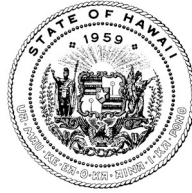


DAVID Y. IGE  
GOVERNOR



TODD NACAPUY  
CHIEF INFORMATION  
OFFICER

## OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

P.O. BOX 119, HONOLULU, HAWAII 96810-0119  
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December 11, 2018

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

The Honorable Scott K. Saiki,  
Speaker, and  
Members of The House of Representatives  
Twenty-Ninth 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 independent verification and validation (IV&V) 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,

TODD NACAPUY  
Chief Information Officer  
State of Hawai'i

Attachment (1)



# Hawaii Department of Human Services Systems Modernization Project

Final IV&V Monthly Status Report  
For Reporting Period: November 1 – 30, 2018

Final submitted: December 10, 2018

# Overview

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- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
- [IV&V Engagement Status](#)
- [Appendices](#)
  - [A – IV&V Criticality Ratings](#)
  - [B – Risk Identification Report](#)
  - [C – Acronyms and Glossary](#)
  - [D – Background Information](#)






# Executive Summary

# Executive Summary



***This report marks the delivery of the first monthly Independent Verification and Validation (IV&V) report that is exclusively specific to the Benefits Eligibility Solution (BES) Project, and thus, a change in the reporting format.***

*Overall, the Application System Integrator (ASI) is continuing to establish its protocols and processes for the design, development and implementation (DDI) phase, which began in October 2018. Several IV&V findings were identified in the areas of project management and configuration management, which are summarized at a high level below and discussed more in-depth in the Findings and Recommendations section of this report.*

Sep	Oct	Nov	Category	IV&V Observations
--			Project Management	During this reporting period the IV&V team observed weaknesses regarding the implementation and ongoing use of tools to execute and manage the project, including status reporting, risk and issue tracking, and schedule management. Processes and procedures require clarification in relation to the review and approval of project deliverables, change management, and decision-making. IV&V identified a significant concern regarding the lack of dedicated BESSD resources to the project, and the absence of an approved Project Management Plan (PMP) which should be in place to guide overall project execution. Finally, there is an increased need to obtain CMS approval on the Project Partnership Understanding (PPU) so that the degree to which the Medicaid Eligibility and Enrollment Life Cycle (MEELC) requirements apply to the project are known, and accommodated for in the Joint Application Design (JAD) process.
--	--		Configuration Management	This review period marks the first identification of IV&V risks in this category. The configuration management findings primarily focus on the Project's ability to reach an understanding between DHS and its vendors (ASI and/or Enterprise Systems Integrator [ESI]) on preferred tools, solutions (e.g., business intelligence and portal development), and environments to support DDI. While the ASI's Best and Final Offer (BAFO) proposal included Siebel in a dual instance configuration, DHS is expressing interest in a single instance of Siebel. In addition, discussions were initiated at the end of this reporting period between the ASI, ESI and DHS regarding the number of environments that may be needed to support DDI that may differ from contractual commitments. While discussions are ongoing and the Project is tracking these risks, change requests have not been submitted in order to fully determine the impact to the project cost and schedule.

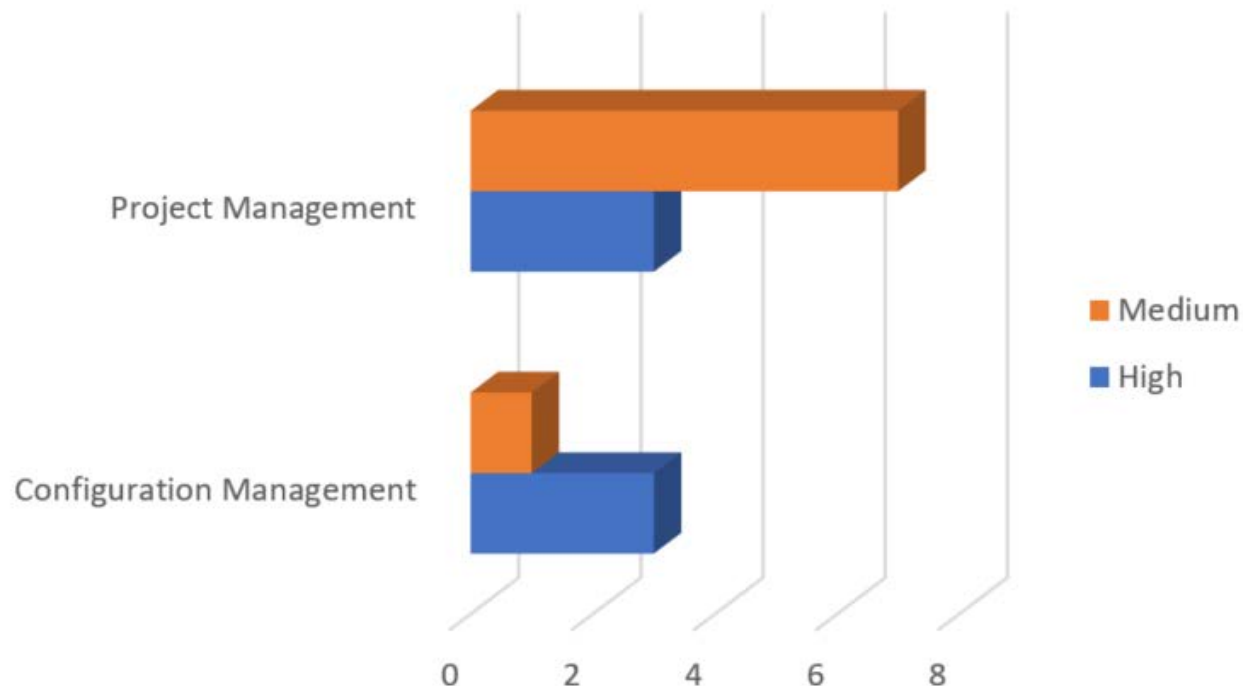
# IV&V Findings and Recommendations



# IV&V Findings and Recommendations

As of this reporting period, PCG has identified a total of 13 open findings (0 issues, 13 risks) and 1 closed finding. Of the open findings, 9 are related to Project Management and 4 are related to Configuration Management. Thirteen new findings were recorded during the period. The following figures provide a breakdown of our open findings by status, priority, and category.

Findings by Category/Priority





# IV&V Findings and Recommendations

## New Findings During the Reporting Period

#	Finding	Category
2	Risk – Late delivery of project deliverables may result in schedule delays.	Project Management
3	Risk – The Project Status Report is Missing Key Information, which may inhibit effective project management.	Project Management
4	Risk – An unclear deliverable review and acceptance process may be contributing to project delays.	Project Management
5	Risk – The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding.	Project Management
6	Risk – The BES Risk and Issues Log lacks necessary data elements, which are needed to afford complete transparency.	Project Management
7	Risk – The Change Management Process is not fully documented and approved, which could delay Change Requests and affect scope, schedule, cost, and quality.	Project Management
9	Risk – BESSD leads and/or teams have not been assigned to the Project, which negatively impact the schedule and workload.	Project Management
10	Risk – The number of instances of Siebel to be implemented for BES Project is undecided, which may impact the project schedule and project costs.	Configuration Management
11	Risk – Changes in direction regarding the preferred business intelligence (BI)/reporting tool may impact project schedule and cost.	Configuration Management





# IV&V Findings and Recommendations

## New Findings During the Reporting Period

#	Finding	Category
12	Risk – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost.	Configuration Management
13	Risk – Differing ASI and ESI expectations regarding the number of contractually committed DDI environments.	Configuration Management
14	Risk – The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions.	Project Management
15	Risk – The Decision Log lacks data elements needed for tracking and reporting on key Project Decisions, which may hamper discovery of decisions.	Project Management



# IV&V Findings and Recommendations

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## Closed Findings During the Reporting Period

#	Finding	Category
8	Risk – The SharePoint Decision Log is not being used to record project decisions, which will hamper communications and cause decisions to be revisited	Project Management



# IV&V Findings and Recommendations

## M Project Management

#	Key Findings	Criticality Rating
1	<b>Risk – Current project management techniques in the JAR and JAD sessions may negatively impact system design.</b> During this period, IV&V has observed the need for stronger meeting management/facilitation skills and noted that meeting minutes or notes from all of the Joint Application Review (JAR) and Joint application Design (JAD) sessions are not posted on the BES SharePoint site. If JAR and JAD notes are not consistently posted, session participants are unable to validate if input has been accurately recorded, potentially affecting BES system functionality. Last month, IV&V observed that policy issues that arose in JARs were ‘docked’, or tabled, for discussion during the JADs but did not observe this occurrence during this reporting period because the related JADs had not yet occurred.	M
2	<b>Risk – Late Delivery of project deliverables may result in schedule delays.</b> Based upon the project schedule dated 11/26/18, some 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 project execution. In some instances, this risk may be compounded by a backlog of Deliverable Expectation Documents (DED) requiring approval and acceptance from the State.	H

Recommendations	Progress
<ul style="list-style-type: none"> <li>Implement project management best practices and identify opportunities to improve meeting management techniques. Publish/post missing JAR/JAD session notes on SharePoint, and moving forward, publish notes within a reasonable period of time (e.g., 24 hrs) after completion of any given session.</li> </ul>	Not started
<ul style="list-style-type: none"> <li>Review the project schedule to capture and discuss the late deliverables and delivery thereof; complete the Project Management Plan and deliver it for review to DHS and IV&amp;V for review; attain approval of the PMP.</li> </ul>	Not started

# IV&V Findings and Recommendations



## M Project Management


#	Key Findings	Criticality Rating
3	<p><b>Risk – The Weekly Status Report is missing key information, which may inhibit effective project management.</b> Although the Project Status Report follows the RFP requirements, IV&amp;V has observed that the Status Report does not list/track of all of the current project tasks and activities, and appears to primarily reflect tasks and activities requiring DHS participation. Reporting the status on some, but not all aspects of the project provides an incomplete picture of the entire project. A complete understanding is necessary to ensure that scope, cost, and schedule parameters are being met across the project.</p> <p>In other areas, we have observed redundant content (e.g., risks and issues) between the Project Status Report and the BES SharePoint Log.</p>	M
4	<p><b>Risk – An unclear deliverable review and acceptance process may be contributing to project delays.</b> Project processes for delivering, noticing and reviewing project deliverables are unclear. In order to identify whether a deliverable is available for review, the IV&amp;V team must review the project schedule and check for deliverable postings to SharePoint. While the ASI may be submitting deliverables to the BES Project Manager, neither the IV&amp;V team nor the PMO are notified. As a result, review cycle-times may be missed and deliverable acceptance can be delayed, which may inhibit the ASI's ability to move forward on future tasks.</p>	M

Recommendations	Progress
Meet jointly (DHS, the ASI, and IV&V) to determine revisions to the Project Status Report that would meet the needs of reporting on all active tasks and activities, and eliminate redundancy between the data contained in the Project Status Reports and SharePoint logs.	Not started
Develop a deliverable review and acceptance process that clarifies to whom the deliverables are to be submitted, how the deliverables are to be provided, how the recipients are to be notified (e.g., SharePoint alert or email notification), and when review comments are due in order to finalize the deliverables on a timely basis. Include this process in the PMP.	Not started



# IV&V Findings and Recommendations

## M Project Management

#	Key Findings	Criticality Rating
5	<p><b>Risk – The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding.</b> The PPU captures project decisions and agreements between DHS and the Centers for Medicare and Medicaid Services (CMS) about project scope, schedule and required documentation. Without an approved PPU, the extent to which the Project must align with the MITA Framework and/or use of the Medicaid Eligibility and Enrollment Toolkit (MEET) Checklists is unknown. Currently, decisions regarding the need for a Project Initiation Milestone Review, the MEET checklist items which are in scope for BES, and whether CMS will require completion of a "baseline" MEET checklist set for the Kauhale On-Line Eligibility Assistance (KOLEA) application are outstanding.</p> <p>While DHS is working with the ASI to obtain the milestone dates that must be included in the PPU and has been working towards finalization with CMS, the absence of an approved PPU presents risk to the project schedule and may impact the State’s ability to draw down enhanced FFP.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> <li>Submit the updated PPU to CMS for review and approval; determine the impact of CMS’ decisions on the Project and incorporate all federal reporting and process requirements into the appropriate project deliverables.</li> </ul>	In process



# IV&V Findings and Recommendations

## M Project Management

#	Key Findings	Criticality Rating
6	<b>Risk – The BES Risk and Issues Log lacks necessary data elements, which are needed to afford complete transparency.</b> IV&V has observed that the current Risk and Issues log on SharePoint requires additional data elements too effectively mitigate risks and contain issues. These elements include Risk Exposure, Required Mitigation / Closure Timeframe or Date, Mitigation Steps, and Updates to Mitigation Steps. Complete documentation of risk and issues is critical to mitigate risks on current projects and prevent similar issues on future projects. Without the integration of effective risk and issue tracking with project status reporting, complete transparency is not afforded and the ability to mitigate risk is diminished.	M
7	<b>Risk – The Change Management Process is not fully documented and approved, which could delay Change Requests and affect scope, schedule, cost, and quality.</b> The Change Management Process is not yet formally documented and approved. All three (3) risks currently tracked in the SharePoint Risk and Issues log indicate the potential need for a formalized Change Management process. If the Change Management process is not developed and instituted, there is a high likelihood that needed Change Requests could be delayed, which could negatively affect scope, schedule, cost, and quality. Note: Following the November IV&V Monthly Status Report Draft submission, IV&V received the Change Management Process for review. This finding will be updated accordingly in the December Monthly Status Report.	M
Recommendations		Progress
<ul style="list-style-type: none"> <li>Meet (DHS, ASI, IV&amp;V) to determine all elements needed to support the Risk and Issue Management processes. Following that activity, update the Risk and Issues log to reflect all agreed-upon elements.</li> </ul>		Not started
<ul style="list-style-type: none"> <li>ASI complete the development of the Change Management Plan and collaborate with DHS to ensure the process is institutionalized for the BES Project.</li> </ul>		In Process



# IV&V Findings and Recommendations

## M Project Management

#	Key Findings	Criticality Rating
9	<b>Risk – BESSD leads and/or teams have not been assigned to the Project, which negatively impact the schedule and workload.</b> IV&V observed that DHS has not designated specific individuals to serve as BESSD leads to support the BES project. In addition, although the SharePoint site for the project indicates that BESSD teams have been envisaged for BI and Reporting, Data Conversion, Functional, Organizational Change Management, Project Management, Security, Technical, Testing and Training, team assignments have not been made. Without committing dedicated BESSD resources to the project, the schedule is at risk as project demands (e.g., meeting attendance, document review) and workloads increase. For a project of this size and significance, the involvement of subject matter experts to ensure that the solution is designed to meet the business needs is critical.	H

Recommendations	Progress
<ul style="list-style-type: none"><li>Identify high-priority areas where BESSD Leads are needed and obtain executive level support to reallocate BESSD staff to the project soon as possible. Re-assess the need for support throughout the project life cycle to ensure that the appropriate subject matter experts are available as required.</li></ul>	Not started



# IV&V Findings and Recommendations

## M Project Management

#	Key Findings	Criticality Rating
14	<b>Risk – The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions.</b> The process by which key project decisions should be added to the Decision Log is undefined and unclear. While it is not realistic to add each and every detailed project decision to a Decision Log, parameters need to be determined and documented that clearly indicate which decisions should be added to the log versus which decisions should not be added to the log. Decisions at a too-detailed level will ‘clutter’ the log, and decisions at a too-broad level will cause decisions to be remain undiscovered; both of which will cause team members to be unaware of such decisions. The impact of both may cause rework in the project, which could lead to project delays and diminish project quality.	
15	<b>Risk – The Decision Log lacks data elements needed for tracking and reporting on key Project Decisions, which may hamper discovery of decisions.</b> The SharePoint Decision Log requires additional data elements for tracking and reporting on Decisions such as: Decision Types, Decision Sub-Categories, etc. If material data about the decision is not tracked and recorded, the Project may miss opportunities to benefit from trends in key decisions. Additionally, inadequate data capture may hamper reporting on decisions and ultimately obscure discovery of key decisions by project team members.	

Recommendations	Progress
<ul style="list-style-type: none"> <li>DHS, the ASI, and IV&amp;V meet to determine the parameters that will be used to identify the level and types of decisions that will be entered in the log. This information should then be recorded in the Project Management Plan, Communications Plan, or other appropriate document/artifact.</li> </ul>	Not started
<ul style="list-style-type: none"> <li>DHS, the ASI, and IV&amp;V meet to determine all elements needed to support the Decision Log and associated processes. Following that activity, IV&amp;V recommends that the DHS SharePoint Decisions log is updated to reflect all agreed-to needed elements and decisions.</li> </ul>	Not started





# IV&V Findings and Recommendations

## M Configuration Management

#	Key Findings	Criticality Rating
10	<p><b>Risk – The number of instances of Siebel to be implemented for BES Project is undecided, which may impact the project schedule and project costs.</b> Discussions are ongoing between the ASI and DHS regarding the number of instances (of Siebel) that are needed to support the ability to share data between MQD and BESSD. Although the ASI’s BAFO proposed dual instances and the ASI has indicated the need to memorialize this in the project Decision Log, DHS has expressed an interest in a single instance.</p> <p>The ASI is currently tracking this as a high risk to the project and has indicated that changing course could incur a 1-year delay. The decision to move forward with one versus two instances of Siebel could result in additional project costs and schedule delay.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>• Work collaboratively (DHS, ASI and ESI) to develop a long term infrastructure strategy along with 5+ year ROI, cost/benefit, license strategy, and risk proposition that includes an assessment of a single vs. dual instance assessment.</li><li>• Record the decision in the Decision Log – even if the decision remains within project scope – to memorialize the outcome and alleviate the impact of the topic resurfacing later.</li></ul>	Not started



# IV&V Findings and Recommendations

## M Configuration Management


#	Key Findings	Criticality Rating
11	<b>Risk – Changes in direction regarding the preferred business intelligence (BI)/reporting tool may impact project schedule and cost.</b> The project intends to utilize Oracle Business Intelligence Enterprise Edition (OBIEE), instead of Cognos as the BI tool for the BES project. This decision represents a change in scope and requires a Change Request (CR), which is currently in process. As of the date of this report, the Project is tracking this as a 'Top Level Issue.' IV&V has insufficient information to fully analyze the impact(s) on this project, thus a low criticality rating has been assigned until such analysis can be performed.	
12	<b>Risk – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost.</b> 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. As of the date of this report, the Project is tracking this as a 'Top Level Issue.' IV&V has insufficient information to fully analyze the impact(s) on this project, thus a low criticality rating has been assigned until such analysis can be performed.	

Recommendations	Progress
<ul style="list-style-type: none"><li>Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate.</li></ul>	Not started
<ul style="list-style-type: none"><li>Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate.</li></ul>	Not started



# IV&V Findings and Recommendations

## M Configuration Management

#	Key Findings	Criticality Rating
13	<p><b>Risk – Differing ASI and ESI expectations regarding DDI environments may impact project schedule and cost.</b> The ASI has requested development environments to support BES DDI that the existing on-premise infrastructure may not support. The ASI is requesting development environments for the BES Project that are aligned with the platform and application software upon which the BES solution will reside in production. A potential solution, or by-product, of this request is to add environments to accommodate the platform and application software – resulting in a net increase in environments within the existing infrastructure. It is important to note that this risk focuses on the need for suitable (i.e., fit for purpose) DDI environments rather than a certain number of environments.</p> <p>Because the BES solution is planned to be implemented on a more current version of Siebel than KOLEA uses, the ASI cannot use existing KOLEA environments even if those environments were up to date for their platform version(s). The cost impact of acquiring these suitable development environments could be substantial. The Project is tracking this and has rated the ESI and Platform items as Yellow in the most current status report; nevertheless, IV&amp;V considers this risk to be Red due to the level of complexity and potential cost and schedule impacts.</p> <p>If the ASI is constrained by having to develop the BES solution in the existing KOLEA development environments (regardless whether those environments are up to date), the quality of the BES solution may be negatively affected. Nuances between Siebel versions, among other supporting software versions, between development and production can cause unexpected defects ranging from catastrophic to annoying.</p> <p>Creating suitable development environments for BES is a task that, from all appearances, was not anticipated by the ESI or DHS. Contract details notwithstanding, creation of new or re-purposed environments is complex and will require time and effort from DHS, the ESI, and the ASI. The contract details, particularly around the responsibility for the cost of creating BES development environments, and potential increased licensing fees may ultimately result in increased costs to DHS. Both of these impacts may subsequently cause delay to the BES project schedule.</p>	



# IV&V Findings and Recommendations

## M Configuration Management

Recommendations	Progress
<ul style="list-style-type: none"><li>• ASI work with the State to reach a common understanding of the requirements for the BES DDI environments.</li><li>• ESI and ASI work together to formulate an environment strategy that will meet the project platform and development needs and minimize impact to the State.</li></ul>	Not started

# IV&V Status



# IV&V Engagement Status

IV&V Engagement Area	Sep	Oct	Nov	Comments
IV&V Budget				The IV&V Project is within budget.
IV&V Schedule				The IV&V schedule is on time.
IV&V Deliverables				The cadence for delivering the monthly reports is being followed.
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				Members who were brought to assist with the assessment are being redeployed and BES staffing assignments are moving into place.
IV&V Scope				DHS has requested Ad Hoc IV&V services (Task 6.0) from PCG to follow-up on the results of the ESI Transition Assessment

## 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

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- 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 and deliverable		V1.1
BI-02 - Project Status Report DED	07/30/2018	V1.0
BI-03 - Project Orientation Materials DED and deliverable		V0.1.2
BI-03(a) - Project Information Library DED and deliverable		V1.0
BI-04 - Project Management Plan DED	08/6/2018	V1.0
BI-05 - Project Schedule DED and deliverable		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 and deliverable		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	V2.0
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 11/05/18	11/07/2018	Rev1
BI-02 - Project Status Report Deliverable - week of 11/12/18	11/19/2018	Rev1
BI-02 - Project Status Report Deliverable - week of 11/12/18	10/21/2018	Rev2
BI-02 - Project Status Report Deliverable - week of 11/19/18	11/26/2018	Rev2
BI-02 - Project Status Report Deliverable - week of 11/26/18	11/28/2018	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 10/16/18	V1.0 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
Unisys Best And Final Offer (BAFO) Proposal - ASI		
Public Consulting Group's Proposal to Provide IV&V Services on the Systems Modernization Project		
Hawaii DHS RFP # DHS-RFP-17-01 for Systems Modernization IV&V Services		
Unisys Contract		
JAR Notes / Minutes		
JAD Notes / Minutes		
Project Partnership Understanding (PPU)	08/11/18	V1.0
PPU Dates (Unisys Excel file)	11/01/18	rev2
DDI Risks and Issues Log		
DDI Decisions Log		
DDI Action Items Log		
Environments	11/27/18	v7






- **Meetings and/or Sessions Attended/Observed:**
  - JAD 1 Preview / Prep Meeting – 11/1
  - CORE 1 JADs (Daily, 11/5 – 11/15)
  - PCG/DHS/ETS IV&V Draft Report discussion – 11/7
  - Project Risk and Issue Meeting – 11/13 and 11/27
  - PCG/Unisys meeting – 11/14
  - Weekly Status Meeting – 11/14 and 11/28
  - Gary Hirata interview – 11/15
  - Enterprise Operations Committee meeting – 11/20
  - MDM 1 JAD Sessions – 11/26, 11/27, 11/28 and 11/29

# 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

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- The complete Findings Log for the BES Project is inserted on the following page.



No	Title	Finding Type	Project	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Priority	Analyst Priority	Finding Status	Status Update	Client Comments	Vendor Comments	Project Risk Standing	Project Risk Owner	Date Retired
1	Weak project management techniques in the JAR and JAD sessions may impact system design.	Finding - Risk	BES IVV	10/31/2018	Project Management	Finding: IV&V has observed weak meeting facilitation skills and noted that meeting minutes or notes from all of the Joint Application Review (JAR) and Joint Application Design (JAD) sessions are not posted on the BES SharePoint site.  General Observation from October reporting period: During requirements validation, all Policy requirements were 'docked', or tabled, for further research and discussion. It is unclear whether Policy requirements should be met within the BES solution, or outside of the BES solution. How the requirements and processes for Preliminary Eligibility requirements can or should be satisfied within BES is a large process change for DHS. It was clear during requirements validation that there was not agreement on how this should work within BES and DHS, so all Preliminary Eligibility requirements were docked for further research.	If JAR and JAD notes are not consistently posted, session participants are unable to validate if input has been accurately recorded, potentially affecting BES system functionality.	•Implement project management best practices and identify opportunities to improve meeting management techniques. Publish/post missing JAR/JAD session notes on SharePoint, and moving forward, publish notes within a reasonable period of time (e.g., 24 hrs) after completion of any given session.	Q1 2019	3	3	Medium	Med	Open	11/29/18: Original JAR/JAD findings re the docking of policy issues were collapsed into this finding. Docked items are stored in SharePoint per email from Bill Thornton on 11/29/18. IV&V to review listing of docked items and observe JADs to determine if docked items are addressed. Last month, IV&V observed that policy issues that arose in JARs were 'docked', or tabled, for discussion during the JADs but did not observe this occurrence during this reporting period because the related JADs had not yet occurred.					
2	Late delivery of project deliverables may result in schedule delays.	Finding - Risk	BES IVV	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.	IVV recommends that the ASI works to complete the Project Management Plan deliverable, work with DHS and IV&V 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 the project schedule to capture and discuss the late deliverables and delivery thereof; complete the Project Management Plan and deliver it for review to DHS and IV&V for review; attain approval of the PMP.	TBD	4	3	High	High	Open	12/6/18: Our collective experience is that we have seen more than one project where delayed deliverables have a 'snowball' effect that sometimes has resulted in disruption. The schedule is impacted and it could result in a project delay. One approach to mitigation would be to re-schedule the deliverables such that a project delay would not occur. It is certainly too early to say that a delay in the implementation will occur (then it would be an issue, not a risk).		12/6/18, Keith Stock, Unisys: 2) We don't disagree with the statements but assigning this high which states "a major disruption is likely and the consequences would be unacceptable" seems inappropriate.			
3	The Project Status Report is Missing Key Information, which may inhibit effective project management.	Finding - Risk	BES IVV	11/19/2018	Project Management	Although the Project Status Report follows the RFP requirements, IV&V has observed that the Status Report does not list/track of all of the current project tasks and activities, and appears to primarily reflect tasks and activities requiring DHS participation. Additionally, the content of the Project Status Report in some areas (e.g., risks and issues) is redundant to BES SharePoint Log. Examples include: 1. The Project Status Report does not include tracking of ALL current tasks and activities. It appears to largely be limited to only tasks and activities requiring DHS participation. 2. The Project Status Report includes multiple sections for Risks and Issues, which are redundant to a corollary SharePoint Risk and Issue Log. 3. All current 'Issues' cited in the Status Report are incorrectly listed as 'Risks' in the Risk and Issues Log on SharePoint.	Reporting Project Status on some, but not all, areas of the project provides an incomplete understanding of the status of the entire project. A complete understanding is necessary to ensure that scope, cost, and schedule parameters are all being met across the project.	IVV recommends that DHS, the ASI, and IVV jointly determine revisions to the Project Status Report that would meet the needs of reporting on all active tasks and activities, and that redundancy between the data contained in the Project Status Reports and the SharePoint logs is removed.	December 2018	3	3	Medium	Med	Open	12/06/2018: IV&V recognizes that the ASI and the State agree that changes need to be made to the Status Report. A meeting to review, discuss, and update accordingly is expected to take place during December.		12/6/18, Keith Stock, Unisys: 3) Status report structure is dictated by the RFP. There is an ongoing action item to modify structure and content by mutual agreement			
4	An unclear deliverable review and acceptance process may be contributing to project delays.	Finding - Risk	BES IVV	11/28/2018	Project Management	Project processes for delivering, noticing and reviewing project deliverables are unclear. In order to identify whether a deliverable is available for review, the IV&V team must review the project schedule and check for deliverable postings to SharePoint. While the ASI may be submitting deliverables to the BES Project Manager, neither the IV&V team nor the PMO are notified. As a result, review cycle-times may be missed and deliverable acceptance can be delayed, which may inhibit the ASI's ability to move forward on future tasks.	An unclear deliverable review and approval cycle can lead to project delays.	Develop a deliverable review and acceptance process that clarifies to whom the deliverables are to be submitted, how the deliverables are to be provided, how the recipients are to be notified (e.g., SharePoint alert or email notification), and when review comments are due in order to finalize the deliverables on a timely basis. Include this process in the PMP.	December 2018	3	3	Medium	Med	Open						
5	The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding.	Finding - Risk	BES IVV	11/26/2018	Project Management	The CMS Project Partnership Understanding (PPU) is not finalized between the State and CMS for this project. If funding is expected from CMS, they may require alignment to the MITA Framework, Gate Reviews and/or use of the Medicaid Eligibility and Enrollment Toolkit (MEET) Checklists. The MEET checklists are developed prior to the CMS gate reviews and are part of the Medicaid Eligibility and Enrollment Life Cycle (MEELC) that defines the CMS processes for Eligibility and Enrollment projects.	If the PPU is not finalized prior to the State's approval of the functional and technical requirements, the projects Federal funding may be at risk.	The State and CMS complete the PPU and the project incorporate all Federal reporting and process requirements into the appropriate project deliverables.	Prior to Functional	5	3	High	High	Open						
6	The BES Risk and Issues Log lacks necessary data elements, which are needed to afford complete transparency.	Finding - Risk	BES IVV	11/26/2018	Project Management	IV&V has observed that the current Risk and Issues log on SharePoint lacks certain necessary data elements to effectively mitigate risks and contain issues. These elements include Risk Exposure, Required Mitigation / Closure Timeframe or Date, Mitigation Steps, and Updates to Mitigation Steps. It should be noted that the current Risk and Issues Log was provided by DHS and is in the default DHS Risk and Issues format.	Complete documentation of risk and issues is critical to mitigate risks on current projects and prevent similar issues on future projects. Without the integration of effective risk and issue tracking with project status reporting, complete transparency is not afforded and the ability to mitigate risk is diminished.	Meet (DHS, ASI, IV&V) to determine all elements needed to support the Risk and Issue Management processes. Following that activity, update the Risk and Issues log to reflect all agreed-upon elements.	December 2018	3	3	Medium	Med	Open	12/06/2018: IV&V recognizes that the SharePoint Log was provided by DHS. A meeting to review, discuss, and tailor the log to meet the needs of the BES Project is expected to take place during December.	12/4/18, Tracey Laride: Key Finding #6, p.12. Is the "Risk Exposure" the same as the Severity or Probability fields on SharePoint? If not, then can you clarify what "Risk Exposure" is? I think "Mitigation Steps" may be the same as Recommendation(s) in the log? If yes, the title can be changed to Mitigation Steps. For the "Updates to Mitigation Steps", it is entered with a date of the update into the comments section of the logged item. If needed, the field title can be changed.	12/6/18, Keith Stock, Unisys:6) The risk and issue log has been provided as a default to all DHS projects along with instructions. DHS PMO has asked for clarification from IV and V and will likely agree to add additional fields			
7	The Change Management Process is not fully documented and approved, which could delay Change Requests and affect scope, schedule, cost, and quality.	Finding - Risk	BES IVV	11/27/2018	Project Management	The Change Management Process is not yet documented and approved. All three (3) risks currently tracked in the SharePoint Risk and Issues log indicate the potential need for a formalized Change Management process.	If the Change Management process is not developed and instituted, there is a high likelihood that needed Change Requests could be delayed, which could negatively affect scope, schedule, cost, and quality.	IVV recommends that the ASI complete development of the Change Management Plan, and collaborate with DHS to ensure the process is institutionalized for the BES Project.	January 2019	3	3	Medium	Med	Open	12/6/18: IV&V was provided a copy of the Change Management artifact in early December. IV&V will review the document during December and update this finding accordingly.	12/4/18, Tracey Laride: Key Finding #7, p.12. The Change Management process is documented and is in the review process with DHS.				
8	The SharePoint Decision Log is not being used to record project decisions, which will hamper communications and cause decisions to be revisited	Finding - Risk	BES IVV	11/27/2018	Project Management	The SharePoint Decisions Log is not being used to record and track project decisions, and it requires additional data elements for tracking and reporting on Decisions such as: Decision Types, Decision Sub-Categories, etc.	If Project Decisions are not recorded on a central repository (such as the SharePoint Log developed for this purpose), communications based on Project Decisions are likely to become hampered, and decisions will need to be revisited multiple times.	IV&V recommends that DHS, the ASI, and IVV meet to determine all elements needed to support the Decision Log and associated processes, and that the project institutionalizes the process. Following that activity, IV&V recommends that the DHS SharePoint Decisions log is updated to reflect all agreed-to needed elements and decisions.	January 2019	3	3	Medium	Med	Retired	12/06/2018: Per the ASI, there are no decisions to enter into the Decisions Log. This is confirmed with DHS BES. Based on this correction of fact, IV&V will retire this finding, and will open up new findings to address the separate topics of the lack of a documented decision making process and the need for additional data elements in the Decision Log.	12/4/18, Tracey Laride: Key Finding #8, p. 13. Is the IV&V recommending DD&BESSD decisions (requirements, design, etc.) be logged here or BES Scope (Change Management) decisions be logged here or both?	12/6/18, Keith Stock, Unisys: 8) It is being used there just are not any decisions yet to log			12/6/2018
9	BESSD leads and/or teams have not been assigned to the Project, which negatively impact the schedule and workload.	Finding - Risk	BES IVV	11/30/2018	Project Management	IV&V has observed that DHS has not designated specific individuals to serve as BESSD leads to support the project. In addition, although the SharePoint site for the project indicates that BESSD teams have been envisaged for BI and Reporting, Data Conversion, Functional, Organizational Change Management, Project Management, Security, Technical, Testing and Training, team members have not been identified.	Without committing dedicated BESSD resources to the project, the schedule is at risk as project demands (e.g., meeting attendance, document review) and workloads increase. For a project of this size and significance, the involvement of subject matter experts to ensure that the solution is designed to meet the business needs is critical.	•Identify high-priority areas where BESSD Leads are needed and obtain executive level support to reallocate BESSD staff to the project soon as possible. Re-assess the need for support throughout the project life cycle to ensure that the appropriate subject matter experts are available as required.	January 2019	5	5	High	High	Open						
10	The number of instances of Siebel to be implemented for BES Project is undecided, which may impact the project schedule and project costs.	Finding - Risk	BES IVV	11/28/2018	Configuration and Development	Discussions are ongoing regarding the need for single vs. dual instances of Siebel to support the ability to share data between MQD and BESSD. Although the ASI's BAFO proposed dual instances and the ASI has indicated the need to memorialize this in the project Decision Log, DHS has expressed an interest in a single instance. This scope change could introduce a significant cost/schedule impact to the project.  The ASI is currently tracking this as a high risk to the project and has indicated this could incur a 1 year delay. Details of moving to a single instance have yet to be resolved. Such a move would be out of scope of the existing contract. The decision on one versus two instances of Siebel could have negative impact to scope, cost and schedule.	This scope change could introduce a significant cost/schedule impact to the project. A decision to move forward with one versus two Siebel instances could result in additional project costs and schedule delay, and would likely be a significant effort that is out of scope of the existing contract.  If the decision is delayed, the vision of data sharing between the departments could be compromised. The sooner this decision is finalized, the better the chances for successful mitigation in the best interest of the project.	1. Work collaboratively (DHS, ASI and ES) to develop a long term infrastructure strategy along with 5+ year ROI, cost/benefit, license strategy, and risk proposition that includes an assessment of a single vs. dual instance assessment.  2. Record the decision in the Decision Log – even if the decision remains within project scope – to memorialize the outcome and alleviate the impact of the topic resurfacing later.	Q1 2019	4	4	High	High	Open	12/6/18: The language about a CR caused the finding to be a bit misleading and we have removed the language. Our intent was simply to state that we cannot yet fully analyze the impact. Nevertheless the finding remains open.		12/6/18, Keith Stock, Unisys:10) We agree that this "decision" needs to be finalized and memorialized. However, we are unclear as to how a potential change request (i.e. potentially changing from the proposed dual instance approach to a single instance) is a high risk to the project. It would be a change. If a change is requested, the change would go through the Change Request process where DHS could assess the impact of cost, time, etc. and determine to move forward or not. In other words, if we do nothing, no issue, we are moving forward as proposed ... no risk. If they decide to change, they will do so via the CR process with all available information and schedules and costs would be adjusted accordingly.			

No	Title	Finding Type	Project	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Priority	Analyst Priority	Finding Status	Status Update	Client Comments	Vendor Comments	Project Risk Standing	Project Risk Owner	Date Retired
11	Changes in direction regarding the preferred business intelligence (BI)/reporting tool may impact project schedule and cost.	Finding - Risk	BES IVV	11/28/2018	Configuration and Development	The project intends to utilize OBIEE, instead of Cognos, for the BES project business intelligence (BI)/reporting solution. The Change Request (CR) for this change to the original contract has been drafted and is currently under review. Unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope swaps.	IV&V has insufficient information to fully analyze the impact(s) on this project, thus a low criticality rating has been assigned until such analysis can be performed.	• Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate	Q1 2019	3	4	High	Low	Open						
12	Changes in direction regarding the preferred platform for portal development may impact project schedule and cost.	Finding - Risk	BES IVV	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. 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.	IV&V has insufficient information to fully analyze the impact(s) on this project, thus a low criticality rating has been assigned until such analysis can be performed.	• Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate	Q1 2019	3	3	Medium	Low	Open						
13	Differing ASI and ESI expectations regarding DDI environments may impact project schedule and cost	Finding - Risk	BES IVV	11/28/2018	Configuration and Development	The ASI has requested development environments to support BES DDI that the existing on-premise infrastructure may not support. There is discussion that the underlying challenge relates solely to the number of environments, in fact, the ASI is not requesting more environments than specified in their BAFO. The ASI is requesting development environments for the BES Project that are aligned with the platform and application software upon which the BES solution will reside in production. A potential solution, or by-product, of this request is to add environments to accommodate the platform and application software – resulting in a net increase in environments within the existing infrastructure. It is important to note that this risk focuses on the need for suitable (i.e., fit for purpose) DDI environments rather than a certain number of environments. It is IV&V understanding that the existing KOLEA development environments have not been kept up to date (e.g., tool and operating system patches and updates) and that a concerted effort to bring those environments current would be necessary if the ASI could use the KOLEA environments at all. However, since the BES solution is planned to be implemented on a higher version (version 17) of Siebel than KOLEA uses (version 15), the ASI cannot use existing KOLEA environments even if those environments were up to date for their platform version(s). The Project requires development environments that align with the future production environment and platform. The cost impact of acquiring these suitable development environments could be substantial. The Project is tracking this and has rated the ESI and Platform items as Yellow in the most current status report; nevertheless, IV&V considers this risk to be Red due to the level of complexity and potential cost and schedule impacts.	If the ASI is constrained by having to develop the BES solution in the existing KOLEA development environments (regardless whether those environments are up to date), the quality of the BES solution may be negatively affected. The BES solution could not be fully tested on a production-like platform prior to roll-out or go-live. Nuances between Siebel versions, among other supporting software versions, between development and production can cause unexpected defects ranging from catastrophic to annoying. Creating suitable development environments for BES is a task that, from all appearances, was not anticipated by the ESI or DHS. Contract details notwithstanding, creation of new or re-purposed environments is complex and will require time and effort from DHS, the ESI, and the ASI. The contract details, particularly around the responsibility for the cost of creating BES development environments, and potential increased licensing fees may ultimately result in increased costs to DHS. Both of these impacts may subsequently cause delay to the BES project schedule.	• ASI work with the State to reach a common understanding of the requirements for the BES DDI environments. • ESI and ASI work together to formulate an environment strategy that will meet the project platform and development needs and minimize impact to the State.	Q1 2019	4	4	High	High	Open	12/6/18; Finding clarified to focus on the suitability of the environments rather than the 'number'	12/6/18, Keith Stock, Unisys: 13) The comment that the ASI vendor is requesting "additional environments" is misleading. The ASI vendor is requesting the number of environments as described in our proposal and subsequent contract. The recommendation that the ESI and ASI vendors work together to come up with an environment strategy that "will not incur additional cost to the State" may not be possible – recommend the recommendation be that a strategy be identified that minimizes additional cost to the State.	Medium			
14	The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions.	Finding - Risk	BES IVV	11/27/2018	Project Management	The process by which key project decisions should be added to the Decision Log is undefined and unclear. While it is not realistic to add each and every detailed project decision to a Decision Log, parameters need to be determined and documented that clearly indicate which decisions should be added to the log versus which decisions should not be added to the log.	If guidance is undefined/unclear on how the Decision Log will be utilized, it is highly likely that the log's purpose will not be met. Decisions at a too-detailed level will 'clutter' the log, and decisions at a too-broad level will cause decisions to be remain undiscovered; both of which will cause team members to be unaware of such decisions. The impact of both may cause rework in the project, which could lead to project delays and diminish project quality.	IV&V recommends that DHS, the ASI, and IV&V meet to determine the parameters that will be used to identify the level and types of decisions that will be entered in the log. This information should then be recorded in the Project Management Plan, Communications Plan, or other appropriate document/artifact.	First Key Decision	4	3	High	Low	Open	12/6: Rated Low by the analyst due to only one Decision in play at this point in time.					
15	The Decision Log lacks data elements needed for tracking and reporting on key Project Decisions, which may hamper discovery of decisions.	Finding - Risk	BES IVV	11/27/2018	Project Management	The SharePoint Decision Log requires additional data elements for tracking and reporting on Decisions such as: Decision Types, Decision Sub-Categories, etc.	If material data about the decision is not tracked and recorded, the Project may miss opportunities to benefit from trends in key decisions. Additionally, inadequate data capture may hamper reporting on decisions and ultimately obscure discovery of key decisions by project team members.	DHS, the ASI, and IV&V meet to determine all elements needed to support the Decision Log and associated processes. Following that activity, IV&V recommends that the DHS SharePoint Decisions log is updated to reflect all agreed-to needed elements and decisions.	First Key Decision	3	3	Medium	Low	Open	12/6: Rated Low by the analyst due to only one Decision in play at this point in time.					

# Appendix C – Acronyms and Glossary



<b>Acronym</b>	<b>Definition</b>
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 C – Acronyms and Glossary



<b>Acronym</b>	<b>Definition</b>
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
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 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® 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



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