

# Hawaii Department of Human Services Systems Modernization Project Independent Verification & Validation (IV&V) Monthly Status Final Report Reporting Month: October 2018



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# Executive Summary



# Executive Summary

## IV&V Project Summary

This monthly report provides IV&V findings and recommendations on the BES Project, which kicked off in August 2018. It also provides PCG's high-level activities and observations related to the ESI and ASI transition assessments. More detailed information on those assessments is provided in two deliverables that are separate from this report.

The most notable activities that occurred during this reporting period include the transfer of Maintenance & Operations (M&O) activities from KPMG to Unisys (the new ASI), finalization of the IV&V ESI Transition Assessment Report, and early completion of Joint Application Requirements (JAR) sessions on the BES project. Several BES Deliverable Expectation Documents (DEDs) were provided to PCG for review and comment; including those which had not been presented to IV&V prior to DHS approval.

The IV&V activities and high-level observations are provided below, with the IV&V Findings and Recommendations that follow.

Category	IV&V Observations
IV&V Activities	See slide 13 for a description of the activities that the IV&V team performed during the current reporting period.
Transition Assessment – ESI M&O (KPMG to BIAS)	Following the release of the Draft ESI Assessment report in August 2018, the IV&V team received comments and additional information primarily related to the IV&V finding and mitigation underway for security vulnerabilities. IV&V evaluated the new information and interviewed BIAS, KPMG, and the DHS Information Security team. IV&V finalized the ESI Transition Assessment report accordingly.
Transition Assessment – M&O to ASI (KPMG to Unisys)	<p>Support of the KOLEA application was transitioned from KPMG to Unisys over the weekend of October 12<sup>th</sup> through October 14<sup>th</sup>, 2018. The transition was successful with minor outstanding action items to be completed. As would be expected during the period immediately following such a transition, Unisys' focus is on tactical delivery of its M&amp;O obligations.</p> <p>Planned Knowledge Transfer (KT) sessions completed October 12<sup>th</sup>, with an additional 'Overflow' KT session held October 15<sup>th</sup> that focused on items generated from the prior KT sessions. KPMG refreshed application and KT documentation to bring it reasonably current in preparation for the hand-off of application support to Unisys.</p>

# Executive Summary

## IV&V Project Summary



Category	IV&V Observations
Benefits Eligibility Solution (BES)	BES JAR sessions were scheduled for the month of October and completed early, although some docked (i.e., parking lot or follow-up) items remain open. Roughly 2/3 of these items are related to existing business policies that may or may not be appropriate for encapsulation in the solution, other significant docked items relate to new policies and procedures that would be required to support the determination and processing of Preliminary Eligibility (PE).
CCWIS Solution (CCWIS)	The CCWIS project has not yet started. The RFP has been sent to ETS and for Federal approvals as of October 22 <sup>nd</sup> . The RFP is anticipated to be ready for release in January 2019.

# IV&V Findings and Recommendations

# IV&V Findings and Recommendations

## Transition Assessment – ESI M&O (KPMG to BIAS)



### IV&V Update

PCG delivered the draft version of the IV&V Transition Assessment – ESI M&O Report the end of September 2018. During the current reporting period, the ESI worked to address the assessment findings.

One of the findings in the report identified the high number of security vulnerabilities in the enterprise platform environment. Upon releasing the draft report, PCG was informed that DHS Information Security, Med-QUEST Division (MQD), the PMO, and BIAS are creating a prioritized roadmap to address the vulnerabilities and implement a Vulnerability Management System. PCG staff met with members of the DHS Information Security team to clarify our understanding of the remediation activities underway and included this information in the final report. While we recognize that actions have been taken to apply security updates and patches, our original finding remains as a high priority risk and warrants continued remediation and attention by DHS.

The IV&V Team released the Final IV&V Transition Assessment – ESI M&O Report on November 2, 2018.



# IV&V Findings and Recommendations

## Transition Assessment – M&O to ASI (KPMG to Unisys)

### IV&V Observations

Hand-off of KOLEA M&O responsibility from the outgoing vendor (KPMG) to the incoming ASI (Unisys) completed October 14<sup>th</sup>, 2018 within the shortened three-month time period, and Unisys is now running KOLEA M&O with KPMG providing stand-by support. The transition was successful with minor outstanding action items to be completed. To mitigate any potential risks due to the compressed transition period, DHS intends to contract with KPMG for support services on a retainer basis through January 2019.

Planned Knowledge Transfer (KT) sessions completed October 12<sup>th</sup>, with an additional 'Overflow' KT session held October 15<sup>th</sup> to discuss follow-up items generated from the prior KT sessions. Process shadowing sessions were conducted as planned. KPMG refreshed the KOLEA application and KT documentation to bring it reasonably current in preparation for the hand-off of application support to Unisys.

As would be expected during the period immediately following such a transition, Unisys' focus is on tactical delivery of its M&O obligations. While appropriate and necessary at this juncture, Unisys must also turn its direction to broader strategical processes such as governance and management processes in the near future. Based on discussion with Unisys, PCG understands that these strategic processes are addressed in the M&O Plan currently under development, which PCG will review in the upcoming reporting period.

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# IV&V Findings and Recommendations

## Transition Assessment – M&O to ASI (KPMG to Unisys)

### IV&V Observations

PCG has noted early concerns related to the Release Management processes; further discovery and analysis of this topic will occur in November 2018 to determine whether a risk exists. Based on discussion with Unisys, PCG understands that release management processes are addressed in the M&O plan currently under development, which PCG will review in the upcoming reporting period.




Unisys' approach to problem resolution is to rely upon information from the KT sessions and KOLEA application documents. This is a worthy approach designed to avoid reliance on KPMG and to build knowledge and experience within their own team. However, this approach may have resulted in an instance with longer resolution time than DHS would have expected considering the external users (Navigators) who were affected. PCG notes that there is no evidence that the ASI is not meeting its contractual service level agreements (SLAs) at this time.

When the longer than expected resolution times impact users with high value to the business (regardless of defined SLAs), this can be detrimental to perceptions of Unisys performance. Unisys must distinguish when DHS business priorities will be better served in the short term by requesting KPMG support. For example, a problem involving a small number of users may mistakenly not be viewed as critical without the complementary understanding of the business importance of those users to DHS. PCG recommends that DHS discuss its business priorities with Unisys to assure that there is common understanding as to the importance and severity of a problem from DHS' perspective, and thus when it may be best to seek assistance from KPMG.





# IV&V Findings and Recommendations

## Benefits Eligibility Solution (BES)



Aug	Sep	Oct	IV&V Observations
			<p>BES JAR sessions were held in October, and completed ahead of schedule, although some docked (i.e., parking lot or follow-up) items remain open. Roughly 2/3 of these items are related to policy decisions that may or may not be appropriate for encapsulation in the solution. Other significant docked items relate to new policies and procedures that would be required to support the determination and processing of Preliminary Eligibility (PE). Both of these broad categories of docked items require action by the business teams (BESSD and other business stakeholders) and may result in changes in scope. PCG has entered two preliminary concerns in the IV&amp;V Findings Log for continued observation.</p> <p>Access to the requirements management tool, ALM, had not yet been completed at the end of October. PCG understands that this task should be complete in November 2018.</p>

### Risk Assessment Priority Rating Legend

	Not Applicable		Low – The current risk to overall project quality is low		Medium – This category presents a risk to overall project quality		High – This category presents a substantial risk to overall project quality and requires immediate attention
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# IV&V Status



# IV&V Engagement Status

IV&V Engagement Area	Aug	Sep	Oct	Comments
IV&V Budget				
IV&V Schedule				The IV&V schedule is slightly compressed due to the shortened time frame for the ASI Transition Assessment and the overlap with the BES project. The ASI M&O Transition Assessment will be required sooner than anticipated due to the shortened ASI transition time frame. IV&V has mitigated this risk by adding additional IV&V analysts during the overlap period.
IV&V Deliverables				The new cadence for monthly status reports and CIO debriefings is being refined.
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				BES DDI actively began in October 2018. The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is expected at the end of December 2018.
CMS Milestone Reviews				The first CMS Milestone Review date has not yet been determined.
IV&V Staffing				
IV&V Scope				

Engagement Rating Legend							
	Not Applicable		Green – The engagement area is within acceptable parameters		Yellow – The engagement area is somewhat outside acceptable parameters.		Red – This engagement area poses a significant risk to the IV&V project quality and requires immediate attention



# IV&V Activities

- IV&V activities completed in monthly reporting period:
  - Final Transition Report - ESI M&O
  - ASI Transition observations and reviews
  - Work in Progress – ASI M&O Assessment Report
  - Observe BES JAR sessions
  - Review DEDs for BES project
- IV&V work in progress in monthly reporting period:
  - Attend ESI project meetings (see [Additional Inputs](#) pages for details)
  - Observe ASI transition activities (see [Additional Inputs](#) pages for details)
- Planned IV&V activities for next reporting period:
  - Draft Transition Report – ASI M&O
  - Attend BES Design sessions
  - Review BES artifacts and deliverables



# Deliverables Reviewed

Deliverable Name	Deliverable Date	Version
BI-01 - Project Kickoff Presentation DED	08/15/2018	V1.1
BI-02 - Project Status Report DED	07/30/2018	V1.0
BI-03 - Project Orientation Materials DED	08/16/2018	V0.1.2
BI-03(a) - Project Information Library DED	08/6/2018	V1.0
BI-04 - Project Management Plan DED	08/6/2018	V1.0
BI-05 - Project Schedule DED	08/01/2018	V1.0
BI-06 - System DDI Plan DED	08/15/2018	V1.1
BI-08 - Technology Environments Specification DED	07/27/2018	V0.5
BI-09 - Updated and Validated BPA Document and RTM DED	08/21/2018	V1.0
BI-10 - Functional and System Design Document DED	08/10/2018	V1.0
BI-11 - Data Integration and Interface Design Document DED	08/03/2018	V1.1
BI-12 - System Architecture DED	07/27/2018	V0.8



# Deliverables Reviewed

Deliverable Name	Deliverable Date	Version
BI-13 - Security Plan DED	08/08/2018	V1.0
BI-14 - Technology Design Documents DED	07/27/2018	V0.8
BI-15 - Fully Configured and Developed System DED	07/31/2018	V0.1
BI-16 - Data Conversion Plan DED	08/07/2018	V1.0
BI-17 - Validated Results of Data Conversion Testing DED	08/24/2018	V1.0
BI-18 - Testing Strategy DED	08/10/2018	V2.0
BI-19 - Test Plan DED	08/15/2018	V2.0
BI-20 - Test Scenarios, Test Cases, and Test Scripts DED	08/10/2018	V2.
BI-21 - Updated and Completed Detailed Functional and Technical RTM DED	08/21/2018	V1.0
BI-22 - System Test Report DED	08/15/2018	V2.0
BI-22(a) - System Integrity Review Tool (SIRT) DED	08/13/2018	V1.0
BI-22(b) - UAT Evaluation Report DED	08/13/2018	V1.0



# Deliverables Reviewed

Deliverable Name	Deliverable Date	Version
BI-23 - Stakeholder Analysis Report DED	09/30/2018	V2.0
BI-24 - OCM and Stakeholder Communications Plan DED	08/01/2018	V1.0
BI-25 - Training and Knowledge Transfer Plan DED	08/01/2018	V1.0
BI-26 - Training Course Catalog DED	08/01/2018	V1.0
BI-27 - Training Manuals, End-User Guides, and Materials DED	08/01/2018	V1.0
BI-28 - Documented Evidence of Successful End-User Training	08/01/2018	V1.0
BI-29 - Roll Out Plan DED	07/24/2018	V1.0
BI-30 - Pilot Evaluation Report DED	08/01/2018	V1.0
BI-31 - Deployment Plan DED	07/24/2018	V1.0
BI-32 - Formal System Acceptance DED	07/31/2018	V1.0
BI-33 - Completion of All Warranty Activities Report DED	07/29/2018	V1.0
BI-34 - OCM Monthly Report DED	09/30/2018	V2.0





# Deliverables Reviewed

Deliverable Name	Deliverable Date	Version
BI-35 - Verified Technology Environments DED	07/27/2018	V0.5
BI-01 - Project Kickoff Presentation Deliverable	08/29/2018	V1.0
BI-02 - Project Status Report Deliverable - week of 10/01/18	10/09/2018	Rev1
BI-02 - Project Status Report Deliverable - week of 10/08/18	10/09/2018	Rev1
BI-02 - Project Status Report Deliverable - week of 10/15/18	10/16/2018	Rev2
BI-02 - Project Status Report Deliverable - week of 10/22/18	10/24/2018	Rev1
BI-03 - Project Orientation Materials Deliverable	08/01/2018	V1.0
BI-03(a) - Project Information Library Deliverable	10/01/2018	V1.0
BI-05 - Project Schedule Deliverable	10/05/2018	V1.0
BM-1 – Medicaid E&E Solution M&O Transition Plan	8/29/18	V1.0
	10/16/18	V1.5
BM-2 – Transition Status Report	9/24/18	V1.0
BM-5 – Completed Medicaid E&E Readiness Checklist DED	9/19/18	V1.1



# Additional Inputs – Artifacts

Artifact Name	Artifact Date	Version
40.121.2 Requirements Statement Appendix 1 – KOLEA Statement of Resources		
40.121.2 - Requirements Statement Appendix 2 - KOLEA System Documentation Matrix		
40.213 SPMP Configuration Management Plan	2013	V2.0
Appendix 4 Operational Document: Configuration Management	08/01/17	V2.0
ASI Transition Application Documentation Roadmap documents (browsed 12 docs)		1.4,1.5, 1.6, 2.3
BES RFP		V12.1
DHS Final RFP		
HP ALM Export Criteria - KPMG		
Interface_Descriptions_V2_428	No date	Version 2
Internal Performance Test Plan	05/10/16	V1.1
Kauhale On-Line Eligibility Assistance (KOLEA) Project Appendix 4 Operational Document: Configuration Management	08/1/18	V2.0



# Additional Inputs – Artifacts

Artifact Name	Artifact Date	Version
Kauhale On-Line Eligibility Assistance (KOLEA) Project ASI Transition – Application Documentation – Interfaces Interfaces 11 DSDs (DLIR, PARIS, RIDP, DPS, DLIR, HSAG, HYCF, HPMMIS, Mass Change, VLP, DLIR Workers Comp, DEERS)	Various	Various
KOLEA ASI Operations Support Model		
KOLEA Regression Test Cases – KPMG 08Oct18_ConsolidatedScriptsWithChanges - KPMG	Various	Various
KPMG Design Docs Update After 2015	Various	Various
KPMG Turnover Plan		V4
Open Issue Tracker		
Operational Document: Defect Management Process, Appendix 6	07/31/17	V1.5
Release 4.080	09/2018	
Siebel Overview Unisys transition plan (BM-1 Medicaid EE Solution MO Transition Plan.doc	10/23/18	V1.5
Smoke Test Scripts – KPMG	Various	Various
Unisys Best And Final Offer (BAFO) Proposal - ASI		

# Additional Inputs



- Interviews:
  - KPMG – Ajay Gupta and Paresh Shah – Legacy ASI Patching, Batch, ESI Support – 10/10
  - DHS Information Security – Tommy Ku – Enterprise Platform Vulnerability Status – 10/11
  - DHS PMO – Tracey Laride – DHS organizational changes – 10/24
  - Unisys – Brian Kodama, Transition and M&O Technical Lead – 10/30
  - DHS – Lim Young, Compliance Office – DHS Security Efforts – 10/30
  - Unisys – Kalyan Raman, Operations Manager – ASI Transition Activity Status – 10/30
  - PACXA – Steve Balistreri, Architect – ESI/ASI Interactions – 10/31
- KT Sessions Attended/Observed:
  - Siebel Part 1 – 10/1
  - Siebel Part 2 – 10/3
  - HP-MMIS Interface – 10/4
  - Testing Management – 10/4
  - Content Management – 10/9
  - BIP – 10/10
  - OPA – 10/11
  - IDM/Security – 10/12
  - Overflow – 10/15



# Additional Inputs

- BES JAR Sessions Attended/Observed:
  - FRI - General Requirements – 10/01 – 10/02
  - FR2 - Pre-Screening – 10/03
  - FR3 - Integrated Eligibility Application/Intake – 10/04
  - FR4 - Re-Determination Application Process – 10/04
  - FR5 - Interview and Referrals Management – 10/05
  - FR6 - Eligibility Determination – 10/05/18
  - FR7 - Enrollment and Electronic Benefit Transfer (EBT) Card Issuance – 10/06
  - FR16 - Enabling Requirements - Consent Management – 10/08
  - FR16 - Client Search – 10/08
  - FR12 - Workflow Management – 10/09
  - FR8 - On-Going Client Management – 10/09
  - FR14 - Policy Management – 10/09
  - FR14 - Rules Management – 10/09
  - FR11 - Manage Overpayments – 10/11
  - FR11 - Child Support – 10/11
  - FR10 - Benefit Issuance – 10/11
  - FR10 - Financial Management – 10/11
  - FR9 - LIHEEP – 10/12
  - Catch up, review work and schedule – 10/12
  - FR13 - Appeals – 10/15
  - FR13 - Quality Control – 10/15
  - FR13 - Random Movement Time Sampling 10/15
  - FR15 - User Reporting – 10/16
  - FR15 - Analytical Tools – 10/16
  - FR15 - Mobile Reporting and Notices – 10/16
  - Catch up, review work and schedule – 10/17

# Additional Inputs



- Meetings Attended/Observed:
  - IDM Upgrade Project - 10/5
  - ESI Transition Assessment Feedback - 10/18
  - Medicaid Weekly Transition and Open Issues – 10/29
  - KOLEA ASI Turnover - Cutover Checkpoints – 10/8, 10/10
  - KOLEA ASI Turnover - Final Cutover Checkpoint Meeting – 10/14
  - KOLEA ASI Turnover - Re-Assignment of KPMG Assigned SN Tickets Planning Meeting – 10/11
  - KOLEA ASI Turnover Weekly Status Meeting – recurring (10/5, 10/12, 10/19, 10/26)
  - KOLEA ASI Turnover - Week Day Batch Shadowing Session - 10/11
  - KOLEA ASI Turnover - Non Production Mock Deployment Shadowing Session - 10/12
  - Medicaid Weekly Transition and Open Issues Meeting - recurring
  - Weekly ESI/Unisys M&O Touchpoint - recurring
  - Project Status Report Out Weekly Meeting - recurring
  - Platform M&O Status, Whiteboard and Security Meeting - 10/30
  - BES Weekly Status Meetings – recurring (10/17, 10/24, 10/31)
  - Enterprise Operations Committee - recurring

# Additional Inputs



- Other Inputs:
  - e-mails to Kalyan Raman regarding Software licenses and support – response received
  - e-mails to Kalyan Raman regarding team access (received Unisys access spreadsheet 10/30)
  - Unisys System Access IVV (spreadsheet) – 10/30
  - KOLEA Production Support Release Management Process (slides)
  - KT Session Slides
  - KOLEA ASI Turnover – KT Parking Lot Items
  - KOLEA ASI Turnover – Cutover Checklist \_ Excel spread sheet received 10/22
  - Meeting agendas and minutes

# Appendices





# Appendix A – Risk Identification Report

- The complete Risk Identification Report (or Log) for the ASI Transition Assessment will be included with PCG's draft ASI Transition Assessment Report.
- No Risks or Issues have been formally identified to date for the BES DD&I project. Preliminary concerns are noted on the following page.



# Appendix A – Risk Identification Report

Title	Type	Status	Identifying Activity	Observation	Significance	Recommendation	Priority
BES Policy Requirements	Prelim Concern - Draft	Prelim - Draft	Requirements Verification	During requirements validation, all Policy requirements were 'docked' for further research and discussion. It is unclear whether Policy requirements should be met by the BES solution.	If requirements cannot be validated as being needed within BES, scope may become affected.	IV&V recommends further evaluation of the Policy requirements, and work with DHS management to determine whether Policy will be within the BES solution scope.	N/A
BES Preliminary Eligibility Requirements	Prelim Concern - Draft	Prelim - Draft	Requirements Verification	How the requirements and processes for Preliminary Eligibility (PE) requirements can or should be satisfied within BES is a significant process change for DHS. It was clear during requirements validation that there was not agreement on how this should work within BES and DHS; all PE requirements were docked for further research.	If preliminary eligibility requirements and processes are not ironed out and agreed to by DHS and the ASI, the new 'value added' functionality may not deliver the intended benefit for DHS clients.	IV&V recommends that the Project Team further investigate and collaborate on how to address PE. IV&V recommends that decisions in this regard are approved by DHS management.	N/A

# Appendix B – 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
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
IV&V	Independent Verification and Validation



# Appendix B – Acronyms and Glossary

Acronym	Definition
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
PAR	Periodic Assessment Report
PMBOK®	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project/Program Management Office
QA	Quality Assurance
QM	Quality Management
RFP	Request for Proposal
RMP	Requirements Management Plan
RTM	Requirements Traceability Matrix
SEI	Software Engineering Institute
SLA	Service-Level Agreement
SME	Subject Matter Expert
SOA	Service Oriented Architecture
SOW	Statement of Work, Scope of Work
VVP	Software Verification and Validation Plan
XLC	Expedited Life Cycle



# Appendix C – Project Background

## Systems Modernization Projects

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

- ESI or Platform Vendor – provides 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.

# Appendix C – IV&V Project Background



## 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

IV&V is responsible for:

- Evaluating efforts performed by the Projects (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 vendors 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