendations



System Design

#	Key Findings	Criticality Rating
38	<p>Issue – 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.</p> <p>The ASI has stated they will continue to ensure sufficient workflow analysis in their system design efforts. However, it remains unclear whether important opportunities for optimal workflow designs have been missed which could, in the end, lead to system workflow functionality that is suboptimal or inefficient.</p>	

Recommendations	Progress
<ul style="list-style-type: none">ASI to quickly define how the workflow/task functionality will flow and provide training to the facilitators.	In process
<ul style="list-style-type: none">ASI augment the project team with seasoned business analysts, with significant workflow expertise, to review workflow/task functionality and integrate into systems designs with input from DHS.	In process

IV&V Findings and Recommendations



System Design

#	Key Findings	Criticality Rating
61	<p>Issue – Poorly executed JAD and "design sessions" could lead to inaccurate design and rework.</p> <p>This finding title was revised to include design sessions. DHS has noted that some JAD results documents to include documented design decisions have been lost from prior JAD sessions. To move forward, DHS has requested the ASI to facilitate design sessions to ensure the BES is designed to meet the business requirements and take advantage of new technologies.</p>	

Recommendations	Progress
<ul style="list-style-type: none">- JAD and design sessions should be lead by experienced senior BAs, with goals, objectives and results communicated to all participants.	In process
<ul style="list-style-type: none">The facilitator should use their expertise to drive discussions through leading questions.	In process
<ul style="list-style-type: none">The DHS and ASI product owners should actively participate to ensure the system meets the requirements, designed taking advantage of new technology and aligns to the 'to be' business process.	In process



IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Jan	Feb	Mar	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				March IV&V Monthly Status Report, BES Release 0.2 Code Review Report Final 4/15/2021, Release 0.3 UAT Test Case Review Draft 4/28/2021
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				Darren MacDonald's last day on the IV&V team was April 21, 2021.
IV&V Scope				

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



- IV&V activities in the April reporting period:
 - Completed – March Monthly Status Report
 - Ongoing – Review the BES Project Artifacts and Deliverables
 - Ongoing – Attend BES project meetings, (see [Additional Inputs](#) pages for details)
 - Reviewed available ASI Original Contract and BES Optimization contract amendment documentation
- Planned IV&V activities for the May reporting period:
 - Ongoing – Observe BES Design and Development sessions as scheduled
 - Ongoing – Observe Weekly Project Status meetings
 - Ongoing – Observe Weekly Architecture meetings
 - Ongoing – Observe Weekly/Monthly Security meetings
 - Ongoing – Observe Agile Development meetings
 - Ongoing – Monthly IV&V findings meetings with the ASI
 - Ongoing – Monthly IV&V Draft Report Review with DHS, ETS and 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-20 Release 0.4 Test Cases, Test Scenarios, and Scripts Title	4/30/2021	1.0
Release 0.4 Test Plan	4/23/2021	1.0
CO01 Search for Client Functional Design	4/23/2021	1.0
BI-22b Release 0.3 UAT Evaluation Report	4/23/2021	Draft
R0.5 BI-10 Walk-Through – ICD - Shared INF - MDM Master Person Index	4/15/2021	Draft
BI-10 Release 0.4 SSP - Case Management	4/22/2021	1.0
BI-10 Release 0.4 Common Function Module - Schedule & Appts, Case Notes, and Standardized Address (Iteration 1)	4/16/2021	1.0
BI-20 Release 0.4 Test Scenarios, Cases, and Scripts	4/15/2021	Draft
R0.5 Walk-Through – Review ICD: BESSD INF - FIS, DAGS, FNS Offset	4/9/2021	Draft
Release 0.4 Test Plan	4/8/2021	Draft
BI-10 R0.4 CMM – Application Registration	4/7/2021	1.0
BI-15 Release 0.3 Fully Configured and Developed System	4/7/2021	1.2
BI-11 R0.4 BESSD Interfaces and BI-11 R0.4 Shared Interfaces	4/7/2021	1.2
BI-10 R0.4 SSP - Report A Change	4/1/2021	Draft

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 Handbook 901	01/2020	V2.4
BES Risks and Issues Log	04/07/2021 04/14/2021 04/21/2021 04/28/2021	BES Risks and Issues Log
BES Weekly Schedule (BI-5)	04/06/2021 04/20/2021 04/27/2021	N/A
BES Weekly Status Report	04/07/2021 04/14/2021 04/21/2021 04/28/2021	N/A
Java Code Standards	09/11/2020	1.6
Release 0.3 UAT Test Cases	NA	NA
Release 0.3 SIT Test Cases	NA	NA
Java Code Standards	09/11/2020	1.6



Meetings and/or Sessions Attended/Observed:

1. PCG Internal BES Project Meetings x8 (04/01/2021, 04/05/2021, 04/08/2021, 04/12/2021, 04/15/2021, 04/19/2021, 04/19/2021, 04/26/2021)
2. BESSD PM Team IV&V Weekly Meeting x2 (04/07/2021, 04/28/2021)
3. BES Status Meetings x4 (04/07/2021, 04/14/2021, 04/21/2021, 04/28/2021)
4. BES UAT Huddle x3 (04/01/2021, 04/06/2021, 04/08/2021)
5. Weekly UAT Summary Meeting x2 (04/01/2021, 04/08/2021)
6. BES Development Standup Meetings x3 (04/07/2021, 04/14/2021, 04/21/2021)
7. Draft IV&V Report Review Meeting (04/01/2021,)
8. BES Implementation Planning Meeting (04/06/2021)
9. AHA Dependencies Walkthrough (04/07/2021)
10. Confluence review with ASI (04/06/2021)
11. R0.4 Release Test Plan Walkthrough (04/08/2021)
12. BES CCB Meeting (04/07/2021)
13. BES Data Conversion Meetings x5 (04/05/2021, 04/12/2021, 04/19/2021, 04/23/2021, 04/26/2021)
14. R0.4 BI-10 Comment Walkthrough (04/12/2021)
15. FMM Backlog Grooming (04/13/2021)
16. March Draft Report Meeting (04/13/2021)
17. R0.4 BI-10 SSP RAC Walkthrough Meetings x4 (04/13/2021, 04/15/2021, 04/20/2021, 04/28/2021)
18. R0.4 Screen Prototype Meeting (04/14/2021)
19. R0.4 BI-20 Walkthrough (04/15/2021)
20. Bi-weekly Sprint Demo x 2 (04/13/2021,04/26/2021)
21. Weekly Platform Status Meeting x 2 (04/06/2021, 04/27/2021)
22. Weekly DHS DDI Architecture Review Meeting x4 (04/07/2021, 04/14/2021, 04/21/2021, 04/28/2021)
23. Weekly BES Dev Stand Up Meeting x4 (04/07/2021, 04/14/2021, 04/21/2021, 04/28/2021)
24. DHS EOC x2 (04/08/2021, 04/22/2021)
25. Weekly Backlog Grooming Session Meeting x3 (04/07/2021, 04/21/2021, 04/29/2021)
26. BES R0.4 Sprint Demo – CMM (04/08/2021)

Additional Inputs - Continued



Meetings and/or Sessions Attended/Observed:




27. HI BES UAT/SIT Test Case Review x3 (04/13/2021, 04/14/2021, 04/20/2021)
28. BES R0.5 Sprint Demo – CMM (04/15/2021)
29. HI BES ASI/IV&V Mid-Month Touch Base (04/20/2021)
30. HI BES ASI and IV&V Touch Base - Functional Team (04/20/2021)
31. UAT Test Case Review (04/28/2021)
32. BES R0.5 Sprint Demo – CMM C005g and C005v (04/30/2021)
33. R0.4 Screen Prototype – CMM C005g, C005x, C005y (04/02/2021)
34. BI-21 DCF Comments review (04/05/2021)
35. BES Project Schedule Review x3 (04/06/2021, 04/20/2021, 04/27/2021)
36. R0.4 Walk-through – Release Test Plan (04/08/2021)
37. R0.5 ICD Walk-through – FMM Interfaces FIS, Tax Offsets, Lockbox (04/09/2021)
38. BI-11 R0.4 Deliverable Review – Resolve Outstanding Comments (04/12/2021)
39. R0.4 Screen Prototype – CMM C0053, C005k (04/14/2021)
40. R0.4 BI-20 Walk-through – Test Scenarios, Cases, and Scripts (04/15/2021)
41. R0.5 Sprint Demo – CMM C005b, Manage Authorized Representatives (04/15/2021)
42. Requirements Validation – FMM Interface Consumption (04/16/2021)
43. DHS ESC (04/15/2021)
44. R0.5 Screen Mock-Up – CMM c005sf and C005t (04/22/2021)
45. Release Checkpoint Meeting (04/29/2021)
46. R0.5 Sprint Demo – CMM C005g, C005gv (04/30/2021)
47. BES Implementation Planning Meeting x2 (04/06/2021, 04/20/2021)
48. FTI Comments Review (04/02/2021)
49. Lunch & Learn (04/30/2021)
50. Daily UAT Huddle meeting x4 (04/5/2021, 04/6/2021, 04/7/2021, 04/8/2021)
51. UAT Discussion with DHS (04/22/2021)

The background is a solid blue color. It is decorated with several abstract geometric elements: some are solid squares of varying shades of blue, while others are squares defined by thin white outlines. These shapes are scattered across the page, with a higher concentration on the left side and a few on the right. The word "Appendices" is written in a white, serif font in the lower-left area.

Appendices



Appendix A – IV&V Criticality Ratings

Criticality Rating	Definition
	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.
	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.
	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 | • Security and Privacy |
| • Requirements Analysis & Management | • Testing |
| • System Design | • OCM and Knowledge Transfer |
| • Configuration and Development | • Pilot Test Deployment |
| • Integration and Interface Management | • Deployment |



Solutions that Matter

[illegible]

H DHS Monthly VV Status Report Final - April 2021												
19	Uncertainty and/or a lack of communication around long term architecture decisions could impact the project budget, schedule, system design, and planning decisions.	inform	Findings - Issue	5/28/2019	Project Management	<p>Some platform and BES system architecture decisions have yet to be made and escalated to the project. For example, the ASO and DHS have stated that they have reached agreement that the project will move forward with implementing two S&B instances (one for K&A&A, 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 all of all components (including K&A&A and BES products) will be moved to the cloud.</p> <p>The current project architecture and design should be as representative and inclusive of all known future solution plans as possible. As an example, if K&A&A and BES are to move to a single instance of S&B in the future, planning for that integration should be incorporated into the project now. Future significant future changes are not planned for now, the project is likely to see increased complexity, network, and costs when integrating the two systems in the future.</p> <p>The project team to assess impacts of architecture decisions to the project.</p>	ASAP	2	2	Low	Open	<p>4/27/21 - Communication and/or agreement over how BES will utilize the State data hub in the short term as well as going forward is not clear. Repeat of this discussion during the 31 weekly Platform Status Meeting remain outstanding. 3/1/2021 - The project has made progress in clarifying their portal strategy. The 31 portal will include a combined BES/MSD application for users from either division. The MSD K&A&A portal will include only the MSD application, and transfer users to the BES portal if they also need to apply for MSD services. 2/24/2021 - The project continues to clarify the DHS portal strategy. The project appears poised to select a container security tool. Weekly ASO/DHS/ESA architecture and other architecture and security-related meetings have served to communicate architecture decisions. Therefore, IVV reduced the criticality rating of this finding from medium to low. IVV remains concerned with the complexity and number of tools that are being utilized and if the governance structure is effective to manage the architecture. 1/27/2021 - As the project continues to introduce new technology/tools to the solution environment, it remains unclear if sufficient governance over the technology has been established and communicated to DHS. In addition, it is difficult to determine whether the development team can quickly use the technology/tools to improve overall productivity. 12/16/2020 - No material updates for this reporting period. 11/16/2020 - The weekly architecture meetings continue to improve attendees' understanding of infrastructure changes introduced, or planned to be introduced, in BES. Given the number of new technology/tools/platforms that are being introduced, the impact on the development team and their ability to quickly adapt the tools to improve overall productivity is unclear. 10/28/2020 - The Project Architecture meetings continue to be productive. The ASO has stated that the project team is being updated regularly on architecture topics and features that impact the project. 09/28/2020 - IVV has been invited to attend the weekly Project Architecture meetings, led by the ASO Solutions Architect. The stated purpose of this meeting is to provide technical stakeholders with a forum to give insights into and discuss project related technical architecture decisions and activities. The discussions appear to be productive and the topics are relevant to the project. Additionally, the BS-15 documents are being drafted and reviewed by the project team. Therefore, IVV is lowering finding to Medium. 06/17/2020 - As a result, DHS is escalating known live data solution from Kevin G. Corns and 4/26/2021 - The ASO and IVV agree that continuing to educate the DHS product owners in April and 1/17/20, Note: During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, IVV offered to present the orientation during each ASO 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 to brief new participants.</p> <p>06/17/2020 - The ASO requests that the IVV interview key project stakeholders regarding this risk and collect recommendations and understanding of this risk. We confirmed that there is good shared understanding of the SOC2 among project stakeholders. Recommendation #3 should be updated to Closed. The ASO will make more significant updates against the Recommendations #1 & #2 in the next reporting period. We think that the IVV should update Recommendation #2 to reference Conference rather than SharePoint since it is now the project's knowledge repository. Additionally, if there are new concerns that are related, we recommend that they be tagged as distinct items rather than merging this risk to address other related topics. 2/26/21- The ASO made considerable progress on this risk in January and February 2021. The CMM/PM team has revised a similar collaboration approach with product owners for the integration of the S&B development team work. Additionally the CMM/PM team has integrated their work to the BES IRMA instance. Regarding the recommendations, #1 the ASO will look to complete this recommendation in March or late March. #2 the ASO has published design process information on the project teams Confluence site which is available for review by project stakeholders. #3 This recommendation is March is now done. #3 the ASO has published design process information on the project teams Confluence site which is available for review by project stakeholders. We recommend that this be updated to Closed.</p> <p>10/10/19 SB: The ASO is working on the K&A&A specific content of BS-15 and this has been relayed to DHS.</p>
16	Lack of clear understanding of the CDO approach may reduce effectiveness of all SOC Processes.	inform	Findings - Issue	12/17/2018	Configuration and Development	<p>Several DHS stakeholders have commented that the SI Design, Development, and Implementation (SDI) 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 CDO approach overview session during an initial JAM session, however not all stakeholders were present. IVV did not locate any CDO approach documentation or materials that could be referenced by stakeholders who may have missed the overview session. By new members of the team, or by other interested parties.</p> <p>Lack of stakeholder understanding and buy-in to the SI CDO approach and project activity objectives may reduce the effectiveness of ASO and JAD sessions as well as other BES project activities and decisions.</p> <p>PCI recommends one or more of the following to mitigate this risk, + ASO provide an additional CDO approach overview session for stakeholders who did not have access to elements of the methodology, especially new product owners. + ASO make available their CDO approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand.</p>	1/31/19	3	3	Med	Open	<p>4/26/2021 - The ASO and IVV agree that continuing to educate the DHS product owners in April and 1/17/20, Note: During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, IVV offered to present the orientation during each ASO 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 to brief new participants.</p> <p>06/17/2020 - The ASO requests that the IVV interview key project stakeholders regarding this risk and collect recommendations and understanding of this risk. We confirmed that there is good shared understanding of the SOC2 among project stakeholders. Recommendation #3 should be updated to Closed. The ASO will make more significant updates against the Recommendations #1 & #2 in the next reporting period. We think that the IVV should update Recommendation #2 to reference Conference rather than SharePoint since it is now the project's knowledge repository. Additionally, if there are new concerns that are related, we recommend that they be tagged as distinct items rather than merging this risk to address other related topics. 2/26/21- The ASO made considerable progress on this risk in January and February 2021. The CMM/PM team has revised a similar collaboration approach with product owners for the integration of the S&B development team work. Additionally the CMM/PM team has integrated their work to the BES IRMA instance. Regarding the recommendations, #1 the ASO will look to complete this recommendation in March or late March. #2 the ASO has published design process information on the project teams Confluence site which is available for review by project stakeholders. #3 This recommendation is March is now done. #3 the ASO has published design process information on the project teams Confluence site which is available for review by project stakeholders. We recommend that this be updated to Closed.</p> <p>10/10/19 SB: DHS has agreed to the updated B1 SB template which will be reviewed as part of iteration 1 artifacts. In addition, the ASO has produced a final log picture and walked DHS and the PMO through it. The whiteboard log picture is being prepared for team consumption.</p> <p>09/17/19 SB: The B1 SB Plan Deliverable has been accepted by DHS. The ASO is currently addressing comments on the iterations of B1 SB Functional Design deliverable provided for review to DHS to more clearly align with sections of the approved SOC2.</p>
2	Late delivery of project deliverables may cause schedule delays.	Inform	Findings - Issue	11/26/2018	Project Management	<p>Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Expedient Documents (DED) requiring approval and acceptance from the State.</p> <p>Without a PMP that depicts all Project Management processes, the Project can suffer unplanned interruptions 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.</p>	T&B	4	5	High	Open	<p>4/26/2021 - DHS and the ASO agree and publish the revised schedule based on the K&A&A ATC and CMM development delays. 9/16/2020 Recommendation - IVV recommends the project team evaluate the existing project to determine if changes should be made to reduce the number of late tasks and/or conduct a root cause analysis to determine and address the root causes. 8/12/2020 Recommendations - Prior to acceptance of the new baseline, finalise the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASO, and IVV to initiate the Release 0.3 baseline. Establish the process for DHS and the ASO 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 (B-04). Complete - 5/13/2020 - Finalize the updates to the project schedule to address the outstanding items/issues identified by DHS and IVV/BS 5/13/2020 - Establish the process for DHS and the ASO to mutually agree to the revised project schedule baseline. 5/13/2020 - Add all tasks that have been proposed to planned to be performed in the interim schedule. Closed 5/16/2020 - effective 5/15/2020 the ASO is no longer maintaining the interim schedule. IVV recommends that the complete the Project Management Plan deliverable, work with DHS and IVV for review and edit to be needed, and attain approval of the PMP. This will help ensure that all persons 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 deliver (needed, needed mitigation actions along with identification and agreement with DHS to DHS to resolve the late activities and tasks. Updated Recommendation 10/20/2020 - 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 obstacles resolution. Determine if the stopped work on T&B will impact the schedule, and update accordingly. Determine if work on T&B will impact the schedule, and update accordingly - Analyze the project schedule activities to identify the responsible for each task and ensure that the correct deliverables are provided. Review a</p> <p>4/26/21- The ASO acknowledges that in this period and previous periods that some deliverables have been late. However, they had little to no impact on the project critical path until this month. The delay in the interview design session has impacted the overall project schedule. Additionally, the ATC upgrade on the K&A&A project will have a significant impact to the project schedule (not due to late deliverables). We recommend that the IVV broaden the primary description of this risk. We agree that there are significant risks to the project schedule; however, late deliverables are a minor contributor compared to other risks that aren't properly documented in the IVV report. 2/26/21- The ASO agrees that this risk if it occurred would have a high impact to the project; however, the ASO notes that the probability of this impact over January and February were shown to be low. While there were some deliverables that were late by the BS by a couple of days. Technical Design by a couple of weeks, they were completed in time to avoid any impact to the critical path for BES. The Training plan design remains behind schedule but we are on track for the revised due date. Regarding the recommendations, #1 the ASO will update the schedule to address outstanding items with which we agree before finalizing the project schedule, this has been delayed due to new information in the schedule related to the software upgrade work on the K&A&A project to support the ATC. #2 the ASO meets weekly with all team leads to review the execution process, we update the project schedule as needed with a team on on both Release Phase Gate impacts and the overall project critical path. 4/24/2020 - Paul Oliver and Rob Plummer - status update is accurate - no concerns expressed by the ASO. Rob indicated that if a workflow activities are cancelled they will be updated. 3/17/2020 - Paul Oliver - The interim schedule was not intended to capture every task/activity, it was meant to capture the most (higher level) tasks to manage the project short term. The ASO team is focused on the long term schedule aligned to the BES Optimization. The interim schedule is being used and revised weekly in the IVV team meeting. The interim schedule will be used for approximately 1 month, targeting the end of April for the BES Optimization Schedule.</p>