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December 17, 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 reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawaii Department of Human Services' Systems Modernization Project.

In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

Sincerely,


Douglas Murdock (Dec 17, 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: November 1 - 30, 2019

Final submitted: December 13, 2019

Overview

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Solutions that Matter









Executive Summary

Executive Summary






At the end of the November reporting period, IV&V received documentation on the proposed "Pivot" to the BES Project. IV&V will review the documentation in the upcoming reporting period, during which time DHS intends to schedule a multi-day working session with its internal and external partners to walk-through the proposed changes prior to executing a contract amendment with the ASI.

IV&V acknowledges that the project is in flux at this time and "Pivot" planning activities are ongoing. **Recognizing that several of our existing findings and recommendations may change as a result of the "Pivot", the practice of providing updates and/or criticality ratings on IV&V findings related to the "Pivot" is being held in abeyance pending our review of the "Pivot" documentation and participation in the multi-day working session.** IV&V will re-assess this reporting approach in December and adjust as required to provide an objective assessment of the project at that time.

Sep	Oct	Nov	Category	IV&V Observations
		N/R	Project Management	IV&V has determined that 4 out of 6 findings in the project management category are likely to be significantly impacted by the "Pivot". The remaining two findings are specific to CMS' Project Partnership Understanding (for which IV&V has no material update), and insufficient ASI communications.
		N/R	Configuration and Development	Of the two IV&V findings in the Configuration and Development category, one is likely to be impacted by the "Pivot". The remaining finding is related to DHS releasing an RFP to acquire a preferred platform for portal development, for which IV&V does not have an update during this reporting period.
		N/R	System Design	The lone active finding in this category is likely to be directly impacted by the "Pivot". IV&V will provide updates on the active finding in this category in upcoming reporting periods as appropriate.

Executive Summary (cont.)



Sep	Oct	Nov	Category	IV&V Observations
		N/R	Deployment	IV&V has suspended the Assessment Category rating for the November reporting period while the project continues to make plans for the "Pivot". IV&V acknowledges that the ASI is working to address challenges with the project's release and deployment practices and will continue to track release and deployment progress in December.
--		N/R	Requirements Analysis & Management	IV&V has suspended the Assessment Category rating for the November reporting while the project continues to make plans for the "Pivot". IV&V met with the ASI in November to discuss concerns regarding partially met requirements and has offered to advise the project on improving the current approach to tracking and documenting partially met requirements.
N/R = No criticality rating provided				



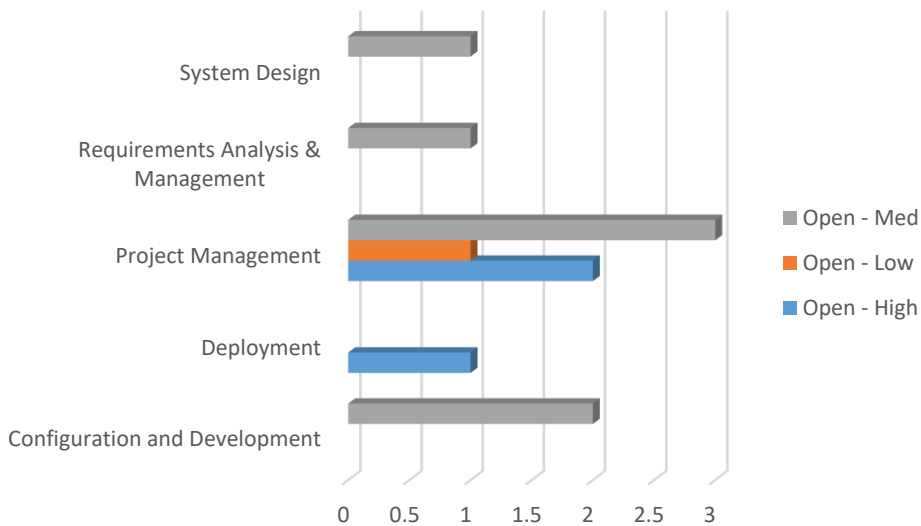
IV&V Findings and Recommendations

IV&V Findings and Recommendations

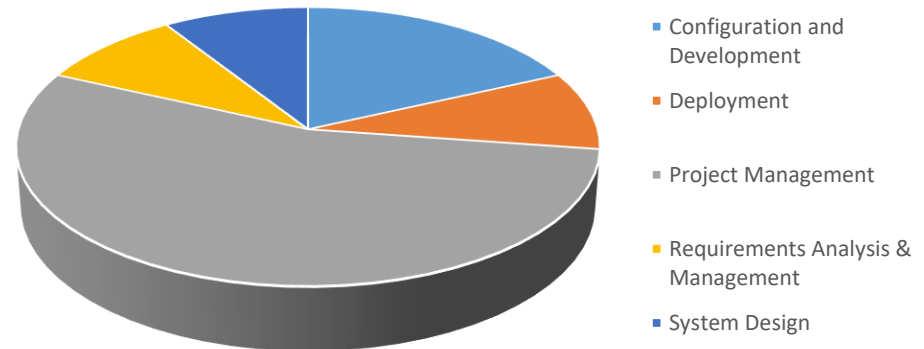


As of the November 2019 reporting period, PCG is tracking 11 open findings (6 risks and 5 issues) and has retired 28 findings and concerns. Of the 11 open findings, 6 are related to Project Management, 2 are related to Configuration and Development, and 1 each in System Design, Deployment, and Requirements Analysis & Management. IV&V did not open any new findings but retired 1 concern during the November reporting period. The following figures provide a breakdown of our open risks and issues by priority and category.

Open Risks and Issues



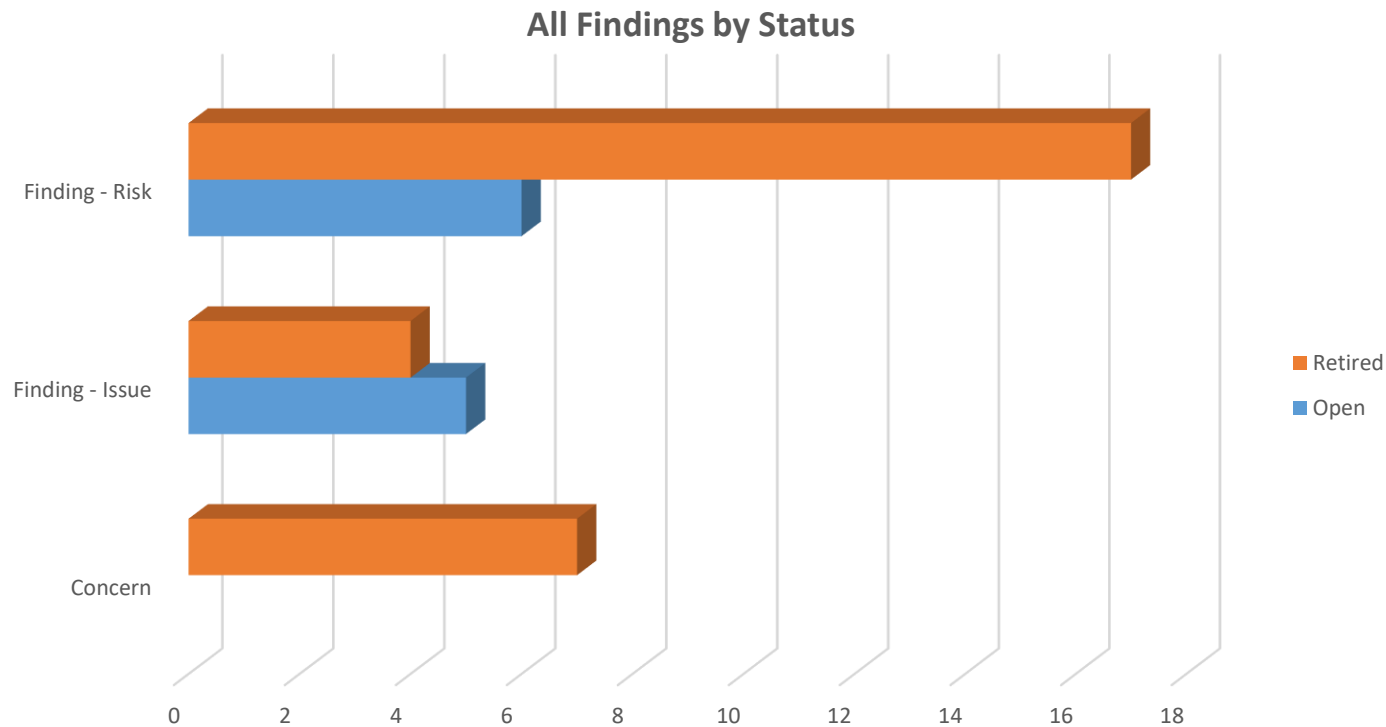
Open Risks and Issues by Category



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



Findings Opened During the Reporting Period

#	Finding	Category
	No findings were opened in the November 2019 reporting period.	

IV&V Findings and Recommendations



Findings Retired During the Reporting Period

#	Finding	Category
	No findings were retired during the November 2019 reporting period.	

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
37	<i>Retired</i> - 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



Project Management


#	Key Findings	Criticality Rating
2	Issue – Late Delivery of project deliverables may result in schedule delays. At the end of the November 2019 reporting period, IV&V received supporting documentation on the proposed “Pivot” solution. Based on that information, IVV has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the “Pivot” solution with the project. IVV will reassess this finding during the December 2019 reporting period.	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of “Pivot” documentation and will update recommendations for this finding as appropriate.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
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. IVV has no material update for the November 2019 reporting period but will continue to discuss and follow up with DHS. IVV maintains this is a low criticality risk to the project as of the November reporting period.	

Recommendations	Progress
<ul style="list-style-type: none">Continue dialogue with CMS regarding the project's approach to the PPU, IAPDU, and confirm that the MEELC requirements as related to this project.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
26	<p>Risk – Due to the lack of detail in the baseline schedule, unanticipated schedule delays may occur. At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed “Pivot” solution. Based on that information, IVV has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the “Pivot” solution with the project.</p> <p>IVV will reassess this finding during the December 2019 reporting period.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of “Pivot” documentation and will update recommendations for this finding as appropriate.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
27	<p>Risk - The baseline schedule lacks proper resource loading which could result in unanticipated schedule delays. At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed “Pivot” solution. Based on that information, IVV has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the “Pivot” solution with the project.</p> <p>IVV will reassess this finding during the December 2019 reporting period.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of “Pivot” documentation and will update recommendations for this finding as appropriate.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
29	<p>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.</p> <p>At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed “Pivot” solution. Based on that information, IVV has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the “Pivot” solution with the project.</p> <p>IVV will reassess this finding during the December 2019 reporting period.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of “Pivot” documentation and will update recommendations for this finding as appropriate.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
42	<p>Risk - Insufficient ASI communication with DHS regarding key (urgent/time sensitive) project information could lead to project delays and disrupt DHS operations. The ASI has stated that updates to the project's Communication Plan are likely to be made in an effort to respond to recent communication gaps with DHS, which includes developing a list of appropriate stakeholders to be notified when changes occur.</p> <p>IVV is encouraged by this, however, is not aware of these changes having been made yet. Due to this, IVV maintains this is a medium criticality risk to the project as of the November reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule.	In process
<ul style="list-style-type: none">ASI establish a single communications channel to manage all ASI to DHS communications and ensure regular communication to DHS.	In process
<ul style="list-style-type: none">Update project communications plan with enhanced communication processes.	In process

IV&V Findings and Recommendations



Configuration and Development

#	Key Findings	Criticality Rating
12	Issue – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. IVV has no update on the status of the DHS Portal RFP for the November Reporting period but will continue to monitor in December. IVV maintains this is a medium criticality risk to the project as of the November reporting period.	

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

IV&V Findings and Recommendations



Configuration and Development

#	Key Findings	Criticality Rating
16	<p>Issue – Lack of clear understanding of DDI approach may reduce effectiveness of JARs and JADs. At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed “Pivot” solution. Based on that information, IVV has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the “Pivot” solution with the project.</p> <p>IVV will reassess this finding during the December 2019 reporting period.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of “Pivot” documentation and will update recommendations for this finding as appropriate.	In process

IV&V Findings and Recommendations



System Design


#	Key Findings	Criticality Rating
38	<p>Risk – Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessions, the project could be faced with significant design rework, which may result in schedule delays, and impact the quality of solution design. At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed “Pivot” solution. Based on that information, IVV has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the “Pivot” solution with the project.</p> <p>IVV will reassess this finding during the December 2019 reporting period.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of “Pivot” documentation and will update recommendations for this finding as appropriate.	In process

IV&V Findings and Recommendations



Deployment

#	Key Findings	Criticality Rating
40	<p>Issue - Due to inadequate Release Management practices the project may experience delayed or failed releases and/or poor release quality. No substantive changes to DDI release management were observed by IVV during November. IVV acknowledges that the ASI is making progress on its second KOLEA M&O release, which is currently planned for implementation in January 2020.</p> <p>IVV maintains this is a high criticality risk to the project as of the November reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Assign a Release Manager to manage all details of planned releases.	Complete
<ul style="list-style-type: none">Develop a Release Plan document for each release, that provides details of the planned release and all associated configuration items, clear assignments for all staff involved in all tasks, a schedule for completion of all tasks and activities, planned release status communications, and back out procedures should they be necessary.	In process

IV&V Findings and Recommendations



Requirements Analysis & Management

#	Key Findings	Criticality Rating
41	<p>Risk - Due to a lack of clarity regarding “Partially Met” requirements in design artifacts, full traceability of requirements may be hampered, and all requirements may not be fully met. During an ad hoc meeting with IVV on 11/19/2019, the ASI indicated that all requirements will be broken down into singular, traceable, and testable requirements, in an effort to eliminate concerns about partially met requirements. However, the status of this effort is currently unknown, and design artifacts presented to DHS to date (e.g., BI-10 Iteration 1 and Iteration 2) still list partially met requirements that do not adequately state what portions of requirements are met, what portions of requirements are not met, and moreover, where they will be met.</p> <p>The ASI has also stated that Controlled Correspondence will be used to document requirements changes; DHS’ acceptance of this approach is unknown to IVV. IVV has offered to continue to work with ASI and DHS on this matter as requested.</p> <p>IVV maintains this is a medium criticality risk to the project as of the November reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Determine a requirements management and design artifact that provides full accountability of where every component of a requirement that is listed as 'Partially Met' is satisfied, ensuring that each requirement is Fully Met and can be validated as such.	In process



IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Sep	Oct	Nov	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final October IV&V Monthly Status Report.
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is on hold until IV&V and DHS determine the appropriate time to submit the report.
CMS Milestone Reviews				The first CMS Milestone Review date has not yet been determined.
IV&V Staffing				
IV&V Scope				

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



- IV&V activities in November reporting period:
 - Completed – October Monthly Status Report
 - Submitted – BI-14 TDD Iteration 1 - Oct 2019 Release, BI-10 FSD Iteration 1, BI-16 Data Conversion Plan Deliverable, BI-20 MDM Test Scenarios, Test Cases, and Test Scripts, BI-14 TDD Iteration 1 - Oct 2019 Release, BI-11 ICD Iteration 1 - Oct 2019
 - 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 December reporting period:
 - 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
 - Review project “Pivot” solution documentation

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-02 Project Status Report Deliverable	Weekly	N/A
BI-05 Project Schedule Deliverable –Baseline	191101 191108 191115 191122	N/A
BI-10 Functional and System Design Document Iteration 1 Resubmittal	11/05/2019	V1.2
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM01a Client Search Use Case	11/05/2019	V1.6
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM01a Client Search FDD	11/05/2019	V1.6
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM01b Create or Update Client Use Case	11/05/2019	V1.7
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM01b Create or Update Client FDD	11/05/2019	V1.7
BI-10 10 Functional and System Design Document Iteration 1 DM02 Get Cross Reference ID's Use Case	11/05/2019	V1.0
BI-10 10 Functional and System Design Document Iteration 1 DM02 Get Cross Reference ID's FDD	11/05/2019	V1.0
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM03 Cleanse Client Address Use Case	11/05/2019	V1.7
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM03 Cleanse Client Address FDD	11/05/2019	V1.7
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM06 Manage Master Person Index Use Case	11/05/2019	V1.6

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-10 Functional and System Design Document Iteration 1 Resubmittal DM06 Manage Master Person Index FDD	11/05/2019	V1.6
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF01a Automatically Schedule an Appointment Use Case	11/18/2019	V1.1
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF01a Automatically Schedule an Appointment FDD	11/18/2019	V1.4
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF01b Manually Schedule an Appointment Use Case	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF01b Manually Schedule an Appointment Use Case	11/18/2019	V1.5
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF02 View Appointments Use Case	11/18/2019	V1.1
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF02 View Appointments FDD	11/18/2019	V1.4
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF03 Manage Appointment Schedules Use Case	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal CF03 Manage Appointment Schedules FDD	11/18/2019	V1.5
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR02 SNAP Eligibility PL	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR03 Expedited SNAP PL	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR04 SNAP Household Composition PL	11/18/2019	V1.1

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR05 SNAP Household Income PL	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR06 SNAP Resources PL	11/18/2019	V1.4
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR07 SNAP Work Requirements PL	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR08 SNAP Expenses and Deductions PL	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR09 SNAP Application Processing PL	11/18/2019	V1.3
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR10 SNAP Change Reporting PL	11/18/2019	V1.0
BI-10 Functional and System Design Document Iteration 2 Resubmittal PR11 SNAP Benefit Amount PL	11/18/2019	V1.2
BI-11 Data Integration and Interface Control Document Iteration 1 Resubmittal	11/13/2019	V1.7
BI-11 Data Integration and Interface Control Document Iteration 1 Resubmittal IF02 HAWI – MDM Batch Use Case	11/14/2019	V1.9
BI-11 Data Integration and Interface Control Document Iteration 1 Resubmittal IF03_KOLEA – MDM Real-Time Use Case	11/13/2019	V1.6
BI-16 Data Conversion Plan Resubmittal	11/01/2019	V1.6
BI-20 MDM Test Scenarios, Test Cases, Test Scripts Resubmittal	10/23/2019	V1.3

Additional Inputs – Artifacts



Deliverable Name	Deliverable Date	Version
Pivot Communications Documents		
Pivot Details and Planning Documents		
Decision Log	11/6/2019 11/13/2019 11/20/2019	N/A
Functional Design Action Item Process	11/7/2019 11/21/2019	N/A
BES Risk and Issue Log (Excel)	11/6/2019 11/13/2019 11/20/2019	
JAD Calendar	11/4/2019 11/11/2019 11/18/2019 11/25/2019	N/A
BES RFP and Unisys BAFO	11/5/2019 11/14/2019	



Meetings and/or Sessions Attended/Observed:




- Project Status Meetings x3 (11/06/2019, 11/13/2019, 11/20/2019)
- BESSD PMO, IV&V Weekly Meeting x3 (11/06/2019, 11/13/2019, 11/20/2019)
- PCG Internal Meeting x9 (11/04/2019, 11/05/2019, 11/11/2019, 11/13/2019, 11/14/2019, 11/14/2019, 11/18/2019, 11/25/2019, 11/27/2019)
- Change Control Board Meeting x2 (11/06/2019, 11/20/2019)
- Project Schedule Review Meeting (11/05/2019)
- Monthly Stakeholder IV&V Report Review Meeting (11/12/2019)
- Data Conversion Meeting (11/04/2019)
- Self Service Portal JAD (11/05/2019)
- CORE JAD x3 (11/12/2019, 11/19/2019, 11/20/2019)
- BI-20 Test Scripts, Test Scenarios, Test Cases Review Meeting (11/05/2019)
- Partially Met Requirements Meeting (11/19/2019)
- Monthly Findings Review with Unisys (11/20/2019)
- BI-10 / BI-12 Design and Architecture/Big Picture Review Meeting (11/22/2019)



Appendices



Appendix A – IV&V Criticality Ratings

Criticality Rating	Definition
	A high rating is assigned if there is a possibility of substantial impact to product quality, scope, cost, or schedule. A major disruption is likely, and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately.
	A medium rating is assigned if there is a possibility of moderate impact to product quality, scope, cost, or schedule. Some disruption is likely, and a different approach may be required. Mitigation strategies should be evaluated and implemented as soon as feasible.
	A low rating is assigned if there is a possibility of slight impact to product quality, scope, cost, or schedule. Minimal disruption is likely, and some oversight is most likely needed to ensure that the risk remains low. Mitigation strategies should be considered for implementation when possible.

Appendix B – Findings Log



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

Appendix C – Acronyms and Glossary



Acronym	Definition
APD	Advance Planning Document
ASI	Application System Integrator
BES	Benefits Eligibility Solution
CCWIS	Comprehensive Child Welfare Information System
CM	Configuration Management
CMMI	Capability Maturity Model Integration
CMS	Center for Medicare and Medicaid Services
CR	Change Request
DDI	Design, Development and Implementation
DED	Deliverable Expectation Document
DHS	Hawaii Department of Human Services
DLV	Deliverable
E&E	Eligibility and Enrollment
EA	Enterprise Architecture
ECM	Enterprise Content Management (FileNet and DataCap)
ESI	Enterprise System Integrator (Platform Vendor)
ETS	State of Hawaii Office of Enterprise Technology Services
FIPS	Federal Information Processing Standard
HIPAA	Health Information Portability and Accountability Act of 1996
IDM	Identity and Access Management (from KOLEA to State Hub)
IEEE	Institute of Electrical and Electronics Engineers
IES	Integrated Eligibility Solution
ITIL	Information Technology Infrastructure Library



Appendix C – Acronyms and Glossary

Acronym	Definition
IV&V	Independent Verification and Validation
KOLEA	Kauhale On-Line Eligibility Assistance
M&O	Maintenance & Operations
MEELC	Medicaid Eligibility and Enrollment Life Cycle
MEET	Medicaid Eligibility and Enrollment Toolkit
MOU	Memorandum of Understanding
MQD	Hawaii Department of Human Services MedQuest Division
NIST	National Institute of Standards and Technology
OE	Operating Environment
OIT	Department of Human Services Office of Information Technology
PIP	Performance/Process Improvement Plan
PMBOK®	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project/Program Management Office
PMP	Project Management Plan
QA	Quality Assurance
QM	Quality Management
RFP	Request for Proposal
ROM	Rough Order of Magnitude
RMP	Requirements Management Plan
RTM	Requirements Traceability Matrix
SEI	Software Engineering Institute
SLA	Service-Level Agreement
SME	Subject Matter Expert

Appendix C – Acronyms and Glossary



Acronym	Definition
SOA	Service Oriented Architecture
SOW	Statement of Work, Scope of Work
VVP	Software Verification and Validation Plan
XLC	Expedited Life Cycle

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

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



Solutions that Matter

Finding Number	Title	Owner	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analysis Priority	Finding Status	Date Resolved	Status Update	Client Comments	Vendor Comments
26	Due to the lack of detail in the baseline schedule, unanticipated delays may occur	Danm	Finding - Risk	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. IVF has become aware that some project tasks are using Lead, Trail, or other factors 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 required elsewhere will fit times not be in sync with and/or congruent with overall project plans. This type of approach often results in unplanned activity and/or project delays, and reduces the project's ability to sufficiently plan for the appropriate resources to be involved in each task.	IVF continues to recommend that all tasks and activities are thoroughly decomposed by the individual project teams, 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 work basis.	July 2019	3	3	N/A	Open		11/30/2019 - At the end of the November 2019 reporting period, IVF received supporting documentation on the proposed "ThreeT" solution. Based on that information, IVF has decided to retain this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the "ThreeT" solution with the project. IVF will reassess this finding during the December 2019 reporting period. 10/13/2019 - IVF did not observe substantive change in task decomposition in the schedule through v1020219 during the October reporting period. IVF notes that initial details for Iteration 4 components were added to the project schedule during October. It remains unknown how many iterations are planned or expected. Work efforts across teams for all subsequent iterations are not represented in the current project schedule. IVF maintains the level of detail in the schedule is inadequate to sufficiently plan the activities and resource commitment over the next 90 days and as such, continues to rate this as a medium criticality risk as of the October reporting period. 09/30/2019 - IVF did not observe substantive change in task decomposition in the schedule through version 2020219. IVF notes that Iteration 3 was added to the project schedule during September. It remains unknown how many iterations are planned or expected. Work efforts across teams for all subsequent iterations is not represented in the current project schedule. 08/31/2019 - No substantive updates for the August reporting period. Tasks specific to iAdxWorkgroup in the next 90 days continue to be updated, however, and/or further decomposed through the 90/219/2019 iteration. The next 90 days status on 1 is expected to vary in September. IVF notes that the Iteration Release schedule details are managed in a workflow that is separate from the Baseline Project Workgroup, and that information from the October Release workflow are provided in the Baseline Project Workgroup. ** Note: IVF removed the word "Shift" from the finding title as the schedule is no longer in shift status, but the risk remains relevant. IVF maintains this is a medium risk to the project as of the August reporting period. 07/31/2019 - IVF notes that many tasks (e.g., specific to iAdx and Workgroup) in the next 90 days have been updated, added, and/or further decomposed since the last published version of the schedule. IVF acknowledges the positive change made to the schedule details and will continue to monitor this item over the 90-day period from 7/25/19 through 10/24/19 to verify that the level of detail in the schedule continues to improve. Additionally, IVF notes that all data conversion tasks have been removed and will be replaced by other tasks and activities during August. 06/28/2019 - IVF maintains that this condition still persists in the latest published version of the schedule (200519). IVF will re-assess to determine if this condition persists when an updated schedule is published. IVF notes that DHS and the ASO are collaboratively working to identify an appropriate level of task details in the project schedule, and that this finding was included in the 7/25/2019 update to the work plan for November 2019.	10/10/2019: The ASO did meet with IV and V after the Monthly review call for the September report and did walk through numerous updates. The ASO requests the IV and V to update this finding based on the latest review.	08/12/2019: The ASO and DHS have a weekly meeting to review the schedule in great detail. The ASO and DHS are evaluating options to simplify the schedule and work item tracking process. 06/13/2019: The ASO did not agree to add additional detail once the schedule is baseline'd, and discussed with the client.
16	Lack of clear understanding of S-DDO approach may reduce effectiveness of JAH and iAdx	mfrs	Finding - Issue	11/27/2018	Configuration and Development	Several DHS stakeholders have commented that the S-DDO Design, Development, and Implementation (DDOI) approach is unclear. While stakeholders can observe Sx activity and have participated in some Sx activities, they do not understand how it all fits together and some activity objectives seem unclear. The S-DDO conducted a QAD approach overview session during an initial JAH session, however not all stakeholders were present. IVF did not locate any QAD approach documentation or materials that could be referenced by stakeholders who may have missed to the overview sessions by new members of the team, or by other interested parties.	Lack of stakeholder understanding and buy-in to the S-DDO approach and project activity objectives may reduce the effectiveness of JAH and iAdx sessions as well as other BES project activities and decisions.	PCS recommends one or more of the following to mitigate this risk: • SI provide an additional QAD approach overview session for stakeholders and allow for QAD a SI provide QAD approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint • Submit QAD Plan deliverable and make it easily available to all project stakeholders	1/17/2019	4	3	N/A	Open	1/7/19: Note: During the 01-02-18 JAH data meeting, DHS did not decline the offer and made suggestions. For your understanding, Unisys offered to present the orientation during each JAH session. It was suggested by DHS that the pre-JAD packet be placed in the SharePoint project site. For new participants in the JAH, a separate orientation before the JAD should be held for these new participants.	06/12/19: Note: The S-DDO Plan Deliverable has been accepted by DHS. The ASO is currently addressing comments on the iterations of B-DDO functional Design deliverable provided for review to DHS to more clearly align with sections of the approved SDD.	06/12/19: SDDown: The ASO diagrams with this finding and associated notes. The DDO plan has been presented to the client in its entirety and the ASO is awaiting delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the methodology to the client. The ASO is in the process of updating the deliverable based on the DDO comments, with many from them 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.	
12	Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. (Likely by IVF/Adx)	mfrs	Finding - Issue	11/28/2018	Configuration and Development	The project intends to utilize Adobe as the preferred platform for portal development, instead of iAdx (which is currently used for the existing KOLSA 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. ASO has given DHS a Request Order of Magnitude (ROM) estimate of \$2.8 million for the CR and this also provided a more detailed PM. As of the date of this report, the Project is tracking this as a "Top level item." It is unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope creep.	If DSO executes a change request to implement Adobe as the BES portal solution, there will be a significant impact to the project budget. The ASO stated that if the portal platform is not decided soon there will be schedule impacts as they need to staff for the appropriate talent. ASO has also stated they may begin developing a solution in iAdx until a CR is executed to move to Adobe.	• DHS request more details from the ASO to better understand the details around such a high cost to move to an Adobe based BES portal solution. • DHS request more details from the ASO to better understand the ASO's urgency to begin portal development now instead of focusing on other areas of design and development.	01/2019	4	3	Med	Open	10/12/2019: Active conversation and assessment of options continues between the ASO and DHS.	06/12/19: SDDown: The ASO diagrams with the finding that there is limited communication to the project on this item. It is related on a weekly basis as the PM with effort and the roles utilized.	03/13/2019 Bill Thornton, Unisys: Clarification: Has been provided to the composite reply applying to DDO enhancements with the existing technology stack. Adobe is a new technology and the composite reply does not apply. We will update the PM with effort and the roles utilized.	
5	The Project Partnership Understanding (PPU) for the BES Project has not been approved by CHS, which may impact the project schedule and funding.	Jahm	Finding - Risk	11/26/2018	Project Management	The CHS Project Partnership Understanding (PPU) is not finalized between the State and CHS for this project. If funding is requested from CHS, they may require alignment to the MTA Framework, Data Review and/or use of the Medicaid Eligibility and Enrollment Toolkit (MEET) Checklist. The MEET Checklist are developed prior to the CHS data review and are part of the Medicaid Eligibility and Enrollment Risk Cycle (MEERC) that defines the CHS 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 project's Federal funding may be at risk.	The State and CHS complete the PPU and the project incorporate all Federal functional and process requirements into the appropriate project deliverables.	Prior to Functional and Technical Requirements Approval.	5	1	Low	Open	11/26/2018 - IVF has 10 material updates for the November 2019 reporting period but will continue to discuss and follow up with DHS. IVF maintains this is a low criticality risk to the project as of the November reporting period. 10/15/2019 - IVF has no material update for the October reporting period. IVF maintains this is a low criticality risk to the project as of the October reporting period. 9/30/2019 - IVF has no material update for the September reporting period, however IVF did continue to work with the project to understand iAdx and the next forward. 8/31/2019 - IVF has no material update for the August reporting period. There is a lack of visibility regarding the MEET Checklist for the initial set of KOLSA functionality planned to be implemented in October 2019. Specifically IVF has not received confirmation via project artifacts that the requirements are managed, tracked and validated through all testing phases in iAdx from the requirements validation phase through post implementation confirmation. IVF 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 180 was closed and the activity is being reported within the ASO's weekly project status report. The ASO is working on the draft MEET Checklist for DHS review. 6/26/2019 - No change, the Project Team tagged Action Item Number 180 which documents the action for Unisys to review the MEET Checklist and draft a list of those MEET Checklist that apply and then review with DHS. The action item is in the status of "In progress" with the next due date of 06/26/2019 for Unisys to provide the data they will be ready to review the MEET Checklist criteria with DHS. IVF maintains this is a low project risk for the June 2019 reporting period. 5/31/2019 - The Unisys project team is moving forward developing the MEET requirements that may apply for this project. However, CHS has not provided written guidance regarding the appropriate application of the MEET requirements for this project. Without clarity from CHS, IVF fully supports Unisys' and DHS' approach to align the project's requirements to the MEET criteria now. This may significantly reduce the resource needed to do this as the project progresses through the SDD. If CHS does require the use of the MEET Checklist, IVF maintains this is a low project risk for the May 2019 reporting period. 4/30/2019 - CHS indicated to the BESPMO this month that the MEET Checklist may be optional. IVF will keep the risk open until there is clarity from the BESPMO regarding the identification of any CHS requirements to occur the funding for the KOLSA Enhancements. The priority of this risk was changed to low in the April 2019 reporting period, based on this information from CHS. 3/21/2019 - As the PPU has not been approved, and the CHS negotiation is still underway, iAdx has not update to the risk. 2/16/2019 - DHS reports that CHS is moving to a new organizational structure where one person will handle all APAs (APAL-L, APAL-U) for the state. Steven Chang is iAdx's State Officer. The PPU will be transferred to Steven Chang for disposition. The risk remains a high priority pending CHS approval. 1/18/2019: CHS completed a 3/3/18/2019 - CHS December 13, 2018, the ASO submitted this:			

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2	Late delivery of project deliverables may result in schedule delays.	Johane	Finding - Issue	11/26/2018	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 unforeseen 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 promises within the project management entity are thoughtfully and collaboratively developed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverable and tasks and delivery thereof, needed mitigation actions along with identification and agreement with DHS on SDI to resolve the late activities and tasks. Updated Recommendation 10/10/2019 - Continue to manage and track the schedule to ensure deliverables are provided as planned. Review the schedule critical path in its weekly schedule review meeting. Continue to meet weekly with DHS to convey new schedule changes, delays, and document the corrective actions that will be taken to address schedule delays and schedule resolution. Determine if the targeted work on TDDs will impact the schedule, and update accordingly. Determine if work on TDDs will impact the schedule, and update accordingly. Analyze the project schedule activities to identify any opportunities to make up time resulting from the current delayed activities. Develop a process for determining what functionality will be delivered as part of an iteration, determine how many iterations there will be, and update the schedule accordingly.	TBD	4	5	N/A	Open	11/26/2019 - At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed "Pilot" solution. Based on that information, IVV has decided to restate this finding as active but suspend any updates or ratings until the team is able to thoroughly review the materials and discuss the details of the "Pilot" solution with the project. IVV will reissue this finding during the December 2019 reporting period. 10/10/2019 - IVV observed the following in October related to this issue: - The ASI wrote boarded the "Big Picture" and agreed to document the process - planned to be completed by the end of October 2019 (action item #894). This will support the development of the B-10, B-11, and B-14 deliverables. - On 10/21/2019 the DHS PMO and ASI agreed to plan the weekly schedule review meeting on hold pending project decisions. These decisions may impact ASI deliverables which could impact the schedule. The ASI continues to update and publish the schedule each week. - The ASI and DHS PMO agreed to move forward developing a release management plan and schedule until the pending project decisions are made and communicated to the team - IVV agrees this is a good use of the project team's time as it will increase visibility into release activities and timing. - The ASI has not related work on the TDDs and has not yet delivered the MDM-specific content for the B-12 architecture deliverable. The ASI reported DHS was "stale" with the B-12 framework reviewed with them on 10/30/2019. - The KOLA MDM Release is being re-planned; a new implementation date is unknown at this time. The re-planning is in part a result of unapproved documentation such as B-10, B-11, B-14, B-16, B-20, and B-21. - The BES Unit start date was further delayed (four weeks in total) and is now planned to begin on 1/2/2020. Based on these observations, IVV maintains this is a high critically issue the project as of the October reporting period. - 10/30/2019: As of the September reporting period, IVV has escalated this risk to an issue, with a high criticality rating. The ASI reported two significant project delays this month. The KOLA MDM implementation planned for October 2019 is now delayed to November/December 2019. The delay on some of the ASD / Workgroup sessions, coupled with the ASI reporting that they have stepped work on most of the TDDs, has delayed the UAT start date for the BES implementation by three weeks. The total impact is still being analyzed by the ASI. The ASI also reported the formal of the Functional and Technical Design Document Deliverables have been modified to align to the approved DEDs, of which some have already been submitted to DHS in the prior format and will cause rework for previously submitted TDDs and TDDs. Additionally, the B-12 Architecture document is not being pending DHS/ASI project decisions. Further, the schedule is not updated with the detail to plan when the approximately 1,000 functional and technical design components will be submitted to DHS for review. The ASI also reported the Functional and Technical Design documents will be packaged for DHS review based on those that are ready to review vs. by functional area. It is unclear to IVV if these deliverables will be submitted as is, Review their schedule to understand the impact of this and the need	10/10/2019 SB: The ASI is working in close collaboration with DHS on the schedule and are assessing options to the project schedule and content and would ask the IV and V to reflect DHS's current assessment of this issue. 09/12/19 SB: The ASI meets weekly with DHS to review the schedule in detail and will continue to do so. As noted earlier, the ASI and DHS are assessing options to simplify the schedule and work from tracking process. 6/12/18: 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 for the following week with the objective of collaboration and joint ownership of the projects progress and schedule improvement. 3/12/19 BES Thomas, Linney: Specific to the PMP, the DED was approved by DHS on 1/21/2019 and the deliverable submitted on 1/21/2019. Specific to the project schedule, the DED was approved by DHS on 1/21/2019 and the deliverable is planned for submission the week of 3/18/2019. 2/6/19: BES Thomas, Linney: Executive Summary Rollout Feedback: The project schedule has been finalized but it needs to be re-finalized based on the approved dates of the DEDs. Deliverable delays - as deliverables are not supported - be started until the DED is approved, the deliverables are not delayed, they need to be re-finalized based on the DED approval. Findings and Recommendations (R2) - Project Management - ASI submitted 19 deliverables and DEDs - Clarification - there were 2 deliverables submitted (B-8 Technical specs for the non-prod environments and B-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 supported - to be started until the DED is approved, the deliverables are not delayed, they need to be re-finalized based on the DED approval. 1/26/19, Keith Stock, Linney: 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.		