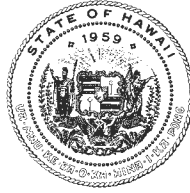


DAVID Y. IGE  
GOVERNOR



DOUGLAS MURDOCK  
CHIEF INFORMATION  
OFFICER

**OFFICE OF ENTERPRISE TECHNOLOGY SERVICES**

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

September 18, 2019

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

The Honorable Scott K. Saiki,  
Speaker, and  
Members of The House of Representatives  
Thirtieth State Legislature  
Hawaii State Capitol, Room 431  
Honolulu, Hawaii 96813

Dear President Kouchi, Speaker Saiki, and Members of the Legislature:

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the 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,

  
Douglas Murdock (Sep 27, 2019)

DOUGLAS MURDOCK  
Chief Information Officer  
State of Hawai'i

Attachment (2)



# Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report  
for Reporting Period: August 1 - 31, 2019

Final submitted: September 18, 2019

# Overview

---

- [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



*During August, the ASI submitted the first round of Functional Design Documents for the project to review, along with the requested "big picture" view of the solution. Although these documents provided some insight into the progress of JADs and solution design to this point, concerns remain regarding the level of detail provided and the extent to which the artifacts effectively illustrate how the functional components of the solution will work together from an overall perspective.*

*In addition, concern remains regarding the management of cross-JAD action items and the sequencing of JADs that may impact the project's ability to make workflow/task decisions on a timely basis. IV&V continues to track progress of schedule improvement, however, concerns remain regarding the level of detail in the master schedule, as well as the over-allocation of ASI resources.*

*While IV&V is aware that discussions continue at the project leadership level regarding long-term architecture decisions that could potentially impact the project scope, schedule, and budget, these decisions were still outstanding at the end of this review period.*

*IV&V opened one new issue (escalated from a concern), two new risks, and two new concerns in the August reporting period, one of which was closed via the issuance of the final draft of the August Status Report.*

| Jun | Jul | Aug | Category           | IV&V Observations  |
|-----|-----|-----|--------------------|--|
| M   | M   | M   | Project Management | <p>In the August reporting period, IV&amp;V opened a new concern about communications pertaining to the project CCB process. IV&amp;V is also tracking a new issue specific to the outstanding potential changes to architecture, and the impacts the changes could have to the project. This was previously tracked as a concern.</p> <p>IV&amp;V continues to track three risks centered on the project schedule, as substantive improvements to resource over-allocation, task details, and activity/task due dates and milestones were not observed. Additionally, IV&amp;V has been made aware of some newly surfacing communication gaps between the ASI and DHS specific to project decisions and status, which will be further investigated in September.</p> <p>The August 2019 reporting period risk rating for the Project Management process area remains Medium (yellow).</p> |

# Executive Summary (cont.)



| Jun | Jul | Aug | Category                      | IV&V Observations   |
|-----|-----|-----|-------------------------------|---|
| M   | M   | M   | Configuration and Development | <p>During this review period, the ASI produced a preliminary “big picture” document to show how the functional components will work together from an overall solution perspective. DHS requested further detail.</p> <p>The contract amendment to reimburse the ASI for five cloud DDI environments and data extraction activities has not been approved by ETS as of the end of this review period. After several months of negotiations, the project anticipates an updated Change Request (CR) from the ASI to build out the Adobe portal during the second week of September.</p> <p>The August 2019 reporting period risk rating for the Configuration and Development process area remains Medium (yellow).</p>   |
| N/A | N/A | M   | System Design                 | <p>IV&amp;V opened a new risk specific to the current sequencing of JADs. The planned sequence is resulting in workflow and task-related decisions largely being tabled until the end of the JADs cycle, when the Workflow JAD is scheduled to occur. This has the potential for increasing the amount of rework needed to complete design. Additionally, concern remains regarding the effectiveness of the process in place for managing cross-JAD action items, and how this process is being managed and monitored.</p> <p>IV&amp;V continues to attend JAD/workgroup sessions and is documenting observations and opportunities for improvement that are verbally communicated to the PMO and the ASI. In September, IV&amp;V plans to obtain a better understanding of the ASI’s resource management approach related to BA and JAD session leads.</p> <p>IV&amp;V is rating this category as a Medium (yellow) risk rating for the August 2019 reporting period.</p> |

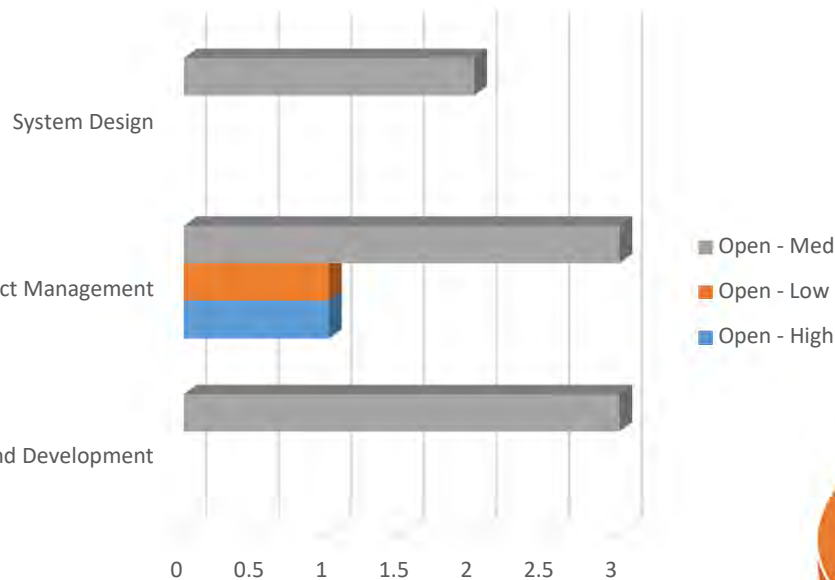
# IV&V Findings and Recommendations

# IV&V Findings and Recommendations

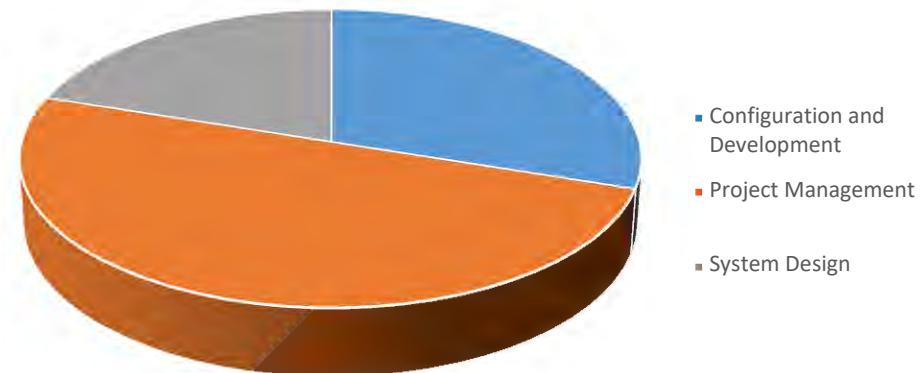


As of the August 2019 reporting period, PCG is tracking 10 open findings (8 risks and 2 issues), 1 open concerns, and has closed out 25 findings. Of the 10 open risks and issues, 5 are related to Project Management, 3 are related to Configuration and Development, and 2 are related to System Design. IV&V opened 2 new risks and 2 new concerns during the August reporting period, one of which was also closed as of the Final August report. The following figures provide a breakdown of our open risks and issues by priority and category.

## Open Risks and Issues



## Open Risks and Issues by Category

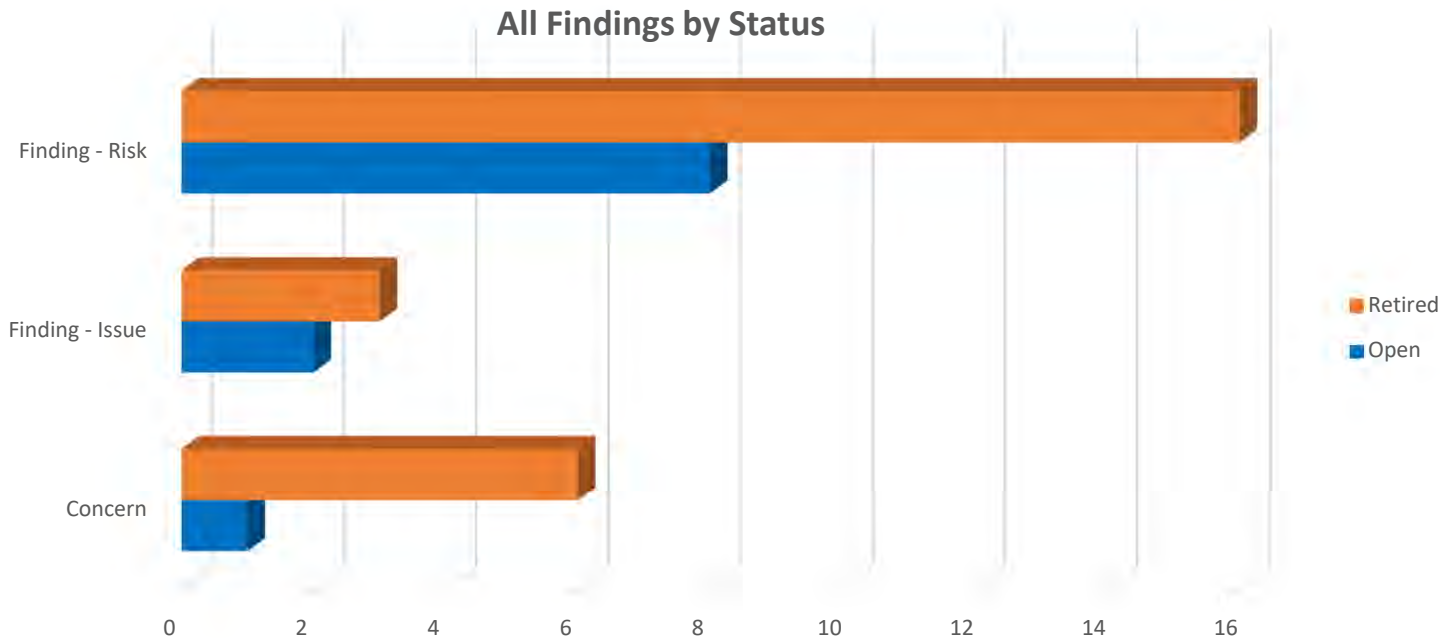




# IV&V Findings and Recommendations



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



# IV&V Findings and Recommendations



## New Findings Opened During the Reporting Period

| #  | Finding   | Category           |
|----|---|--------------------|
| 38 | <b>Risk</b> - 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. | System Design      |
| 36 | <b>Risk</b> - As a result of the cross-JAD Action Items process not being fully defined and documented, there is potential for Action Items being missed or not appropriately addressed, which could impact design quality, and result in rework.             | System Design      |
| 29 | <b>[Escalated from Concern] Issue</b> - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to project budget, schedule, system design, and planning decisions.                               | Project Management |

# IV&V Findings and Recommendations



## Findings Closed During the Reporting Period

| #  | Finding  | Category      |
|----|--|---------------|
| 35 | <b>[Opened and closed within August]</b> - Due to the volume of design rework anticipated by the ASI (20-25%), the planned use of Controlled Correspondence to manage updates to design artifacts may complicate the review and approval process of FDDs/TDDs and could result in schedule delays. | System Design |

# IV&V Findings and Recommendations



## Preliminary Concerns Investigated During the Reporting Period

| #  | Finding  | Category           |
|----|--|--------------------|
| 37 | <b>New</b> - Due to inconsistent communication about potential project changes between project executives and the CCB, the CCB's ability to conduct a complete impact analysis of proposed changes is limited. | Project Management |

# IV&V Findings and Recommendations



## M Project Management


| # | Key Findings  | Criticality Rating |
|---|---|--------------------|
| 2 | <p><b>Risk – Late Delivery of project deliverables may result in schedule delays.</b> IVV continues to monitor schedule progress. The conversion activities and tasks were added to the master schedule, and task status was updated on August 28, 2019. The 90/10 functionality schedule is complete and is being managed separate from the Master Schedule. Additionally, changes may be necessary to the schedule once the FDD/TDD process to include integration points is finalized. Although the ASI reported that some tasks are late in the August 27, 2019 project schedule review meeting, they are not on the critical path. IVV will continue to monitor this finding.</p> <p>IVV maintains this is a medium risk to the project as of the August reporting period.</p> | M                  |

| Recommendations  | Progress   |
|--|------------|
| <ul style="list-style-type: none"><li>Continue to manage and track the schedule to ensure deliverables are provided in a timely manner</li></ul> | In Process |

# 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> IV&amp;V has no material update for the August reporting period. There is a lack of visibility regarding the MEET checklists for the initial set of KOLEA functionality planned to be implemented in October 2019. Specifically IVV has not received confirmation via project artifacts that the requirements are managed, tracked and validated through all testing phases in ALM from the requirements validation phase through post implementation.</p> <p>IVV maintains this is a low project risk to the project as of the August 2019 reporting period.</p> |  |
| Recommendations  |   | Progress  |
| <ul style="list-style-type: none"><li>Continue dialogue with CMS regarding the project’s approach to the PPU, IAPDU, and confirm that the MEELC requirements as related to this project.</li></ul> |   | In Process  |

# IV&V Findings and Recommendations



## M Project Management

| #  | Key Findings  | Criticality Rating |
|--|---|--------------------|
| 26   | <p><b>Risk – Due to the lack of detail in the baseline schedule, unanticipated schedule delays may occur.</b> No substantive update for the August reporting period. Tasks specific to JADs/Workgroups in the next 90 days continue to be updated, added, and/or further decomposed through the 8/23/19 version of the schedule. The Data Conversion schedule has been added to the Project Workplan, and up-to-date status on it is expected in early September. IVV notes that the October Release schedule details are managed in a workplan outside of the Baseline Project Workplan, and that milestones from that offline workplan are provided in the Baseline Project Workplan.</p> <p><i>** Note - IVV removed the word 'draft' from the finding title as the schedule is no longer in draft status, but the risk remains relevant.</i></p> <p>IVV maintains this is a medium risk to the project as of the August reporting period.</p> | M                  |
| Recommendations  |   | Progress           |
| <ul style="list-style-type: none"><li>IV&amp;V understands DHS and the ASI's efforts to find balance when detailing out the project schedule. It is recommended that all tasks and activities should be decomposed by the individual project leads, and that subsequent details are properly added to the schedule for all current tasks, as well as those commencing within the next 90 days, weekly on a rolling wave basis.</li></ul> |   | In Process         |

# IV&V Findings and Recommendations



## M Project Management

| #  | Key Findings   | Criticality Rating |
|----|--|--------------------|
| 27 | <p><b>Risk - The baseline schedule lacks proper resource loading which could result in unanticipated schedule delays.</b> IVV did not observe substantive change in the latest schedule version regarding this risk. Most named resources are still overallocated over the next 90 days as depicted on the Project Plan's Task Resource Sheet. IVV notes that the previously identified positions without named resources that were also overallocated over the next 90 days have had their task allocations dramatically reduced. IVV is unclear on why or how these overallocated resources workload were reduced but will further investigate in September.</p> <p>** Note - IVV removed the word 'draft' from the finding title as the schedule is no longer in draft status, but the risk remains relevant.</p> <p>IV&amp;V maintains this is a medium risk to the project as of the August reporting period.</p> | M                  |

| Recommendations  | Progress   |
|--|------------|
| <p>It is recommended that the ASI perform, at a minimum, the following:</p> <ul style="list-style-type: none"><li>• Add all project resources to the project schedule.</li><li>• Assign all project resources in the schedule to as to all current and planned tasks and activities.</li><li>• Level load for the next 90 days to ensure the accuracy and attainability of the schedule.</li></ul> | In process |



# IV&V Findings and Recommendations



## M Project Management

| #  | Key Findings  | Criticality Rating |
|----|---|--------------------|
| 29 | <p><b>[Escalated from Concern] New Issue - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.</b> Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Siebel instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud.</p> |                    |

| Recommendations  | Progress |
|--|----------|
| <ul style="list-style-type: none"><li>• Efforts should be made to increase communication to create an awareness of potential architecture changes so that they can prepare for the possibility of a change</li></ul> | New      |
| <ul style="list-style-type: none"><li>• The project should vet possible architectural change impacts to platform, M&amp;O, MQD, and BES systems before finalizing architectural decisions</li></ul>                  | New      |

# IV&V Findings and Recommendations



## M Configuration and Development

| #  | Key Findings  | Criticality Rating |
|----|---|--------------------|
| 12 | <p><b>Risk – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost.</b> There is unclear communication between DHS and ASI regarding the portal. After the project was initiated, DHS informed Unisys that the Department decided to standardize on Adobe Sites and Forms and requested Unisys change its portal development including KOLEA from Liferay to Adobe. Because the decision was different than Unisys' proposal, Unisys submitted a CR and proposed hours for the change. Due to the high cost, DHS decided to competitively bid the portal work for KOLEA and to turn over the new portal to be used for BES. Later, in discussions between DHS and Unisys, Unisys offered to convert only the KOLEA portal to Adobe to validate the risks identified in the original CR. When a new CR was not prepared, DHS prepared the CR for submittal. The CR was not submitted because the ASI engagement manager indicated other discussions were underway. Unisys now understands DHS' decision is firm on Adobe and is re-evaluating the hours and associated cost of the initial CR. A revised CR is expected in two weeks. In the meantime, DHS has prepared an RFP to convert the KOLEA portal (which will be expanded to accommodate the BES functionalities).</p> <p>IVV maintains this is a Medium severity risk to the project as of the August reporting period, as the portal development timeframe and the project budget is likely to be impacted by the move to Adobe</p> | M                  |

| Recommendations   | Progress   |
|---|------------|
| <ul style="list-style-type: none"> <li>Complete the Change Request (CR) process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate.</li> </ul> | In Process |

# IV&V Findings and Recommendations



## M Configuration and Development

| #  | Key Findings  | Criticality Rating |
|----|---|--------------------|
| 13 | <p><b>[Escalated from risk] Issue – Differing ASI and ESI expectations regarding DDI environments may impact project schedule and cost.</b> Due to security issues related to remote access by offshore staff, the ASI has created the following cloud environments which DHS will reimburse: 3 dev, 1 testing, 1 training. A contract amendment for the reimbursement has been drafted and is awaiting approval. The following environments will be on-premise - UAT, staging, production.</p> <p>As the impact of this risk has been realized and accepted by DHS, resulting in drafting a contract amendment, IVV is <b>escalating this to an Issue</b> until the contract amendment is executed. Additionally, the issuance of the contract amendment and the implications it has on DDI, security, and migrating between cloud and on-prem will be tracked separately by IVV. See related findings, #29 and #12.</p> <p>IVV maintains this is a medium issue as of the August 2019 reporting period.</p> | M                  |

| 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> | In Process |

# IV&V Findings and Recommendations



## M Configuration and Development

| #  | Key Findings   | Criticality Rating |
|--|--|--------------------|
| 16   | <p><b>Risk – Lack of clear understanding of DDI approach may reduce effectiveness of JARs and JADs.</b><br/>                     The ASI presented their 'big picture' documentation to DHS on 8/23/19, intending to clarify how design documents (UC/FDD/TDD) from various JAD's would come together and effectively address interactions between the different functional areas. However, the documents/presentation did not meet DHS expectations, and additional detail and clarification has been requested by DHS. IVV has opened a related risk (#36) that addresses the risks around the lack of clarity around the process for ensuring cross-JAD Action Items are sent and received by the appropriate analysts. This remains an open project action item for the Unisys team. The impact of this risk is still being determined, however without immediate reconciliation, this could have a significant impact on system design.</p> <p>IVV maintains this is a medium risk as of the August reporting period.</p> | M                  |
| Recommendations  |  | Progress           |
| <p>PCG recommends one or more of the following to mitigate this risk:</p> <ul style="list-style-type: none"> <li>SI provide an additional DDI approach overview session for stakeholders and allow for Q&amp;A</li> <li>SI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint</li> </ul> |  | In Process         |
| <ul style="list-style-type: none"> <li>PCG recommends each new JAD series begin with a brief overview of the DDI approach, including a description of the tools being utilized (use cases, function design documents, technical design documents, etc.), the goals of the session, as well as guidance on how to best provide feedback on what's being shown.</li> </ul>   |  | Open               |

# IV&V Findings and Recommendations



## M System Design

| #  | Key Findings   | Criticality Rating |
|--|--|--------------------|
| 36   | <p><b>New Risk</b> – As a result of the cross-JAD Action Items process not being fully defined and documented, there is potential for Action Items being overlooked, which could impact design quality, and result in rework. IVV understands that cross-JAD items are discussed in the bi-weekly ASI Roundtable session and that this process is currently being managed by a single individual. However IVV is unaware of a written process for ensuring management coordination of both a 'send' and a 'receive' of JAD items moving from one JAD to another. Variance in execution of this process could lead to missing functionality.</p> <p>If the Cross-JAD handoff process is not fully defined, documented, socialized, and uniformly executed, JAD items may 'fall through the cracks' and requirements may be missed. This could potentially lead to uninformed gaps in design, as well as unanticipated rework.</p> | M                  |
| Recommendations  |  | Progress           |
| <ul style="list-style-type: none"><li>IVV recommends that the management process of moving JAD items from one JAD group to another be fully defined, documented, socialized, and monitored for effectiveness by the ASI and DHS.</li></ul> |  | New                |

# IV&V Findings and Recommendations



## M System Design

| #   | Key Findings   | Criticality Rating |
|---|--|--------------------|
| 38  | <p><b>New Risk</b> – 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. ASI-led JAD sessions are currently divided up into functional areas (Portal, Admin Appeals, Core, Financial, etc.) and have been ongoing since approximately March 2019. Workflow/task JAD's have yet to begin. Currently, when functional area design discussions involve a workflow/task, the discussion is tabled because the ASI has yet to define how the workflow/task will be implemented. The ASI has stated that once the workflow/task functionality is defined, they will go back and update the existing designs to include this functionality.</p> <p>Stopping (or putting on hold) design and process flow discussions during JAD's can result in an incomplete understanding of future processes. Uninformed design decisions could lead to significant rework, confusion among SME's and the ASI project team, unproductive analysis discussions, and a poor design. Further, if DHS is asked to sign off on designs that lack clear workflow/task functionality, they could be signing off on a poor or incomplete design.</p> | M                  |
| Recommendations   |  | Progress           |
| <ul style="list-style-type: none"><li>IVV recommends that the ASI and DHS work together to determine how best to integrate workflow/task functionality into all JAD sessions so this functionality can be successfully integrated into system design.</li></ul> |  | New                |

# IV&V Status



# IV&V Engagement Status



| IV&V Engagement Area   | June | July | August | Comments  |
|--|------|------|--------|---|
| IV&V Budget  |      |      |        |   |
| IV&V Schedule  |      |      |        |   |
| IV&V Deliverables  |      |      |        | PCG submitted the final July IV&V Monthly Status Report.  |
| Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports |      |      |        | The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is anticipated to be delivered in October 2019 (refer to the PPU submitted to CMS). |
| CMS Milestone Reviews  |      |      |        | The first CMS Milestone Review date has not yet been determined.  |
| IV&V Staffing  |      |      |        |   |
| IV&V Scope   |      |      |        |   |

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





- IV&V activities in August reporting period:
  - Completed – July Monthly Status Report
  - Submitted – Comments on BI-06 DDI Plan, and BI-08 Technology Environments Specifications, BI-10 Functional and System Design Document Iteration 1 October Release, BI-11 Data Integration and Interface Design Document Iteration 1 Oct 19 Release, BI-14 Technical Design Document Iteration 1 October Release, BI-19 Complete and Final Test Plan, and BI-24 Organizational Change Management Plan
  - Ongoing analysis of Medicaid Eligibility and Enrollment Toolkit (MEET) requirements applicable to BES project
  - Ongoing – Review Deliverables for BES project
  - Ongoing – Attend ASI project meetings, including JADs and Workgroups (see [Additional Inputs](#) pages for details)
- Planned IV&V activities for September reporting period:
  - Continued discussion and analysis of Medicaid Eligibility and Enrollment Toolkit (MEET) requirements applicable to BES project with DHS PMO and BES Project Director
  - Ongoing – Observe BES JAD and Workgroup sessions
  - Ongoing – Observe Weekly Project Status meetings
  - Ongoing – Observe bi-weekly BES Project Risk and Issue meetings
  - Ongoing – Monthly IV&V findings meetings with Unisys
  - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
  - Ongoing – Review BES artifacts and deliverables

# Deliverables Reviewed



| Deliverable Name   | Deliverable Date   | Version |
|--|--|---------|
| BI-02 Project Status Report Deliverable                                      | Weekly   |         |
| BI-05 Project Schedule Deliverable –Baseline                                 | 190726 Baseline<br>190809 Baseline<br>190816 Baseline<br>190823 Baseline |         |
| BI-06 Design, Development, and Implementation Plan Deliverable Re-Assessment | 08/16/2019   | V1.2    |
| BI-08 Technical Environment Specifications – CNV21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – DEV02B Re-Assessment (via CC)   | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – DEV21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – DRX21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – PRD21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – SIT21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – STG21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – TRN21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |
| BI-08 Technical Environment Specifications – UAT21 Re-Assessment (via CC)    | 07/15/2019   | V1.6    |

# Deliverables Reviewed



| Deliverable Name   | Deliverable Date | Version |
|--|------------------|---------|
| BI-10 Functional and System Design Document Iteration 1 October Release  | 08/08/2019       | V1.0    |
| BI-10 Functional and System Design Document Iteration 1 October Release<br>Client Search Use Case and FDD - DM01a                    | 08/08/2019       | V1.0    |
| BI-10 Functional and System Design Document Iteration 1 October Release<br>Create or Update Client Use Case and FDD - DM01b          | 08/08/2019       | V1.0    |
| BI-10 Functional and System Design Document Iteration 1 October Release<br>Cleanse Client Address Use Case and FDD - DM03            | 08/08/2019       | V1.0    |
| BI-10 Functional and System Design Document Iteration 1 October Release<br>Manage Master Person Index and FDD - DM06                 | 08/08/2019       | V1.0    |
| BI-11 Data Integration and Interface Design Document Iteration 1 Oct 19 Release  | 08/13/2019       | V1.0    |
| BI-11 Data Integration and Interface Design Document Iteration 1 Oct 19 Release<br>Department of Health - Interface Use Case         | 08/12/2019       | V1.0    |
| BI-11 Data Integration and Interface Design Document Iteration 1 Oct 19 Release<br>Department of Health - Interface Control Document | 08/12/2019       | V1.0    |
| BI-14 Technical Design Document Iteration 1 October Release  | 08/12/2019       | V1.0    |
| BI-14 Technical Design Document Iteration 1 October Release<br>MDM Technical Design Document   | 07/31/2019       | V1.0    |
| BI-19 Complete and Final Test Plan Re-Assessment   | 08/09/2019       | V1.3    |
| BI-19 Complete and Final Test Plan Re-Assessment   | 08/23/2019       | V1.4    |

# Additional Inputs – Artifacts



| Artifact Name                         | Artifact Date                                       | Version |
|---------------------------------------|---|---------|
| Decision Log                          | 08/7/2019<br>08/21/2019<br>08/28/2019               | N/A     |
| Functional Design Action Item Process | 08/12/2019<br>08/26/2019                            | N/A     |
| BES Risk and Issue Log (Excel)        | 08/7/2019<br>08/21/2019<br>08/28/2019               |         |
| JAD Calendar                          | 08/7/2019<br>08/12/2019<br>08/21/2019<br>08/28/2019 | N/A     |
| BES RFP and Unisys BAFO               |   |         |






## Meetings and/or Sessions Attended/Observed:

- Project Status Meetings x4 (8/7/2019, 8/14/2019, 8/21/2019, 8/28/2019)
- BESSD PMO, IV&V Weekly Meeting x4 (8/7/2019, 8/14/2019, 8/21/2019, 8/28/2019)
- Internal PCG Team Meetings x10 (8/2/2019, 8/5/2019, 8/6/2019, 8/8/2019, 8/12/2019, 8/15/2019, 8/19/2019, 8/22/2019, 8/26/2019, 8/29/2019)
- Monthly Change Control Board x2 (8/7/2019, 8/21/2019)
- Project Schedule Review x4 (8/6/2019, 8/13/2019, 8/20/2019, 8/27/2019)
- Business Roundtable Meeting x2 (8/8/2019, 8/22/2019)
- Monthly Stakeholder IV&V Report Review Meeting (8/7/2019)
- IV&V/Unisys Findings Review (8/21/2019)
- ALM Introduction Meeting (8/13/2019)
- Data Conversion Kickoff Meeting (08/20/2019)
- Administrative Hearings Workgroup Meetings x2 (8/8/2019, 8/21/2019)
- Common Functions Workgroup Meetings x3 (8/13/2019, 8/20/2019, 8/27/2019)
- Interface Workgroup Meeting (8/19/2019)
- CORE JAD x5 (8/20/2019, 8/21/2019, 8/22/2019, 8/27/2019, 8/29/2019)
- Self Service Portal JAD x3 (8/6/2019, 8/7/2019, 8/13/2019)
- Financials Workgroup Meetings (8/14/2019)

# Appendices



# Appendix A – IV&V Criticality Ratings

| Criticality Rating  | Definition   |
|---|--|
|  | <p>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.</p>  |
|  | <p>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.</p>                                 |
|  | <p>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.</p> |

# Appendix B – Findings Log

---



- The complete Findings Log for the BES Project is provided in a separate file.



# 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                     |
| 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



| <b>Acronym</b> | <b>Definition</b>   |
|----------------|---|
| 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



---

| <b>Acronym</b> | <b>Definition</b>                         |
|----------------|---|
| SOA            | Service Oriented Architecture             |
| SOW            | Statement of Work, Scope of Work          |
| VVP            | Software Verification and Validation Plan |
| XLC            | Expedited Life Cycle                      |

# Appendix D – Background Information



## Systems Modernization Project

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

- ESI or Platform Vendor – responsible for the shared technology and services required for multiple Application vendors to implement and support functionality that leverages the DHS Enterprise Platform.
- ASI or ASI Vendor – responsible for the DDI of the Benefits Eligibility Solution (BES Project) enhancing the currently implemented Medicaid E&E Solution (KOLEA) and providing support for the combined Solutions.
- CCWIS Vendor – responsible for the DDI of the CCWIS Solution to meet the needs of child welfare services and adult protective services (CCWIS Project) and providing support for the Solution.

## Systems Modernization IV&V Project

IV&V performs objective assessments of the design, development/configuration and implementation (DDI) of DHS' System Modernization Projects. DHS has identified three high-risk areas where IV&V services are required:

- Transition of M&O from DHS' incumbent vendor to the ESI and ASI vendors
- BES DDI
- CCWIS DDI

On the BES DDI Project, IV&V is responsible for:

- Evaluating efforts performed by the Project (processes, methods, activities) for consistency with federal requirements and industry best practices and standards
- Reviewing or validating the work effort performed and deliverables produced by the ASI vendor as well as that of DHS to ensure alignment with project requirements
- Anticipating project risks, monitoring project issues and risks, and recommending potential risk mitigation strategies and issue resolutions throughout the project's life cycle
- Developing and providing independent project oversight reports to DHS, ASI vendors, State of Hawaii Office of Enterprise Technology Services (ETS) and DHS' Federal partners

# Appendix D – Background Information



## What is Independent Verification and Validation (IV&V)?

- Oversight by an independent third party that assesses the project against industry standards to provide an unbiased view to stakeholders
- The goal of IV&V is to help the State get the solution they want based on requirements and have it built according to best practices
- IV&V helps improve design visibility and traceability and identifies (potential) problems early
- IV&V objectively identifies risks and communicates to project leadership for risk management

## PCG's Eclipse IV&V® Technical Assessment Methodology

- Consists of a 4-part process made up of the following areas:
  1. **Discovery** – Discovery consists of reviewing documentation, work products and deliverables, interviewing project team members, and determining applicable standards, best practices and tools.
  2. **Research and Analysis** – Research and analysis is conducted in order to form an objective opinion.
  3. **Clarification** – Clarification from project team members is sought to ensure agreement and concurrence of facts between the State, the Vendor, and PCG.
  4. **Delivery of Findings** – Findings, observations, and risk assessments are documented in this monthly report and the accompanying Findings and Recommendations log. These documents are then shared with project leadership on both the State and Vendor side for them to consider and take appropriate action on.

## IV&V Assessment Categories for the BES Project

- Project Management
- Requirements Analysis & Management
- System Design
- Configuration and Development
- Integration and Interface Management
- Security and Privacy
- Testing
- OCM and Knowledge Transfer
- Pilot Test Deployment
- Deployment



[www.publicconsultinggroup.com](http://www.publicconsultinggroup.com)

| Identified Date | Category           | Observation  | Significance   | Recommendation   | Event Horizon  | Impact | Probability | Priority | Analyst Priority | Finding Status | Date Retired   | Status Update  | Client Comments | Vendor Comments |
|-----------------|--------------------|--|--|--|----------------|--------|-------------|----------|------------------|----------------|--|--|-----------------|-----------------|
| 8/29/2019       | System Design      | ASI-led JAD sessions are currently divided up into functional areas (Portal, Admin Appeals, Core, Financial, etc.) and have been ongoing since approximately March 2019. Workflow/task JAD's have yet to begin. Currently, when functional area design discussions involve a workflow/task, the discussion is tabled because the ASI has yet to define how the workflow/task will be implemented. The ASI has stated that once the workflow/task functionality is defined, they will go back and update the existing designs to include this functionality.  | Stopping (or putting on hold) design and process flow discussions during JAD's can result in an incomplete understanding of future processes. Uninformed design decisions could lead to significant rework, confusion among SME's and the ASI project team, unproductive analysis discussions, and a poor design. Further, if DHS is asked to sign off on designs that lack clear workflow/task functionality, they could be signing off on a poor or incomplete design.   | - ASI work quickly to define how the workflow/task functionality will work, train BA session leads - introduce SME's to workflow/task functionality and integrate into system designs.   | ASAP           | 4      | 4           | High     | Med              | Open           |  | 09/12/19 SB: The ASI will work with DHS in assessing whether to change the current schedule for these functional areas.  |                 |                 |
| 8/31/2019       | Project Management | While the CCB is the Project forum for logging, tracking, and deciding on CCB items, decisions on outstanding CRs are not always made within the CCB and its members; decisions on several CRs are made at the executive management level as appropriate. At times this leads to limited transparency to the CCB and its associated processes for ensuring the impacts of all planned changes are fully understood. IVV notes that there is at least one documented instance of work being performed and completed prior to the associated CR being signed off and approved.   | Change Management process transparency and consistency is needed to ensure that all project stakeholders are on the same page as to project scope, schedule, cost, and quality.  | IVV recommends that the Change Management process be re-evaluated to ensure complete transparency for all project partners and stakeholders.   | October 2019   | 0      | 0           | N/A      | NA               | Open           |  | 09/12/19 SB: The ASI is working closely with DHS on the CR's that are in flight. When decisions are finalized, the ASI will ensure the status will be provided to project partners and stakeholders.   |                 |                 |
| 8/31/2019       | System Design      | IVV understands that cross-JAD items are discussed in the bi-weekly ASI Roundtable session and that this process is currently being managed by a single individual. However IVV is unaware of a written process for ensuring management coordination of both a 'send' and a 'receive' of JAD items moving from one JAD to another. Variance in execution of this process could lead to missing functionality.  | If the Cross-JAD handoff process is not fully defined, documented, socialized, and uniformly executed, JAD items may 'fall through the cracks' and requirements may be missed. This could potentially lead to uninformed gaps in design, as well as unanticipated rework.  | Due to the importance of an accurate design, IVV recommends that the management process of moving JAD items from one JAD group to another be fully defined, documented, and monitored for effectiveness by the ASI and DHS.  | September 2019 | 3      | 3           | Medium   | Med              | Open           |  | 09/12/19 SB: This process is in place and is reviewed at the standing daily checkpoint meeting, as part of the JAD improvements work sessions, the weekly design sessions and at the roundtables. The ASI will document this process.  |                 |                 |
| 5/28/2019       | Project Management | Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Siebel instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud.   | The current project architecture and design should be as representative and inclusive of all known future solution plans as possible. As an example, if KOLEA and BES are to move to a single instance of Siebel in the future, planning for that integration should be incorporated into the project now. If such significant future changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.  | - DHS request ASI perform due diligence in any recommendation for foundational architecture change decisions. - The project should vet possible architectural change impacts to platform, M and O, MOD, and BES systems before finalizing architectural decisions. - Efforts should be made to increase communication to create an awareness of possible architecture changes so that they can prepare for the possibility of a change. For example, if their 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. | ASAP           | 4      | 5           | High     | High             | Open           | 8/29/19 - Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Siebel instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud. 8/21/19 - ASI has put the projects Architecture Plan deliverable on hold due to uncertainty around key architecture decisions (e.g. LifeRay vs. Adobe portal platform). 7/31/19 - During a 7/30/19 ASI/DHS schedule review meeting, the PMO was surprised to find that some environments they had expected to be in the cloud were scheduled to be created on-premises. In response, DHS logged decision #96 in the project decision log regarding Unisys creating cloud environments, and DHS reimbursing them. IVV is awaiting additional information regarding changes to the currently proposed architectural approach. 6/26/19 - While DHS has indicated architecture changes are currently being discussed, no clear details have been made available to IVV. Until such details are provided, IVV will continue to track this as a preliminary concern.  | 06/11/19 S Brown: The ASI requests clarity on what long term architectural decisions are being referred to.  |                 |                 |
| 5/28/2019       | Project Management | The draft baseline schedule does not include all resource assignments, and most of the lead resources that are added to the schedule are largely overallocated. The RFP and the ASI proposal both require a fully resource-loaded project schedule. - ALL lead project staff are all overallocated through the next 90 days. Overallocation ranges from 6 hrs/day to 136 hrs/day. The ASI has stated that they will only track resource assignments for lead staff, which obscures transparency. - Unknown project staff (Identify Mgmt Lead, Integration Lead, Siebel Dev Lead, OPA Lead, BI Architect, Data Architect, Tech Writer) are ALL overallocated. Overallocation ranges from 24-36 hrs/day - There are over 68,000 hours of work assigned to 'Unisys'. - There are over 19,000 hours of work assigned to 'DHS'. - There are over 7,000 hours of work assigned to 'DHS Technical'. | The project's ability to understand 'which' staff are working on 'what' project tasks is obscured. Such extreme overallocation of resources can result in unplanned schedule delays, and unobtainable task end dates and milestones. This condition in the schedule is an indication that one or more of the following may be occurring: there may not be enough resources to accomplish the planned tasks in accordance with the schedule; tasks may not have been fully decomposed to the appropriate level; resource assignments may not have been fully planned out and/or assigned. | It is recommended that the ASI perform, at a minimum, the following: - Add all project resources to the project schedule. - Assign all project resources in the schedule to as to all current and planned tasks and activities. - Level load for the next 90 days to ensure the accuracy and attainability of the schedule. - If, upon completing the above, resource gaps exist, the project may want need to consider bringing on additional resources as needed to meet the schedule.   | July 2019      | 4      | 2           | Medium   | Med              | Open           | 08/31/2019 - IVV did not observe substantive change in the latest schedule version regarding this risk. Most named resources are still overallocated over the next 90 days as depicted on the Project Plan's Task Resource Sheet. IVV notes that the previously identified positions without named resources that were also overallocated over the next 90 days have had their task allocations dramatically reduced. IVV is unclear on why or how these overallocated resources workload were reduced but will further investigate in September. ** Note - IVV removed the word 'draft' from the finding title as the schedule is no longer in draft status, but the risk remains relevant. IVV maintains this is a medium risk to the project as of the August reporting period. 07/31/2019 - While it is noted that the ASI has started to address this, most named resources are still overallocated over the next 90 days, as depicted on the Project Plan's Task Resource Sheet. Of significance is the fact that there are currently 9 positions without named resources that are also overallocated over the next 90 days. IVV will continue to monitor this risk to verify that staff resourcing within the schedule is accurately depicted. 06/28/2019 - IVV validates that this condition still persists in the latest published version of the schedule (190614). IVV will re-review to determine if this condition persists when an updated schedule is published. IVV notes that DHS and the ASI are collaboratively working to identify an appropriate level of resourcing tasks and activities in the project schedule, and that this finding was included in the DHS Action Plan for the ASI in June 2019. IV&V maintains this is a medium risk to the project as of the June reporting period.   | 06/11/19 S Brown: The ASI will continue to update and level resource allocations.  |                 |                 |
| 5/28/2019       | Project Management | The tasks and activities listed in the project schedule for the next 90 days have not been decomposed to a level to where actual progress can accurately be measured. IVV has become aware that some project leads are using Excel, Trello, or other tools to track task and activity details within their respective areas of responsibility.   | If all tasks and activities are not thoroughly decomposed in a common manner using MS Project, it is highly likely that sub-plans recorded elsewhere will at times not be in sync with and/or congruent with overall project plans. This type of approach often times results in unplanned activity and/or project delays, and hinders the project's ability to sufficiently plan for the appropriate resources to be involved in each task.   | IVV continues to recommend that all tasks and activities are thoroughly decomposed by the individual project leads, and that subsequent details are properly added to the schedule for all current tasks, as well as those commencing within the next 90 days, weekly on a rolling wave basis.   | July 2019      | 3      | 3           | Medium   | Med              | Open           | 08/31/2019 - No substantive update for the August reporting period. Tasks specific to JADs/Workgroups in the next 90 days continue to be updated, added, and/or further decomposed through the 8/23/19 version of the schedule. The Data Conversion schedule has been added to the Project Workplan, and up-to-date status on it is expected in early September. IVV notes that the October Release schedule details are managed in a workplan outside of the Baseline Project Workplan, and that milestones from that offline workplan are provided in the Baseline Project Workplan. ** Note - IVV removed the word 'draft' from the finding title as the schedule is no longer in draft status, but the risk remains relevant. IVV maintains this is a medium risk to the project as of the August reporting period. 07/31/2019 - IVV notes that many tasks (e.g., specific to JADs and Workgroups) in the next 90 days have been updated, added, and/or further decomposed since the last published version of the schedule. IVV acknowledges the positive changes made to the schedule details and will continue to monitor this item over the 90-day period from 7/19/19 through 10/18/19 to verify that the level of detail in the schedule continues to improve. Additionally, IVV notes that all data conversion tasks have been removed and will be replaced by other tasks and activities during August. 06/28/2019 - IVV validates that this condition still persists in the latest published version of the schedule (190614). IVV will re-review to determine if this condition persists when an updated schedule is published. IVV notes that DHS and the ASI are collaboratively working to identify an appropriate level of task details in the project schedule, and that this finding was included in the DHS Action Plan for the ASI in June 2019. | 09/12/19 SB: The ASI and DHS have a weekly meeting to review the schedule in great detail. The ASI and DHS are evaluating options to simplify the schedule and work item tracking process. 06/11/19 S Brown: The ASI agreed to add additional detail once the schedule is baselined, as discussed with the client. |                 |                 |

| Identified Date | Category                      | Observation   | Significance  | Recommendation   | Event Horizon | Impact | Probability | Priority | Analyst Priority | Finding Status | Date Retired | Status Update   | Client Comments   | Vendor Comments  |   |   |
|-----------------|-------------------------------|---|---|--|---------------|--------|-------------|----------|------------------|----------------|--------------|---|---|--|---|---|
| 12/17/2018      | Configuration and Development | Several DHS stakeholders have commented that the SI Design, Development, and Implementation (DDI) approach is unclear. While stakeholders can observe SI activity and have participated in some SI activities, they do not understand how it all fits together and some activity objectives seem unclear. The SI conducted a DDI approach overview session during an initial IAR session, however not all stakeholders were present. IVV did not locate any DDI approach documentation or materials that could be referenced by stakeholders who may have missed to the overview session, by new members of the team, or by other interested parties.   | Lack of stakeholder understanding and buy-in to the SI DDI approach and project activity objectives may reduce the effectiveness of IAR and JAD sessions as well as other BES project activities and decisions.   | PCG recommends one or more of the following to mitigate this risk: • SI provide an additional DDI approach overview session for stakeholders and allow for Q&A • SI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint • SI submit DDI Plan deliverable and make it easily available to all project stakeholders | 1/31/19       | 4      | 3           | High     | Med              | Open           |              | 8/29/19 - The ASI presented their 'big picture' documentation to DHS on 8/23/19, intending to clarify how design documents (UC/FDD/TDD) from various JAD's would come together and effectively address interactions between the different functional areas. However, the documents/presentation did not meet DHS expectations, and additional detail and clarification has been requested by DHS. IVV has opened a related risk (#16) that addresses the risks around the lack of clarity around the process for ensuring cross-JAD Action Items are sent and received by the appropriate analysts. This remains an open project action item for the Unisys team. The impact of this risk is still being determined, however without immediate reconciliation, this could have a significant impact on system design. IVV maintains this is a medium risk as of the August reporting period. 8/21/19 - Action item for Unisys to clarify their approach is now past due as of 8/14/19. 7/31/19 - There is a lack of clarity amongst DHS and IVV regarding Unisys' design approach as it relates to the development of use cases and functional design documents (FDD), and the 'big picture' of how they fit together. As a result, the project logged action item (#473) on 7/10/2019, titled 'DHS wants to know how design Use Cases/ FDDs are being put together for a comprehensive view of this information'. The 7/31/2019 Project status report, slide 7, shows an in-progress activity, 'Work on process to show the big picture'. 6/26/19 - ASI efforts to provide packets/templates and other information before JAD and workgroup sessions has improved understanding of the ASI DDI approach; however, DHS leadership and some participants have stated that pre-read materials are not provided soon enough for them to properly prepare. Examples include- Eligibility JAD 1 Session 2 Agenda - Sent - 6/18, 4pm - Session - 6/19, 9am Eligibility JAD 1 Session 5 Agenda - Sent - 6/25, 6pm - Session - 6/26, 9am Eligibility JAD 1 Session 6 Agenda - Sent - 6/26, 8:30 pm - Session - 6/27, 1pm Common Functions JAD (Agenda: Use Cases; Functional Design) - Sent - 3pm, 6/27 - Session - 8am, 6/28 Common Functions JAD (Agenda: Use Cases; Functional Design) - Sent - 11am, 6/20 - Session - 8am, 6/21 Administrative Hearings Workgroup Agenda - Sent - 8:30pm, 6/26 - Session - 9am, 6/27 Administrative Hearings Workgroup Agenda - Sent - 5pm, 6/27 - Session - 9am, 6/28 Further, some confusion around the ASI's DDI approach continues. For example, during the first Eligibility JAD (6/18/19), DHS SMEs 8/29/19 - Due to security issues related to remote access by the ASI offshore staff, the ASI has created the following cloud environments which DHS will reimburse for: 3 dev, 1 testing, 1 training. A contract amendment for the reimbursement has been drafted and is awaiting approval. The following environments will be on-premise - UAT, staging, production. As the impact of this risk has been realized and accepted by DHS, resulting in drafting a contract amendment, IVV is escalating this to an Issue until the contract amendment is executed. Additionally, the issuance of the contract amendment and the implications it has on DDI, security, and migrating between cloud and on-prem will be tracked separately by IVV. See related findings, #29 and #12. IVV maintains this is a medium risk as of the August 2019 reporting period. 7/29/19 - The project has closed out a similar project risk 'Differing expectations between ASI/ESI' as they feel the differences have been clarified. DHS logged decision #96 in the project decision log stating that in order for Unisys to move forward with offshore development work, they should provision cloud environments and DHS will reimburse them for the work. IVV acknowledges the decision and the agreement between the parties; however, will continue to track this risk until the impacts to project budget and schedule are known. 6/27/19 - Documented environment plans have yet to be shared with IVV. IVV is unaware if ESI responsibilities and contractual obligations upon implementation of the new environment plan have been fully resolved. Until IVV has the opportunity to review this documentation, this remains a medium risk to the project. The ASI has stated that there is no difference between ASI and ESI expectations as the ASI BAFO and contract clearly states 10 environments. 5/31/19 - DHS has indicated that the ASI has provided them with a revised environment plan, however, this revised plan has not been shared with IVV, and nothing was entered into the Decision Log in relation to this topic in May. IVV maintains this is a medium risk as of the May 2019 reporting period. 4/29/19 - The ASI has indicated that their original environment strategy may change, and internal discussions of these changes are ongoing. These changes could significantly impact ESI and ASI responsibilities and ultimately impact the project budget. IVV recommends DHS request the ASI work quickly to solidify and vet this plan with the appropriate stakeholders as well as determine cost and schedule impacts. To date, there is still no resolution between ESI and | 1/7/19: Note. During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Unisys offered to present the orientation during each JAD session. It was suggested by DHS that the pre-JAD packet be placed in the SharePoint project site. For new participants in the JADs, a separate orientation before the JAD should be held for those new participants.  | 06/11/19 5B: The BI 6 DDI Plan Deliverable has been accepted by DHS. The ASI is currently addressing comments on the interactions of BI 10 Functional Design deliverable provided for review to DHS to more clearly align with sections of the approved DDD. | 06/11/19 5 Brown: The ASI disagrees with this finding and associated rating. The DDI plan has been presented to the client in its entirety and the ASI is executing delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the methodology to the client. The ASI is in the process of updating the deliverable based on the DCF comments, with many of them from IV and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments still due to the client this week. Walkthroughs will be scheduled as needed.  | 1/3/19 - Unisys (Bill Thornton) reports that they offered to provide the approach materials in the pre-JAD package and conduct an overview prior to each JAD session, however, DHS has declined this offer. |
| 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. 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. 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 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       | 3      | 3           | Medium   | Med              | Open           |              |   | 1/4/2019, Doug Murdock, CID - ETS: DHS is aware of the environments issue and we are working with Oracle, Unisys and BIAS to find a resolution. BIAS and Unisys have indicated a need for more environments than expected and we have a disagreement about exactly what the contracts require or allow. We had a big meeting at Unisys to discuss the problem and BIAS and Unisys have submitted preliminary solutions. Both solutions involve setting up BES environments on the cloud and they require additional funding. I plan to meet with both next week and I have a meeting with Oracle on Thursday to discuss price of cloud capacity. We recently signed the year 2 extension for BIAS and there is a priced option for them to build the environments. I would also note that Unisys has a deliverable for their environments plan that we have not received yet, so I believe requests for environments without an approved plan is premature. | 09/12/19 5B: The ASI is working closely with DHS as these environments are built out.  | 06/11/19 5 Brown: The ASI has provisioned four Oracle cloud environments to reduce impact to the schedule and project. The ASI has statused progress of these build outs as part of the weekly status report and meeting. The ASI has worked with the ESI to develop and support a POC of fit and shift capability of the existing Kolea environments to the cloud. The client has escalated issues to the ESI in a timely manner. 3/13/19 Bill Thornton, Unisys: -ASI has submitted a proposed solution for the environment issue – not a cost/CR. 2/6/19, Bill Thornton, Unisys: Findings and Recommendations (#13) – Configuration and Development DEV environment –This issue was entered into the risk register on December 5thnot 1/30 as implied in this risk write-up. 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. |   |



| Identified Date | Category                      | Observation  | Significance   | Recommendation  | Event Horizon   | Impact | Probability | Priority | Analyst Priority | Finding Status | Date Retired | Status Update   | Client Comments  | Vendor Comments |
|-----------------|-------------------------------|--|--|---|---|--------|-------------|----------|------------------|----------------|--------------|---|--|-----------------|
| 11/28/2018      | Configuration and Development | The project intends to utilize Adobe as the preferred platform for portal development, instead of LifeRay (which is currently used for the existing KOLEA portal platform), as the BES project web portal solution. Adobe Forms is currently out of scope for the BES portal but is in scope for BES PDF production. This decision represents a change in scope and requires a CR, which is currently in process. ASI has given DHS a Rough Order of Magnitude (ROM) estimate of \$2.8 million for this CR and has also provided a more details PIA. As of the date of this report, the Project is tracking this as a "Top Level Issue". It is unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope swaps. | If DHS executes a change request to implement Adobe as the BES portal solution, there will be a significant impact to the project budget. The ASI has stated that if the portal platform is not decided soon there will be schedule impacts as they need to staff for the appropriate skillset. ASI has also stated they may begin developing a solution in LifeRay until a CR is executed to move to Adobe. | <ul style="list-style-type: none"> <li>DHS request more details from the ASI to better understand the details around such a high cost to move to an Adobe-based BES portal solution.</li> <li>DHS request more details from the ASI to better understand the ASI's urgency to begin portal development now instead of focusing on other areas of design and development.</li> </ul> | Q1 2019   | 4      | 3           | High     | Med              | Open           |              | <p>8/29/19 - There is unclear communication between DHS and ASI regarding the portal. After the project was initiated, DHS informed Unisys that the Department decided to standardize on Adobe Sites and Forms and requested Unisys change its portal development including KOLEA from LifeRay to Adobe. Because the decision was different than Unisys' proposal, Unisys submitted a CR and proposed hours for the change. Due to the high cost, DHS decided to competitively bid the portal work for KOLEA and to turn over the new portal to be used for BES. Later, in discussions between DHS and Unisys, Unisys offered to convert only the KOLEA portal to Adobe to validate the risks identified in the original CR. When a new CR was not prepared, DHS prepared the CR for submittal. The CR was not submitted because the ASI engagement manager indicated other discussions were underway. Unisys now understands DHS' decision is firm on Adobe and is re-evaluating the hours and associated cost of the initial CR. A revised CR is expected in two weeks. In the meantime, DHS has prepared an RFP to convert the KOLEA portal (which will be expanded to accommodate the BES functionalities). IVV maintains this is a Medium severity risk to the project as of the August reporting period, as the portal development timeframe and the project budget is likely to be impacted by the move to Adobe. 8/21/19 - DHS leadership has recently decided the Adobe will be the BES project portal platform, not LifeRay. 7/31/19 - IVV has no update on this finding, but maintains this is a low risk as of the July 2019 reporting period. 6/27/19 - The ASI has reported they are working to update the Adobe change request (CR) that includes migrating the KOLEA portal from LifeRay to Adobe at no additional cost to DHS and will likely seek approval at the next CCB meeting. IVV will continue to monitor this finding until the CR is published and IVV can review. 5/22/19: DHS and ASI negotiation with regard to this change request are ongoing. Various options are being discussed but no decisions have been finalized, and there has been limited communication to the project. IVV is opening two new findings related to this one, focusing on the communication around outstanding change requests (#28), and long-term architecture planning (#29). IVV maintains this is a low risk as of the May 2019 reporting period. 4/29/19 - The ASI has indicated that they may be able to lower the original cost estimate of the move from LifeRay to Adobe. However, no additional details on this CR or PIA are available on the project. 8/31/2019 - IVV has no material update for the August reporting period. There is a lack of visibility regarding the MEET checklists for the initial set of KOLEA functionality planned to be implemented in October 2019. Specifically IVV has not received confirmation via project artifacts that the requirements are managed, tracked and validated through all testing phases in ALM from the requirements validation phase through post implementation. IVV maintains this is a low project risk to the project as of the August 2019 reporting period. 7/31/2019 - The project's Action Item Number 190 was closed and this activity is being reported within the ASI's weekly project status report. The ASI is working on the draft MEET checklists for DHS review. 6/26/2019 - No change; the Project Team logged Action Item Number 190 which documents the action for Unisys to review the MEET Checklists and draft a list of those MEET Criteria that apply and then review with DHS. The action item is in the status of "in progress" with the next step due date of 06/28/2019 for Unisys to provide the date they will be ready to review the MEET Checklist Criteria with DHS. IVV maintains this is a low project risk for the June 2019 reporting period. 5/31/2019 - The Unisys project team is moving forward identifying the MEET requirements that may apply for this project. However, CMS has not provided written guidance regarding the approach or applicability of the MEET requirements for this project. Without clarity from CMS, IVV fully supports Unisys' and DHS' approach to align the project's requirements to the MEET criteria now. This may significantly reduce the resource needs to do this as the project progresses through the SDLC, if CMS does require the use of the MEET Checklists. IVV maintains this is a low project risk for the May 2019 reporting period. 4/30/2019 - CMS indicated to the BES/PMO this month that the MEET Checklists may be optional. IVV will keep this risk open until there is clarity from the BES/PMO regarding the identification of any CMS requirements to secure the funding for the KOLEA Enhancements. The priority of this risk was changed to low in the April 2019 reporting period, based on this information from CMS. 3/31/2019 - As the PPU has not been approved, and the CMS reorganization is still underway, IVV has not update to this risk. 2/28/2019 - DHS reports that CMS is moving to a new organizational structure where one person will handle all APDs (IAPD-U, IAPD-U) for the state. Steven Chano is Hawaii's State Officer. The BBI will be</p> | 09/12/19 SB: Active conversation and assessment of options continues between the ASI and DHS.<br>06/11/19 S Brown: The ASI disagrees with the finding that there is limited communication to the project on this item. It is statused on a weekly basis as part of the status report and meeting, with client agreement on status.<br>03/13/2019 Bill Thornton, Unisys: Clarification has been provided to the composite rate applying to DDI enhancements with the existing technology stack. Adobe is a new technology and the composite rate does not apply. We will update the PIA with effort and the roles utilized. |                 |
| 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 and Technical Requirement Approval. | 5      | 1           | Medium   | Low              | Open           |              |   |  |                 |

| Identified Date | Category           | Observation  | Significance  | Recommendation  | Event Horizon | Impact | Probability | Priority | Analyst Priority | Finding Status | Date Retired | Status Update   | Client Comments   | Vendor Comments |
|-----------------|--------------------|--|---|---|---------------|--------|-------------|----------|------------------|----------------|--------------|---|---|-----------------|
| 11/28/2018      | Project Management | Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Expectation Documents (DED) requiring approval and acceptance from the State. | Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences in scope, schedule, cost, and quality parameters. Without a schedule that provides the required level of detail to manage the work, the project is at risk to be successful. | IVV recommends that the ASI complete the Project Management Plan deliverable, work with DHS and IVV for review and edit as needed, and attain approval of the PMP. This will help ensure that all processes within the project management entity are thoughtfully and collaboratively developed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverables and tasks and delivery thereof; needed mitigation actions along with identification and agreement with DHS on DDI to resolve the late activities and tasks. | TBD           | 4      | 2           | Medium   | Med              | Open           |              | <p>8/31/2019 - IVV continues to monitor schedule progress. The conversion activities and tasks were added to the master schedule, and task status was updated on August 28, 2019. The 90/10 functionality schedule is complete and is being managed separate from the Master Schedule. Additionally, changes may be necessary to the schedule once the FDD/TDD process to include integration points is finalized. Although the ASI reported that some tasks are late in the August 27, 2019 project schedule review meeting, they are not on the critical path. IVV will continue to monitor this finding.</p> <p>07/31/2019 - The number of late tasks in the schedule version (July 26, 2019) has been reduced to four tasks as reported by MS-Project Late Task Report. IVV acknowledges the ASI reviewed the critical path schedule with DHS and IVV this month and the ASI's positive changes to the schedule to include establishing the July 26, 2019 schedule as the baseline. In the schedule review meeting on 7/30/19 the ASI indicated the Conversion and KOLEA 90/10 Functionality schedules will be sub-plans to the Master Schedule, which are currently being updated by the ASI and not yet available for IVV to review. IVV will continue to monitor/review the schedules as they are published by the ASI and update this risk accordingly.</p> <p>6/25/2019 - The Project Schedule (BI-05) dated 06/14/2019, posted to SharePoint on 06/18/2019 has 200 activities/tasks late as reported via the MS-Project Late Task Report. This accounts for eight percent of the total tasks in the schedule. Some of the late activities/tasks are project deliverables, some support the development of deliverables and overall work to be performed. Specific examples of late activities/tasks related to the project deliverables include: Develop MDM Architecture Discussion 1 Test Scenarios/Cases/Scripts/ALM Updates - Planned Finish - 3/29/2019 - zero percent complete Deliver MDM Architecture Requirements FDD to DHS - Planned Finish - 4/5/2019 - zero percent complete Develop BI-21 Updated and Completed Detailed Functional and Technical ITM - Planned Finish - 4/19/2019 - zero percent complete Develop Interoperability/Interfaces Standards Test Scenarios/Cases/Scripts/ALM Updates - Planned Finish - 4/26/2019 - zero percent complete Deliver Interfaces Standards to DHS - Workgroup Session #1 - Planned Finish - 4/26/2019 - zero percent complete Develop STG21 Security Assessment Plan (SAP) - Planned Finish - 5/8/2019 - zero percent complete Develop STG21 Security Assessment Plan (SAP) - Planned Finish - 5/8/2019 - zero percent complete Develop STG21 Security Assessment Plan (SAP) - Planned Finish - 5/8/2019 - zero percent complete</p> | <p>09/12/19 58: The ASI meets weekly with DHS to review the schedule in detail and will continue to do so. As noted earlier, the ASI and DHS are assessing options to simplify the schedule and work item tracking process.</p> <p>6/11/19: The ASI and client are holding daily stand up meetings to review progress made that day, any issues identified and the plan for the following day. These meetings specifically review the schedule and review opportunities for pull in. The ASI and client are also holding weekly standup meetings with the entire team to review progress, issues, and activities coming up the following week with the objective of collaboration and joint ownership of the projects progress and schedule improvement.</p> <p>3/13/19 Bill Thornton, Unisys:<br/>Specific to the PMP, the DED was approved by DHS on 1/15/2019 and the deliverable submitted on 1/21/2019. Specific to the project schedule, the DED was approved by DHS on 1/23/2019 and the deliverable is planned for submission the week of 3/18/2019.</p> <p>2/6/19, Bill Thornton, Unisys: Executive Summary Risks Feedback The project schedule has been baselined but it needs to be re-baselined based on the approval dates of the DED's. Deliverable delays - as deliverables are not supposed to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval. Findings and Recommendations (#2) - Project Management ASI submitted 19 deliverables and DEDs - Clarification - there were 2 deliverables submitted (BI-4 Technical specs for the non-prod environments and BI-4 the PMP) - the rest were DEDs. Deliverable Review process has not been finalized - this is part of the PMP document. Late deliverables - as deliverables are not supposed to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval. 12/6/18, Keith Stock, Unisys:<br/>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.</p> |                 |