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January 21, 2020

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 (Jan 21, 2020)

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: December 1 - 31, 2019

Final submitted: January 15, 2020

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
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Solutions that Matter






Executive Summary

Executive Summary





In the December reporting period, IV&V reviewed high-level planning documentation for the BES Optimization and attended two project-wide meetings announcing the BES Optimization goals. IV&V has been told the BES Optimization will be cost-neutral to the BES contract, although details have yet to be provided for IV&V review.

*As of this report, discussions between DHS and Unisys to clarify the BES Optimization (i.e., scope, architecture, hardware/software, resourcing, and schedule) were ongoing. Similar to IV&V's November report, respecting and recognizing that **several of our existing findings and recommendations may change as a result of the BES Optimization, the practice of providing updates and/or criticality ratings on IV&V findings related to the BES Optimization effort continues to be on hold pending our review of BES Optimization detailed documentation and participation in the multi-day, project-wide working session.** IV&V will re-assess this reporting approach in January 2020 and adjust as required to provide an objective assessment of the project at that time.*

Oct	Nov	Dec	Category	IV&V Observations
	N/R	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 BES Optimization. The remaining two findings that IV&V has updated for the December report are specific to the BES Project Partnership Understanding (PPU) having not been approved by CMS, and insufficient ASI communications with DHS on key project events and information. IV&V will continue to review BES Optimization planning documents to further understand potential impacts to the Project Management category in January 2020.
	N/R	N/R	Configuration and Development	IV&V has determined that 1 of the 2 open findings in the Configuration and Development category will likely be significantly impacted by the BES Optimization. The remaining finding is related to the Adobe Portal, for which the RFP has not yet been released. IV&V will continue to review BES Optimization planning documents to further understand potential impacts to the Configuration and Development category in January 2020.
	N/R	N/R	System Design	IV&V has determined that the only open finding in the System Design category will likely be significantly impacted by the BES Optimization. As a result, IV&V has suspended the System Design category rating for the December reporting while the project continues to plan out the BES Optimization and will reassess the status of the System Design category in January 2020.

Executive Summary (cont.)



Oct	Nov	Dec	Category	IV&V Observations
	N/R	N/R	Deployment	IV&V has determined that the only open finding in the Deployment category will likely be significantly impacted by the BES Optimization. As a result, IV&V has suspended the Deployment category rating for the December reporting while the project continues to plan out the BES Optimization and will reassess the status of the Deployment category in January 2020.
	N/R	N/R	Requirements Analysis & Management	IV&V has suspended the Requirements Analysis & Management category rating for the December reporting while the project continues to plan the BES Optimization. IV&V discussed requirements management and relevant industry standards to ensure requirements “goodness” with BESSD in December and will follow up on progress in January 2020.
N/R = No criticality rating provided				



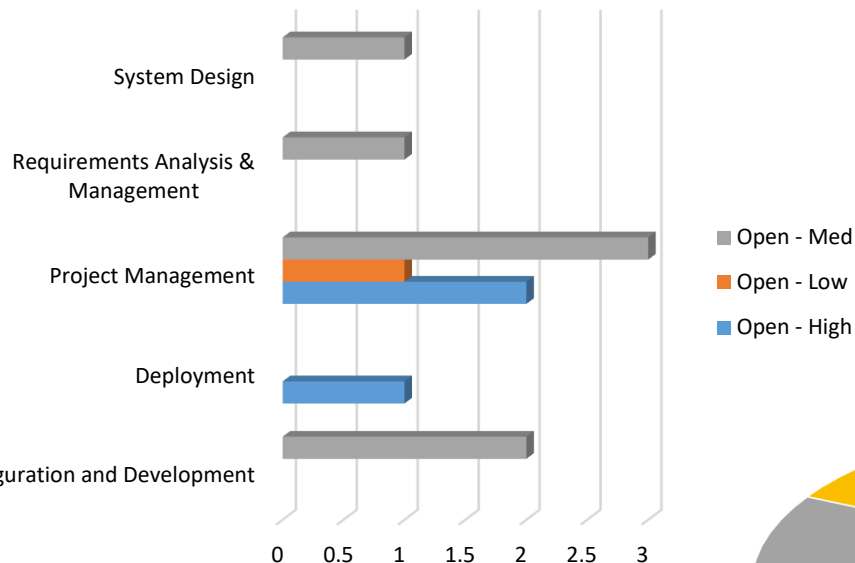
IV&V Findings and Recommendations

IV&V Findings and Recommendations

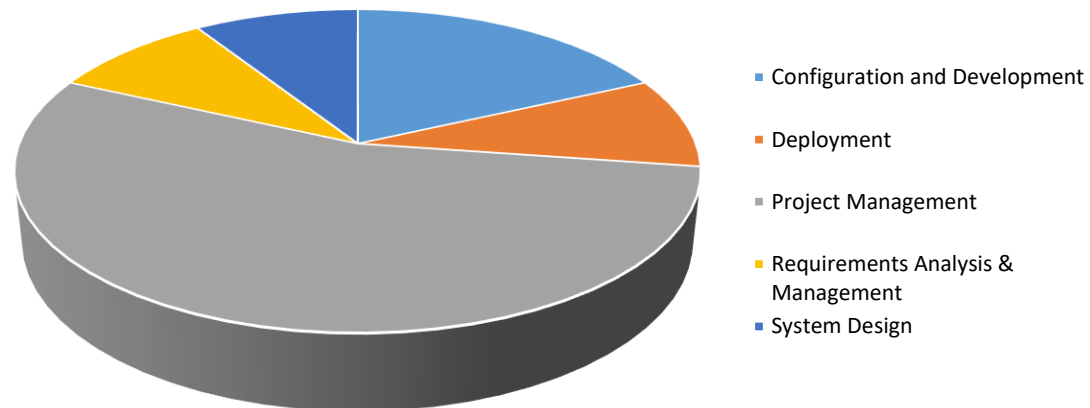


As of the December 2019 reporting period, PCG is tracking 11 open findings (6 risks and 5 issues) and has retired 28 findings and concerns. Of the 11 open findings, 6 are related to Project Management, 2 are related to Configuration and Development, and 1 each in System Design, Deployment, and Requirements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

Open Risks and Issues



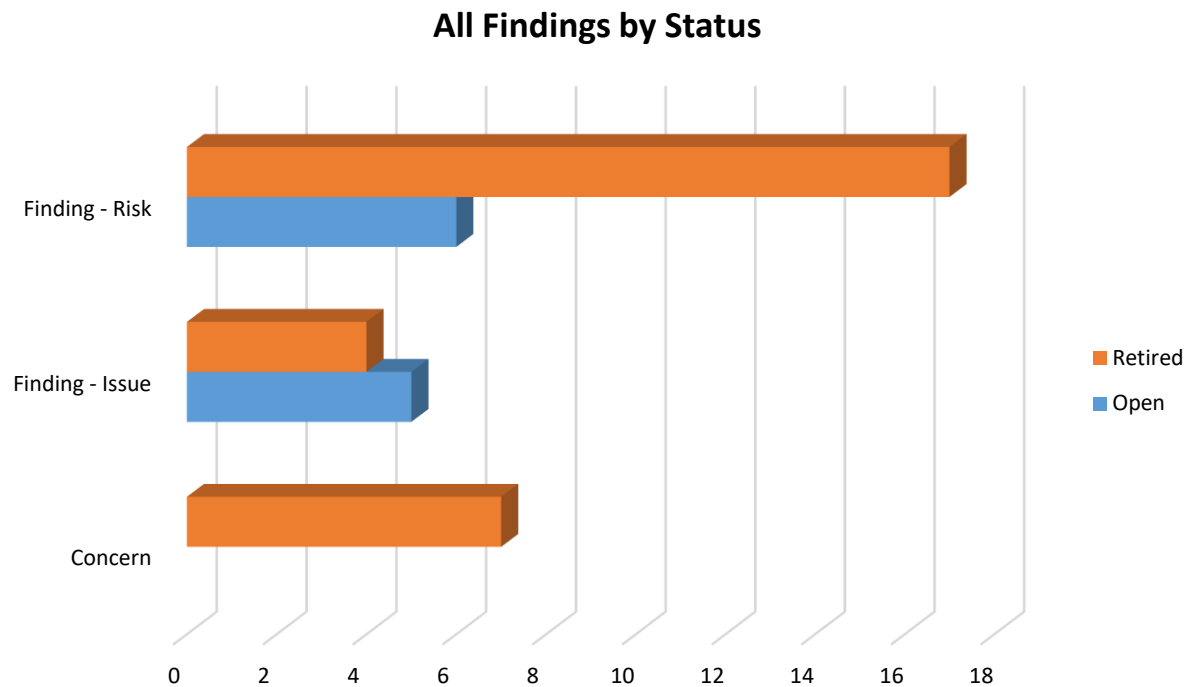
Open Risks and Issues by Category



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 during the December 2019 reporting period	

IV&V Findings and Recommendations



Findings Retired During the Reporting Period

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

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
	No preliminary concerns were investigated during the December 2019 reporting period.	

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
2	<p>Issue – Late Delivery of project deliverables may result in schedule delays. In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV.</p> <p>IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of the BES Optimization 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 December 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 December 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. In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV.</p> <p>IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of the BES Optimization 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. In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV.</p> <p>IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of the BES Optimization 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>In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV.</p> <p>IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of the BES Optimization 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. IVV is unaware of any changes made to the project's Communications Plan or processes during December. However, project-wide communications regarding the BES Optimization were initiated in December, which IVV regards as very positive steps. An initial meeting was held with BESSD, MQD, and PMO staff on 12/13/2019, and a follow up 'announcement' meeting was held project-wide on 12/18/2019. Another meeting was held on 12/20/2019 to review some of the ASI-proposed changes to functional requirements.</p> <p>While the BES Optimization was announced and further plans to open lines of communication regarding the proposed changes are planned for January, due to a lack of changes to the Project's Communication Plan to address timelier stakeholder communication, IVV maintains this is a medium criticality risk to the project during the December 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	<p>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 December Reporting period, however, understands that DHS is targeting the first half of January to release the RFP. IVV will continue to monitor this activity in January 2020.</p> <p>IVV maintains this is a medium criticality risk to the project as of the December reporting period.</p>	

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. In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV.</p> <p>IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of the BES Optimization 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. In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV.</p> <p>IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p>	N/R

Recommendations	Progress
IV&V will reassess the standing of this finding upon complete review of the BES Optimization 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. In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV.</p> <p>IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p>	N/R

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. IVV does not have a material update for the December reporting period. The ASI has not yet met with DHS to discuss the tasks and activities needed to address partially met requirements, however, it is IVV’s understanding that they have agreed to work on this together. IVV did meet with BESSD in December and recommended that a uniform acceptance criteria be used to break down the requirements, such as IEEE 29148-2011.</p> <p>IVV maintains this is a medium criticality risk to the project as of the December 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	Oct	Nov	Dec	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final November 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 December reporting period:
 - Completed – November 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)
 - Reviewed available BES Optimization documentation
 - Attended BES Optimization announcement meetings
- Planned IV&V activities for January 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 updated BES Optimization planning documentation
 - Attend BES Optimization working sessions

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-02 Project Status Report Deliverable	Weekly	N/A
BI-12 MDM System Architecture Deliverable Re-submission	12/05/2019	1.3

Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
BES Optimization Communications Documents (several emails, etc.)		N/A
BES Optimization Details and Planning Documents, including the following:		N/A
Amendment - Solution Optimization 072819 v1.0 w comments as of 2019-09-10-19.DOC		N/A
BES Functional RTM Pivot 080919 - sent - Updated 11-4.XLS		N/A
BES Solution Optimization Cover Letter.DOC		N/A
Change Control Request 2019-00014a v.1 - BES Solution Optimization.DOC		N/A
ECM Gap Analysis.PPT		N/A
ECM Gap Analysis_v0.1.DOC		N/A
Pivot Payment Plan - Draft Proposal.DOC		N/A
T-8 Technical Requirements.XLS		N/A
Unisys BES Contract Amendment Notes_111319.DOC		N/A
Unisys BES Payment Plan.XLS		N/A



Meetings and/or Sessions Attended/Observed:




- Project Status Meetings x2 (12/11/2019, 12/18/19)
- BESSD PMO, IV&V Weekly Meeting x2 (12/11/2019, 12/18/19)
- PCG Internal Meeting x4 (12/02/2019, 12/16/2019, 12/19/2019, 12/19/2019)
- Change Control Board Meeting (12/11/2019)
- Data Conversion Meeting (12/02/2019)
- Self Service Portal JAD (12/03/2019)
- CORE JAD x2 (12/17/2019, 12/19/2019)
- Business RoundTable Meeting (12/12/2019)
- BES Joint Application Intake/Renewal Process – Pivot Implications (12/13/2019)
- Pivot / BES Optimization Announcement Meeting (12/18/2019)
- Interface Workgroup – Cardinal Interface (12/20/2019)
- ASI-proposed BES Optimization Requirements Traceability Matrix changes meeting (12/20/2019)

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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	Priority	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
42	Insufficient ASI communication with DHS could lead to project delays and disrupt DHS operations	mfor	Finding - Risk	10/28/2019	Project Management	<p>IVV has observed that ASI communication to DHS regarding key project information is at times insufficient and/or delayed. Recent examples include:</p> <ul style="list-style-type: none">- DHS reported that changes to the JAD calendar are being made by the ASI without notifying stakeholders.- PMO and BES Project Team did not receive sufficient clarity or notification about challenges impacting the previously planned October MDM Release. The topic was discussed ad hoc during the 8/28/2019 ASI Weekly Status Meeting (see: Meeting Minutes from DDI Status Report 8/28/2019 and project Action Item #979).- During the 10/30/19 Release lessons learned (retrospective) session, DHS UAT participants detailed multiple instances of ASI communication challenges, including:<ul style="list-style-type: none">- Little to no communication during the design phase of the release.- Insufficient communication to DHS left participants unprepared to begin UAT testing. It is important to note that while MO is not in IVV's scope, many of the ASI's release resources and processes are shared between MO and DDI, making the challenges experienced during MO activities relevant to DDI.- These instances of insufficient communication caused confusion amongst the project, and in some cases resulted in project risks, issues, and/or action items being opened. Insufficient and untimely communications can confuse and strain project resources, and can further complicate project activities, challenge the project's ability to meet milestones, and impact the quality of both planning and execution.	<p>Insufficient communication can lead to project delays and may not allow DHS sufficient time to respond, prepare for, or plan their resources for time sensitive activities. Failure to improve communications can strain DHS resources that are already at or beyond capacity and can further complicate project activities, challenge the project's ability to meet milestones, and impact the quality of both planning and execution.</p>	<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. For example, notifications in preparation for release activities.• ASI establish a single communications officer to manage all ASI to DHS communications and ensure regular communication to DHS.• Update project communications plan with enhanced communication processes.	ASAP	4	4	High	Med	Open	<p>12/31/2019 - IVV is again unaware of any changes made to the project's Communications Plan or processes during December. However, project-wide communications regarding the BES Optimization were initiated in December, which IVV regards as very positive steps. An initial meeting was held with BESSD, MQD, and PMO staff on 12/13/2019, and a follow up 'announcement' meeting was held project-wide on 12/18/2019. Another meeting was held on 12/20/2019 to review some of the ASI-proposed changes to functional requirements. While the BES Optimization was announced and further plans to open lines of communication regarding the proposed changes are planned for January, due to a lack of changes to the Project's Communication Plan to address timelier stakeholder communication, IVV maintains this is a medium critically risk to the project during the December reporting period.</p> <p>11/30/19 - 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. 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 critically risk to the project as of the November reporting period.</p>	<p>11/18/19 SB: The ASI would like to clarify the global nature of this new item raised by IV&V. This communication was all related to the October Kolea release which included DDI content, and not to the entirety of all project communication as an unfamiliar reader may assume. This was the first release with DDI content which included submittal of DDI related deliverables which were new to the Kolea team. There were a number of circumstances that arose out of this being the first time a number of the processes were executed and the ASI attempted to accommodate extended review cycles given this was a new process for the team. With that accommodation, deliverable review and approval was often not waterfall sequential - which led to some confusion. The ASI believes it is inaccurate to describe that communication was late to DHS when there are at least three standing meetings each week where status is provided.</p>		
41	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	Darren	Finding - Risk	9/23/2019	Requirements Analysis & Management	<p>Requirements are listed in Design artifacts as 'Partially Met'. With hundreds of planned design artifacts, it is unclear how complete traceability for each requirement will be accomplished within the design artifacts and ALM. Although the ASI has developed a method of splitting requirements in ALM, the process does not address the management and traceability of 'one-to-many' relationships (i.e., when a requirement is satisfied by multiple features or functions).</p>	<p>If requirements are not completely traced throughout the SOLC, it is may result in missing functionality and reduced scope.</p>	<p>Determine a requirements management and design artifact that provides full accountability of where each and 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.</p>	Q4 2019	4	4	High	Med	Open	<p>12/31/2019 - IVV does not have a material update for the December reporting period. The ASI has not yet met with DHS to discuss the tasks and activities needed to address partially met requirements, however, it is IVV's understanding that they have agreed to work on this together. IVV did meet with BESSD in December and recommended that a uniform acceptance criteria be used to break down the requirements, such as IEEE 29148-2011. IVV maintains this is a medium critically risk to the project as of the December reporting period.</p> <p>11/30/2019 - 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. 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. IV&V maintains this is a medium critically risk to the project as of the November reporting period.</p> <p>10/31/2019 - IVV remains concerned for how all elements of a 'partially met' requirement will be described in deliverable documentation, and both wholly and completely traced within ALM. IVV is not aware of any additional changes made or planned during October, therefore IVV has escalated this finding to a risk. IVV notes that during their on-site visit week of 10/21, Innovative Management (IM) shared a similar concern regarding how partially met requirements will be tested and validated.</p> <p>9/30/2019 - IVV received additional information from the ASI on 9/30 regarding how partially met requirements are being tracked. IVV is concerned that the current process is not thorough enough to provide full traceability of partially met requirements, and will follow up with the ASI and DHS in October.</p>	<p>11/18/19 SB: The ASI appreciates IV&V clarifying that IM had noted this concern while onsite rather than FNS. The ASI does not see any comments related to the FNS visit and their assessment of the project progress to date - much of which was positive.</p> <p>10/10/19 SB: The ASI believes the current process tracks requirements appropriately and will work with DHS and the IV and V to address their remaining concerns.</p>		
40	Due to inadequate release management practices the project may experience delayed releases, poor release quality, or failed releases	Darren	Finding - Issue	9/23/2019	Deployment	<p>Release planning does not appear to be sufficient to meet the needs of the project. IVV observed that there was not a SPOC Release Manager assigned to manage the first release for KOLEA. IVV observed that there was a lack of timely release planning for the KOLEA Release, and that communications regarding the release were inconsistent, ineffective, and inaccurate. IVV is unaware if a 'Release Plan' has been fully documented to clearly outline details of the release, including timing of detailed tasks and activities, documentation updates, configuration item updates, and roles and responsibilities of all resources involved from the ASI and DHS.</p>	<p>Insufficient release management processes can lead to implementation schedule delays and poor release quality if not managed properly. Insufficient release management processes can also lead to configuration challenges when contents of a release are not well documented. Low quality and/or failed releases could negatively impact system user acceptance and project stakeholder confidence in the solution. Additionally, poor release planning and communication may result in the disruption of business operations.</p>	<p>Assign a Release Manager to manage all details of planned releases. 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.</p>	OCT 2019	4	4	High	High	Open	<p>12/31/2019 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January.</p> <p>11/30/2019 - 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 MDO release, which is currently planned for implementation in January 2020. IVV maintains this is a high critically risk to the project as of the November reporting period.</p> <p>10/31/2019 - IVV made the following observations in October related to the ASI's release management practice:<ul style="list-style-type: none">- IVV acknowledges that while an Oracle issue played a role in the initial delay of the MDM Release, the ASI remains challenged by delivery of incomplete and incorrect design, test, and RTM deliverables (Bi-10, Bi-11, Bi-14, Bi-20, and Bi-21) associated with this release.- To address Release Management concerns, the ASI appointed a Release Manager in late August. Release management staff responsibilities were subsequently changed two additional times (in September and October), in attempts to provide on-site release management per DHS' request (an updated organization chart is pending).- It was jointly determined by DHS and the ASI on 10/23 to re-plan the November MDM release to allow for the inclusion of additional 90/10 functionality and more testing time. While this was a decision made by BES, the confusion around the scope, content, and quality of release documents played a role in the decision. A new date for the release has not been set. Due to these observations, IVV has promoted this finding to high issue as of the October reporting period.</p>	<p>11/18/19: The ASI disputes the term rotated as it relates to the Release Manager for the October release. There was no rotation. The ASI assigned an additional resource to the January release.</p> <p>10/10/19 SB: The ASI had named a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely. DHS requested that the release manager be onsite. The ASI has assigned a release manager who will be more readily available onsite, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes workshare arrangements with the ASI team. The October release being the first DDI related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>		

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38	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	mfors	Finding - Risk	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. Uniformed 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			12/31/2019 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January. 11/30/2019 - 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. IVV will reassess this finding during the December 2019 reporting period. 10/28/19 - ASI BAs have stated on multiple occasions that discussions during JADs are delayed because of dependencies on other workflows and/or tasks that have not been defined. The process of how design rework will occur once workflow/tasks functionality has been defined has not been identified. IVV notes that DHS has not requested the ASI change the sequencing of JADs, however will continue to monitor this finding to determine how workflow will be addressed in JADs, and what, if any, rework will be needed. IVV maintains this is a medium critically risk to the project as of the October reporting period. 9/30/19 - The ASI has indicated that they are going to work with DHS to determine if changes to JAD sequencing is necessary, however IVV has not been made aware of any proposed changes to the process. IVV will continue to monitor.	10/10/19 SB: The ASI meets with DHS multiple times a week and there has been no request to alter the sequence of upcoming sessions. 09/12/19 SB: The ASI will work with DHS in assessing whether to change the current schedule for these functional areas.	
29	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.	mfors	Finding - Issue	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, MQD, 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 there is a possibility that the platform could change then analysis/design could focus on platform agnostic design and avoid extensive efforts in refining a platform specific design.	ASAP	4	5	High	High	Open			12/31/2019 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January. 11/30/2019 - 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. IVV will reassess this finding during the December 2019 reporting period. 10/28/19 - DHS leadership has indicated that plans for a project "pivot" is in the works and that details will be provided soon. As IVV is made aware of the details of the "pivot", further analysis will be performed to understand the scope and impact of this change. IVV maintains this is a high critically issue to the project as of the October reporting period. 9/30/19 - IVV is aware that architecture discussions continue at the project leadership level that could result in significant change, however, IVV has not been privy to details of changes that are being considered, nor the status of the discussions. During September, IVV learned that Technical Design Document (TDD) development efforts were put on hold as the project awaits possible architecture changes as well as finalization of the BI-12 Architecture Document. 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 project's Architecture Plan (BI-12) deliverable on hold due to uncertainty around new architecture decisions (e.g. 11fabbox, Adobe overall platform). 7/31/19 - During 12/31/2019 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January. 11/30/2019 - 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. IVV will reassess this finding during the December 2019 reporting period. 10/31/2019 - IVV did not observe any substantive change in the schedule (through v151025) in the October reporting period. Most named resources remain substantially over allocated over the next 90 days as depicted on the Project Plan's Task Resource Sheet. IVV notes that there are also unnamed resources listed for tasks within the next 90 days that require resources to be named. IVV maintains this as a medium critically risk for the October reporting period. 09/30/2019 - IVV did not observe substantive change in resource allocation in the schedule (through v150920). Most named resources remain substantially over allocated over the next 90 days as depicted on the Project Plan's Task Resource Sheet. IVV notes that the previously identified concern about un-named overallocated positions in the schedule over the next 90 days was resolved; this is no longer a concern. 08/31/2019 - IVV did not observe substantive change in the latest schedule version regarding this risk. Most named resources are still over allocated 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. IV&V 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	10/10/19 SB: The ASI is working on the KOLEA specific content of BI-12 and this has been relayed to DHS. 06/11/19 S Brown: The ASI requests clarity on what long term architectural decisions are being referred to.	
27	The baseline schedule lacks proper resource loading which could result in unanticipated schedule delays	Darren	Finding - Risk	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 16 hrs/day to 136 hrs/day. The ASI has stated that they will only track resource assignments for lead staff, which obfuscates 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 'Uninv's'. - 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	3	High	Med	Open			10/10/19 SB: The ASI did meet with IV and V after the Monthly review call for the September report and did walk through numerous updates. The ASI requests the IV and V to update this finding based on the latest review. 06/11/19 S Brown: The ASI will continue to update and level resource allocations.		

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26	Due to the lack of detail in the baseline schedule, unanticipated schedule delays may occur	Darren	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 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		12/31/2019 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will readress this finding in January. 11/30/2019 - 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. IVV will reassess this finding during the December 2019 reporting period. 10/31/2019 - IVV did not observe substantive change in task decomposition in the schedule (through v191025) during the October reporting period. IVV 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. IVV 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 critically risk as of the October reporting period. 09/30/2019 - IVV did not observe substantive change in task decomposition in the schedule (through version 190920). IVV 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 update for the August reporting period. Tasks specific to IADs/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 that is separate from the Baseline Project Workplan, and that milestones from the October Release workplan are provided in the Baseline Project Workplan. ** Note - JAD removed the word "staff" from the finding. 12/31/2019 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will readress this finding in January. 11/30/2019 - 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. IVV will reassess this finding during the December 2019 reporting period. 10/28/19 - ASI has drafted a high-level functional/process flow diagram of many of the solution processes and has stated their intention to transcribe this diagram into a Visio (or similar) document. This is a positive step in pulling together the "big picture" functional view of the solution. However, the ASI has yet to deliver on Action Item #804 in which DHS requested specific details of how they will utilize tools like the process flow diagram/technique to tie the various design components together for a cohesive solution design. IVV maintains this is a medium critically issue for the project as of the October reporting period. 9/30/19 - IVV reported last month that ASI "big picture" documentation and presentation fell short of expectations. IVV remains unaware of ASI efforts to provide further information to clarify for DHS the "big picture" as described in previous updates to this finding. Relatedly, DHS expressed concern that design documents (B1.10, 11, 14) are being modified after test and RTM documents (B1.20, 21) have been released, which could impact the content of both B1.20 and B1.2. The ASI has described their approach for managing cross-IAD interactions through action items and have tasked the lead BA's with managing this as well as identifying/resolving cross-team items. IVV notes that this finding was originally opened over 9 months ago (12/17/2018) and DHS continues to struggle to understand both the ASI DDI approach and whether the approach taken has been or will be effective. Due to this prolonged lack of clarity, IVV is escalating this finding to an issue. 8/29/19 - The ASI reported their this critical document to DHS on 8/23/19, indicating to clarify how. 12/31/2019 - IVV has no update on the status of the DHS Portal RFP for the December Reporting period, however, understands that DHS is targeting the first half of January to release the RFP. IVV will continue to monitor this activity in January 2020. IVV maintains this is a medium critically risk to the project as of the December reporting period. 11/27/2019 - 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 critically risk to the project as of the November reporting period. 10/28/19 - As reported in the 10/30/2019 ASI Weekly Status Meeting, MCO will go out to bid for the Adobe portal development. IVV will continue to monitor in November to confirm the project's decision and impact to the project. IVV maintains this is a medium critically issue to the project as of the October reporting period. 9/30/19 - IVV has no material update for this finding as the updated CR for portal is still outstanding. Concern continues to grow as the project has been in limbo regarding the direction of the portal for approximately six months. It is currently unclear if this delay or its impact to the critical path has been accurately reflected in the schedule or if the ASI had already allotted time for the delay in their original schedule. Given these delays and the fact that deliverables have already been produced assuming a Lifecycle platform, IVV is escalating this finding to an issue. 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 Lifecycle 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	10/10/19 5B: The ASI did meet with IV and V after the Monthly review call for the September report and did walk through numerous updates. The ASI requests the IV and V to update this finding based on the latest review.	09/12/19 5B: 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 5 Brown: The ASI agreed to add additional detail once the schedule is baselined, as discussed with the client.	
16	Lack of clear understanding of SI DDI approach may reduce effectiveness of JARs and JADs	mfors	Finding - Issue	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 JAE 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 JAR 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		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 IAD session. It was suggested by DHS that the pre-IAD packet be placed in the SharePoint project site. For new participants in the IADs, a separate orientation before the IAD should be held for those new participants.	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.	09/12/19 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 DED.	which will be reviewed as part of iteration 3 artifacts. In addition, the ASI has produced a literal big picture and walked DHS and the PMO through it. The whiteboard big picture is being produced for team consumption.
12	Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. [Lifecycle vs. Adobe]	mfors	Finding - Issue	11/28/2018	Configuration and Development	The project intends to utilize Adobe as the preferred platform for portal development, instead of Lifecycle (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 PMA. 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 Lifecycle until a CR is executed to move to Adobe.	• 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. • 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.	Q1 2019	4	3	High	Med	Open		10/10/19 5B: The ASI would like the IV and V to update their assessment to include the status that there have been multiple iterations of this CR that have been provided to DHS to address their project needs and budget concerns. The ASI has provided the PMO with an updated approach and ROM for the conversion of the KOLEA portal to Adobe that the ASI believes is in line with DHS expectations and it is currently under review by DHS.	09/12/19 5B: Active conversation and assessment of options continues between the ASI and DHS.	06/11/19 5 Brown: The ASI disagrees with the finding that there is limited communication to the project on this item. It is situated on a weekly basis as part of the status report and meeting, with client agreement on status.	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 PMA with effort and the roles utilized.

Finding Number	Title	Owner	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Priority	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments	
5	The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding.	Jolene	Finding - Risk	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 project's 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		12/31/2019 - IVV has no material update for the December 2019 reporting period but will continue to discuss and follow up with DHS. IVV maintains this is a low critically risk to the project as of the December reporting period. 11/26/2019 - 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 critically risk to the project as of the November reporting period. 10/31/2019 - IVV has no material update for the October reporting period. IVV maintains this is a low critically risk to the project as of the October reporting period. 9/30/2019 - IVV has no material update for the September reporting period, however IVV will continue to work with the project to understand status and the road forward. 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 leave this risk open until there is clarity from the BES/PMO regarding the identification of 12/31/2019 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DHS PMO to discuss. It is understood that work continues to further refine the BES Optimization details. IVV does not have the information needed regarding scope, architecture, requirements, schedule, cost, and resourcing to fully determine the impact of the BES Optimization to the project and DHS. Therefore, updates and ratings are suspended for this finding until additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will readdress this finding in January 11/26/2019 - At the end of the November 2019 reporting period, IVV received supporting documentation on the proposed "Pivot" solution. Based on that information, IVV has identified 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. 10/31/2019 - IVV observed the following in October related to this issue: - The ASI white 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 Bi-10, Bi-11, and Bi-14 deliverables. - On 10/22/19 the DHS PMO and ASI agreed to place 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 restarted work on the TDOs and has not yet delivered the MDM-specific content for the Bi-12 architecture deliverable. The ASI reported DHS was "okay" with the Bi-12 framework reviewed with them on 10/30/2019. - The KOLEA 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 Bi-10, Bi-11, Bi-14, Bi-20, and Bi-21. - The BES UAT start date was further delayed (four weeks in total) and is now planned to begin on 5/29/20. Based on these observations, IVV maintains this is a high critically issue the project as of the October reporting period. 9/30/2019 - As of the September reporting period, IVV has escalated this risk to an issue, with a high criticality rating. The ASI cannot			
2	Late delivery of project deliverables may result in schedule delays.	Jolene	Finding - Issue	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 deliverable and tasks and delivery thereof; needed mitigation actions along with identification and agreement with DHS on DDO 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 the weekly schedule review meeting. - Continue to meet weekly with DHS to convey new schedule changes, obstacles, and document the corrective actions that will be taken to address schedule delays and obstacle resolution. - Determine if the stopped work on TDOs will impact the schedule, and update accordingly - Determine if rework to FDOs 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	High	High	Open			10/10/19 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 item tracking process. 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. 3/13/19 Bill Thornton, Unisys: Specific to the PMP, the DED was approved by DHS on 1/15/2019 and the deliverable submitted on 1/22/2019. 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. 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 10 deliverables, and DEDs - Clarification ... there		