January 13, 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 (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the IV&V report the Office of Enterprise Technology Services received for the State of Hawaii Department of Accounting and General Services’ Time & Leave Project.

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

Sincerely,

DOUGLAS MURDOCK  
Chief Information Officer  
State of Hawai‘i

Attachment (2)
Time & Leave Project
Phase II of the HawaiiPay project

Department of Accounting and General Services (DAGS)

IV&V Monthly Status Report – Final
For Reporting Period: November 1 – 30, 2019

Draft Submitted: December 19, 2019
Final Submitted: January 10, 2019
Overview

- Executive Summary
- IV&V Findings and Recommendations
- IV&V Status
- Appendices
  - A – IV&V Findings Log & Priority Ratings
  - B – Standard IV&V Inputs
  - C – IV&V Details
Executive Summary

IV&V noted progress in key aspects of the Time and Leave (TL) project during this reporting period. The project successfully executed a second round of Conference Room Pilots. Working in conjunction with the System Integrator (SI), these work sessions allowed the project team to review key business processes and validate the proposed system design solution. Recent efforts to improve communications between central operations (DHRD and Payroll Operations) has shown some progress. DHRD working sessions are ongoing and discussions have framed the outstanding issues well, however, the project has reported action items have shown little progress. IV&V has also noted areas of concern that are potentially placing the project at a greater state of risk.

The project will soon see the departure of a key project resource who led multiple functional areas (primarily testing, training, union issues, and the department mentors). The project is making efforts to mitigate this loss, however, due to this resource’s significant level of expertise, productivity, and functional leadership coverage, they may be hard pressed to acquire a comparable replacement. Efforts to resolve help desk and other staffing issues are underway. However, in order to address project risks around TL project team members being pulled into payroll support activities, call center hours have been reduced to 2 days a week. This has led to complaints and negative customer perceptions of the payroll help desk, which could lead to a loss of confidence in the TL project and their ability to provide effective TL customer support. IV&V remains concerned with the complexity of CBA rules, TL configuration impacts to payroll, and the lack of an effective operations management plan for Payroll and post go-live TL support.

<table>
<thead>
<tr>
<th>Category</th>
<th>IV&amp;V Observations</th>
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<tbody>
<tr>
<td>Human Resources Management</td>
<td>The project saw the departure of a key project resource who led multiple functional areas (primarily testing, training, union issues, and the department mentors). The project is making efforts to mitigate this loss, however, due to this resource’s significant level of expertise, productivity, and functional leadership coverage, they may be hard pressed to acquire a comparable replacement. It is likely the project will need to replace this key resource with 2-3 resources in order to effectively match the level of skill/productivity this individual provided to the project. The departing lead BA has spent the last 2 weeks performing knowledge transfer to other project team members and the project has posted openings for 4 new resources. IV&amp;V recommends that the project accelerate efforts to recruit and backfill not only this position but other positions as well in order to provide the project with dedicated leads. Further, IV&amp;V previously noted that many risks have, thus far, been mitigated by the high level of productivity and ability of primarily 3 key resources. With the departure of one of these 3 individuals, the impact to the project could be significant.</td>
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Executive Summary (cont’d)

<table>
<thead>
<tr>
<th>Category</th>
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<tbody>
<tr>
<td>Knowledge Transfer</td>
<td>TL project team members continue to support payroll operations due to ineffectual efforts to transition payroll system support to payroll operations. With the loss of their help desk contractor, payroll system help desk continues to rely on project team members, volunteers from other divisions, and the M&amp;O vendor. In order to reduce the impact to project team members, help desk operating hours have been reduced to 2 days a week and help desk voicemail has been turned off due to the high volume of calls and the inability of the existing resources to perform callbacks. The project has reported that help desk call volume is currently between 600-700 calls per day, approximately 250 of these are answered. Negative customer feedback has significantly increased, and the project is concerned this could negatively impact the TL project buy-in. Once contracting challenges can be resolved and the new help desk resources can be onboarded (expected mid-December 2019), TL team members should be able to focus on the TL project. However, their appears to be little progress in establishing an effective long-term help desk solution and IV&amp;V is unaware of a documented plan. The project has requested Payroll Operations designate a help desk manager that would manage help desk operations and the contracted resources going forward to further free up project resources. The SI M&amp;O tier 3 support team has increased efforts to support payroll staff as a way to mitigate the loss of the lead payroll support business analyst. Key project resources continue to be pulled out of TL project meetings to deal with payroll production support issues. Though Payroll Operations has hired additional resources, it remains unclear how and when these resources will be able to support the help desk.</td>
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## Executive Summary (cont’d)

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Operational Preparedness</td>
<td>IV&amp;V noted that key personnel changes in conjunction with the reduced capacity of the HawaiiPay help desk (outlined in Risk #4) continue to require significant effort from the project team. The TL team’s efforts to provide ongoing support and staffing for the help desk continue to overburden the team and may have a negative effect on the operational readiness efforts required to be prepared for the first go-live. However, no material delays in project activities related to the operational preparedness of both the project and individual departments have been identified. The project team continues to adapt to increased workload and complete project activities as required.</td>
</tr>
<tr>
<td>Organizational Change</td>
<td>As reported previously, the project continues to focus on the mentoring process to provide clear instructions to the departments and agencies regarding any necessary steps to get to an adequate state of readiness required for the TL solution. IV&amp;V also continues to note that the OCM efforts remain without a dedicated lead. Additionally, IV&amp;V continues to note that the use of the project mentors appears to be effective. IV&amp;V has not yet evaluated the project’s training strategy or materials but will do so as they become available. In order to address project risks around TL project team members being pulled into payroll support activities, call center hours have been reduced to 2 days a week. However, this has led to complaints and negative customer perceptions of the payroll help desk, which could lead to a loss of confidence in the TL project and their ability to provide effective TL customer support, and ultimately hinder TL OCM efforts. IV&amp;V has logged a preliminary concern with regards to non-intuitive user interfaces that could hinder user buy-in and satisfaction.</td>
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### Executive Summary (cont’d)

<table>
<thead>
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</thead>
<tbody>
<tr>
<td>Project Management and Organization</td>
<td>TL project management resources continue to be marginalized as they continue to augment the help desk team by answering and resolving help desk calls, however, efforts are underway to transition them out of this role by the end of the year. The project continues to make progress in clarifying union TL rules and assessing other union related risks. They have met with many of the smaller unions but have yet to meet with UPW, HGEA, and UPA. Union consultation meetings thus far appear to be productive and have not unveiled any insurmountable issues or significant impacts to the project. However, the primary subject matter expert (SME) responsible for analyzing, tracking, and coordinating resolution of Union issues will soon leave the project. With their departure, efforts to resolve complex union issues could be hindered. IV&amp;V recommends the project develop and execute a plan for documenting and transferring the departing resources knowledge to other project team resources to ensure critical subject matter knowledge is not lost. Early indications are that DOE and UH may have significant challenges with migrating to the TL system. DOE has indicated that mobile access to the TL system could be a critical requirement, however, this would require they adopt a Multi-Factor Authentication (MFA) solution that would incur a significant recurring expense. Onboarding DOE could require a significant effort on the part of DOE leadership to resolve issues and required changes to their processes for them to utilize the TL system. IV&amp;V recommends DAGS leadership prioritize working with DOE and UH leadership to determine (as soon as possible) if they will be able to participate in the TL project. If these departments decide to opt-out, project team efforts to onboard them could detract from other critical go-live project tasks. Recent efforts to improve communications between central business operations (DHRD and Payroll Operations) has shown some progress. DHRD working sessions are ongoing and discussions have framed the outstanding issues well, however, the project has reported action items have shown little progress. Payroll Operation’s new point of contact continues to make strides in increasing project engagement and communication. IV&amp;V has closed risk #16 (Insufficient tracking of critical path can lead to unexpected delays and leave the project team with little time to respond to slippage) as the project has established a critical path in their project schedule.</td>
</tr>
<tr>
<td>Quality Management</td>
<td>The project executed a second series of Conference Room Pilots (CRP), during which a significant number of business processes were walked through by the participants. The state was able to get a detailed perspective of the current PeopleSoft configuration and expected business process changes. Areas of concern were raised and discussed. In many cases a resolution was agreed on and for those concerns that have not yet been addressed, action items were assigned. IV&amp;V continues to note the necessity of complete and comprehensive regression testing to avoid payroll system defects. The project noted a regression test plan would be delivered in the upcoming reporting periods.</td>
</tr>
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</table>
IV&V has identified 11 findings (4 preliminary concerns, and 7 risks). Of the open risks/issues, 3 are related to Project Management. The following charts breakdown the risks by type and category/priority.

### Findings by Type

- **4 preliminary concerns (36%)**
- **7 risks (64%)**

### Open Risks/Issues by Category/Priority

- **Knowledge Transfer**: 1 Low
- **Operational Readiness**: 1 Medium
- **Project Organization & Management**: 1 High, 1 Medium
- **Human Resource Management**: 1 High, 1 Low
### IV&V Findings and Recommendations (cont’d)

#### Summary of IV&V Open Risks/Issues Criticality

<table>
<thead>
<tr>
<th>Category</th>
<th>Finding Title</th>
<th>Criticality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge Transfer Risk</td>
<td>4- Payroll production support dependence on key Time and Leave Resources</td>
<td>High</td>
</tr>
<tr>
<td>Operational Readiness Risk</td>
<td>8 - Detailed processes to integrate Time &amp; Leave Maintenance and Operations support with production Payroll support not finalized</td>
<td>Medium</td>
</tr>
<tr>
<td>Quality Management Preliminary Concern</td>
<td>12 - Potential lack of consideration for unexpected or unintended impacts on payroll functionality when making T&amp;L design decisions or configurations, could necessitate rework of T&amp;L designs and/or impact payroll quality</td>
<td>n/a</td>
</tr>
<tr>
<td>Project Organization &amp; Management Risk</td>
<td>9 - Unexpected collective bargaining or legislative changes could lead to unanticipated demands on the project and increased scope</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>11 - Collective Bargaining Agreements complexity could prove problematic and lead to project delays and result in an overly complex system that may be difficult to support</td>
<td>n/a</td>
</tr>
<tr>
<td></td>
<td>13 - Departments choosing not to participate in the TL project could lead to unnecessary costs to the state as well as project team wasting valuable time to onboard departments who eventually decide to opt-out</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>14 - Communications between the project and central operations groups (primarily HR and Payroll Operations) can be ineffectual which could lead to project delays and cost overruns</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>15 - Key project risks and issues management and escalation processes may not be effective</td>
<td>n/a</td>
</tr>
<tr>
<td>Human Resource Management Risk</td>
<td>5 - Over reliance on a few skilled and overtaxed project resources could lead to significant project disruption in the event of their departure</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6 - Lack of dedicated leads filling key roles could impact the effectiveness of the project team and reduce quality of deliverables</td>
<td>Medium</td>
</tr>
<tr>
<td>Organizational Change Management Preliminary Concern</td>
<td>&lt;NEW&gt; 17 - Non-intuitive user interface could reduce user adoption and satisfaction and lead to user error and frustration at go-live.</td>
<td>n/a</td>
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## IV&V Findings and Recommendations (cont’d)

### Project Management & Organization

<table>
<thead>
<tr>
<th>#</th>
<th>Key Findings</th>
<th>Criticality Rating</th>
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</thead>
<tbody>
<tr>
<td>9</td>
<td><strong>Risk</strong> - Unexpected collective bargaining or legislative changes could lead to unanticipated demands on the project and increased scope: The State Legislature and Unions may make laws or change Collective Bargaining Agreements (CBA) that could require significant system changes thereby disrupting the project’s progress, activities, schedule, and/or budget. These changes to SOH processes could be decided without consideration of impact to the project or providing the project time to react to such changes.</td>
<td><strong>Low</strong></td>
</tr>
<tr>
<td>11</td>
<td><strong>Preliminary Concern</strong> - Collective Bargaining Agreements (Union time/leave rules) complexity could prove problematic and lead to project delays and result in an overly complex system that may be difficult to support: IV&amp;V observations of CBA-related planning activities indicate that implementation and long-term support of an extensive set of complex rules could prove to be difficult to implement and manage/support long-term. Inconsistent rule interpretation could lead to extensive OCM efforts and some departments may struggle to adopt clarified CBA rules and require the project to initiate extensive OCM efforts to assure departmental adoption of clarified rules implemented in the new system are feasible and are managed effectively.</td>
<td><strong>n/a</strong></td>
</tr>
<tr>
<td>13</td>
<td><strong>Risk</strong> - Departments choosing not to participate in the TL project could lead to unnecessary costs to the state as well as project team wasting valuable time to onboard departments who eventually decide to opt-out: If any department chooses to opt-out of the TL project, DAGS must continue support of the gross pay input system (ePCS) that was planned for decommission. IV&amp;V is not aware of budgets, resources, or plans to continue ePCS support beyond TL project completion. Further, departments could initially decide to participate in TL and the project team could expend significant resources preparing for and implementing department specific features only to find out that they will opt-out.</td>
<td><strong>Medium</strong></td>
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</table>
### Key Findings

<table>
<thead>
<tr>
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<th>Key Findings</th>
<th>Criticality Rating</th>
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<tbody>
<tr>
<td>14</td>
<td><strong>Risk - Communications between the project and central operations groups (primarily HR and Payroll Operations) can be ineffectual which could lead to project delays and cost overruns:</strong> IV&amp;V has observed and has also been informed of communication challenges between the Project Team and business operations. IV&amp;V was also informed that some business operation plans relevant to the project are not immediately being shared with the project team. Some business operations teams have stated their capacity is constrained due to lack of sufficient resources as well as challenges in filling open positions. However, even simple or basic project communications appear to go unanswered.</td>
<td>Medium</td>
</tr>
<tr>
<td>15</td>
<td><strong>Preliminary Concern - Key project risks and issues management and escalation processes may not be effective:</strong> Some risks and issues currently tracked in the RIOD process may not be actively worked or reported on. For example, the project is currently tracking several risks owned by payroll operations that show little to no progress. The lack of progress may unnecessarily cause a risk to be realized and triggered into an issue that could have lasting negative impacts to the project, when it could have been avoided.</td>
<td>n/a</td>
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</table>
### IV&V Findings and Recommendations (cont’d)

#### Project Management & Organization (cont’d)

<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Progress</th>
</tr>
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<tbody>
<tr>
<td>• Continue early efforts to document and track CBA rules (and union discussion topics) that may need clarification for departments.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Closely monitor legislative and union actions and/or initiatives that could impact the project and provide them feedback as needed to ensure informed decisions and clear understanding of impacts to payroll and the time and leave project.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Partner with Unions to clarify CBA rules so that in the end union objectives are met where ever possible within the scope of the Time and Leave project.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Initiate early and often discussions with Unions for rule clarifications and general understanding and agreements on how CBA rules will be implemented.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Work closely with departments that are unsure of their TL participation to assist with readiness and collaborate to remove any blocks to their full participation.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Develop contingency plans for the possibility that some departments may not participate in TL.</td>
<td>Not started</td>
</tr>
<tr>
<td>• Work with executive leadership and business operations groups to address the root cause of these communication challenges and prepare a plan/strategy for corrective action.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Establish a clear and detailed risk management plan for escalating risks and issues and follow defined escalation steps for risks/issues that are not actively being worked.</td>
<td>In progress</td>
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</table>
## IV&V Findings and Recommendations (cont’d)

### Human Resource Management

<table>
<thead>
<tr>
<th>#</th>
<th>Key Findings</th>
<th>Criticality Rating</th>
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<tbody>
<tr>
<td>5</td>
<td><strong>Risk - Over reliance on a few skilled project resources could lead to significant project disruption in the event of their departure:</strong> There are currently 3-4 individuals who are relied on more than others. Over reliance on key resources can not only overtax and thereby reduce the effectiveness of these key individuals, but also presents a risk of significant project disruption in the event of their departure. Resource losses from the Phase I team have not been backfilled and include the loss of the OCM manager and the SI project manager role; their responsibilities have been transferred to existing team members who appear to be at capacity. While most projects have this risk, the risk impact for this project, from IV&amp;V’s perspective, is higher than most, and while the project could be impacted by the loss of several key individuals, there are 3-4 individuals who would create more significant project disruption than others.</td>
<td>High</td>
</tr>
<tr>
<td>6</td>
<td><strong>Risk - Lack of dedicated leads filling key roles could impact the effectiveness of the project team and reduce quality of deliverables:</strong> The project does not have single, designated management leads for key areas such as OCM, Project Management, Training, and Testing. Current designated leads manage multiple Time and Leave functional areas, act as mentors for several departments, and have the added burden of supporting Phase 1 M&amp;O. The SI and project team have agreed to go without an SI project manager which could put an additional strain on the state PM.</td>
<td>Medium</td>
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## IV&V Findings and Recommendations (cont’d)

### Human Resource Management (cont’d)

<table>
<thead>
<tr>
<th>Recommendations</th>
<th>Progress</th>
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<tbody>
<tr>
<td>• DAGS leadership work quickly to assist payroll operations to resolve resource challenges.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Work quickly to increase state resources.</td>
<td>In progress</td>
</tr>
<tr>
<td>• Create and utilize a resource management plan to assure planful, instead of reactive, addition and management of resources. Assure the plan reflects an understanding of how many people are needed, and in which roles, to accomplish various tasks. Plan should address movement of resources as project transitions to different phases (e.g. moving from DD&amp;I to M&amp;O).</td>
<td>Not started</td>
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</table>
### IV&V Findings and Recommendations (cont’d)

#### Quality Management

<table>
<thead>
<tr>
<th>#</th>
<th>Key Findings</th>
<th>Criticality Rating</th>
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<tbody>
<tr>
<td>12</td>
<td><strong>Preliminary Concern</strong> – Potential lack of consideration for unexpected or unintended impacts on payroll functionality when making T&amp;L design decisions or configurations, could necessitate rework of T&amp;L designs and/or impact Payroll quality: If not adequately planned for and tested, system and configuration changes required to deliver the Time and Leave functionality may include unexpected impacts to the current Payroll solution. It is unclear how the changes will be managed and what level of regression testing is planned.</td>
<td>n/a</td>
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#### Recommendations

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<tbody>
<tr>
<td>In progress</td>
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- Define and document the regression testing plan to ensure that any Time and Leave changes do not have an unexpected negative impact on production Payroll functionality.

- Assure Time and Leave design and configuration includes consideration for impacts on Payroll, prior to implementing the design or configuration. This may be accomplished, in part, using an effective and integrated configuration management plan.
## Knowledge Transfer

### Key Findings

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<tbody>
<tr>
<td>4</td>
<td><strong>Risk - Payroll production support dependence on key Time and Leave Resources:</strong> The concurrent DDI (Design Development &amp; Integration) and production maintenance and operations (M&amp;O) support activities are heavily reliant on key Time and Leave resources which may degrade their quality of work and/or cause resources to be unavailable to the Time and Leave project during critical times due to demands from Payroll support. Key project Time and Leave team members remain significantly involved in providing M&amp;O support for the Payroll solution. At least one key team member reports spending 60% of their time providing help desk support to Payroll.</td>
<td>High</td>
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### Recommendations

- Develop and implement a fully staffed support team for the Payroll service. This should include a transition plan to allow the Time and Leave key resources to share their knowledge while significantly reducing the time spent on providing Payroll support.

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<th>Progress</th>
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<tr>
<td>In progress</td>
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### IV&V Findings and Recommendations (cont’d)

**Operational Readiness**

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<tr>
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<th>Criticality Rating</th>
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<tr>
<td>8</td>
<td><strong>Risk - Detailed processes to integrate Time and Leave M&amp;O support with production Payroll support not finalized:</strong> A strategy to integrate Time and Leave M&amp;O with the ongoing Payroll M&amp;O, then transition support of both solutions to DAGS operations, is not yet available. The lack of a documented process to integrate Time and Leave M&amp;O support with Payroll production support may cause unnecessary risk at Time and Leave Phase 1 go live. Changes to the current Help Desk support vendor were planned but stopped prior to execution. The lack of an executable strategy indicates the strategy should be re-evaluated. IV&amp;V has also logged a related risk (#4) that Time and Leave resources are spending more time than planned with Payroll service M&amp;O support activities.</td>
<td>Low</td>
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</table>

**Recommendations**

- Develop and implement a long-term strategy for providing effective, integrated ongoing M&O support for both Time and Leave and Payroll solutions. This strategy should ensure that there are sufficient capabilities and capacity to provide the required support without drawing on resources already allocated to other projects.

  *Progress*

  - In progress
IV&V Findings and Recommendations (cont’d)

Organizational Change Management

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<tr>
<td>8</td>
<td><strong>Preliminary Concern - Non-intuitive user interface could reduce user adoption and satisfaction and lead to user error and frustration at go-live:</strong> The project has elected to minimize PeopleSoft (PS) customizations in order to increase long-term system maintainability (ease system upgrades and system maintenance). However, some out-of-the-box (OOTB) PeopleSoft user interfaces and functionality are non-intuitive. While minimizing PS customizations will help mitigate system complexity and other M&amp;O risks, it can negatively impact user adoption, training, OCM level of effort and effectiveness, help desk call volume, and system usability. For example, the help desk could get flooded with calls at go-live from users that remain confused with some non-intuitive interfaces. Further, some training challenges could be difficult to overcome and leave users with a perception that the system is overly complex. This could erode user adoption and buy-in and lead to a negative perception of the systems usefulness/effectiveness and ultimately lead to a negative legislative and/or public perception of the project. If the OCM plan does not effectively address this risk, users could have trouble at go live and lead to significant user complains/errors/frustration. Ultimately departments slated for Group 1 go-live could opt for a later go-live group or pull out altogether, which could lead to schedule slippage as well as negative budget impacts.</td>
<td>Low</td>
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</table>

### Recommendations

- Develop a plan for identifying the most challenging UI components and for implementing customizations to address these on a limited basis.  
  
- Update the OCM strategy and plan to address challenging user interfaces that includes milestones/gates that get early user feedback to ensure they understand the complex elements of the system.  

**Progress**

- Not started
- Not started
IV&V Status

• IV&V activities performed during the reporting period:
  • Attended Scrums
  • Attended PCAB meeting
  • Attended RIO-D meetings
  • Attended Department Mentor Sessions
  • Attended project Mentor team meetings
  • Led Project Team Risk Review sessions
  • Attended Conference Room Pilots
  • Lead Monthly Status Report review session

• IV&V next steps in the coming reporting period:
  • Attend key project meetings
  • Interview key department stakeholders
  • Deliver IV&V Monthly Status Report
This appendix provides the details of each finding and recommendation identified by IV&V. Project stakeholders are encouraged to review the findings and recommendations log details as needed.

See definitions of Criticality Ratings below:

<table>
<thead>
<tr>
<th>Criticality Rating</th>
<th>Definition</th>
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<tbody>
<tr>
<td>H</td>
<td>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.</td>
</tr>
<tr>
<td>M</td>
<td>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 implemented as soon as feasible.</td>
</tr>
<tr>
<td>L</td>
<td>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.</td>
</tr>
</tbody>
</table>
Appendix B – IV&V Standard Inputs

To keep abreast of status throughout the Time & Leave project, IV&V regularly:

- Attends the project meetings
- Reviews the project documentation
- Utilizes Eclipse IV&V® Base Standards and Checklists
Appendix C – IV&V Details

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

Note: This report is a point-in-time document with findings accurate as of the last day in the reporting period.
Id| Date| Project Name| Task Description| Analysis and Findings| Recommendations| Actions| Category| Type| Priority| Rank| Final Status
---|---|---|---|---|---|---|---|---|---|---|---
1| 10/31/19| HRM| High| Cannot track progress as key team members are not being tracked. Time and cost resources, which may be key quality of work and time resources are not available at all times of the HRM and Leave project.
| | | | | | | | | | | | Complete all of the tasks on this issue using a comprehensive task list and ensure key team members are being tracked.
2| 10/31/19| HRM| Medium| Cannot track progress as key team members are not being tracked. Time and cost resources, which may be key quality of work and time resources are not available at all times of the HRM and Leave project.
| | | | | | | | | | | | Complete all of the tasks on this issue using a comprehensive task list and ensure key team members are being tracked.
3| 10/31/19| HRM| Medium| Cannot track progress as key team members are not being tracked. Time and cost resources, which may be key quality of work and time resources are not available at all times of the HRM and Leave project.
| | | | | | | | | | | | Complete all of the tasks on this issue using a comprehensive task list and ensure key team members are being tracked.
4| 10/31/19| HRM| Medium| Cannot track progress as key team members are not being tracked. Time and cost resources, which may be key quality of work and time resources are not available at all times of the HRM and Leave project.
| | | | | | | | | | | | Complete all of the tasks on this issue using a comprehensive task list and ensure key team members are being tracked.
5| 11/30/19| HRM| Low| Cannot track progress as key team members are not being tracked. Time and cost resources, which may be key quality of work and time resources are not available at all times of the HRM and Leave project.
| | | | | | | | | | | | Complete all of the tasks on this issue using a comprehensive task list and ensure key team members are being tracked.

Recommendation:
- Complete all of the tasks on this issue using a comprehensive task list and ensure key team members are being tracked.
Collective Bargaining Agreements (CBA) have a direct and significant impact on payroll processing. The intent of these consultation meetings is for project Q&A and to clarify CBA rules the project will incorporate into the new TL system. It is critical for the project to keep appraised of legislative and union decisions that could affect the project. Therefore, this risk rating remains a “Low”.

11/30/19 - The project has met with many of the smaller unions but have yet to meet with UPW, HGEA, and UPA. The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

9/30/19 - The project seems to be making good efforts to keep appraised of legislative and union decisions that could affect the project. Therefore, this risk rating remains a “Low”.

10/22/19 - The project has initiated the formal process for union consultation and has begun sending consultation letters to unions. The intent of these consultation meetings is for project Q&A and to clarify CBA rules the project will incorporate into the new TL system. It is critical for the project to keep appraised of legislative and union decisions that could affect the project. Therefore, this risk rating remains a “Low”.

11/29/19 - The primary resource responsible for tracking and coordinating Union issues will soon leave the project. This will be a risk to the project as some of the Union issues may need clarification for departments. The project plans to setup meetings between 10/28-11/8/19, fire fighter and HSTA union discussion topics with stakeholders so they are aware of the impact some of their constituents. The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

11/20/19 - The primary structure responsible for tracking and coordinating Union issues has now been hired. The project intends to implement regression testing, however, it could be affected to some extent by the new TL system. It is critical for the project to keep appraised of legislative and union decisions that could affect the project. Therefore, this risk rating remains a “Low”.

10/31/19 - DHRD has initially stated their intention to opt-out of utilizing the TL system as their system of record for payroll processing. In a current state the changes could be disruptive and several departments opt-out, a good deal of project team time and resources may have difficulty maintaining ePCS support. If these departments opt-out, a significant cost and already constrained DAGS and project team efforts to onboard the new TL system could be wasted.

10/29/19 - The project has noted that regression test plan will be available in upcoming reporting periods. Current efforts to meet that benchmark (94% operation with TL project tasks) are on track with TL design as configurations that may affect payroll processing.

9/8/19 - The project has asked and received approval to continue with the current configuration plan. The project will continue to follow the pay rule test plan as the configuration plan will continue to be followed. The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

9/30/19 - The project has made good efforts to keep appraised of legislative and union decisions that could affect the project. However, this risk rating remains a “Low”.

10/22/19 - The project has again noted that regression test plan will be available in upcoming reporting periods. Current efforts to meet that benchmark (94% operation with TL project tasks) are on track with TL design as configurations that may affect payroll processing.

9/30/19 - The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

10/22/19 - The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

11/30/19 - The project has met with many of the smaller unions but have yet to meet with UPW, HGEA, and UPA. The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

11/30/19 - The project has met with many of the smaller unions but have yet to meet with UPW, HGEA, and UPA. The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

9/30/19 - The project has noted that the project team has not been in a position to test the feature set of the TL system as they have not received the system from the developers. The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

11/30/19 - The project noted that consultation meetings will be held on an ongoing basis. Current efforts to meet that benchmark (94% operation with TL project tasks) are on track with TL design as configurations that may affect payroll processing.

10/31/19 - The project noted that consultation meetings will be held on an ongoing basis. Current efforts to meet that benchmark (94% operation with TL project tasks) are on track with TL design as configurations that may affect payroll processing.

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9/30/19 - The project noted that consultation meetings will be held on an ongoing basis. Current efforts to meet that benchmark (94% operation with TL project tasks) are on track with TL design as configurations that may affect payroll processing.

10/31/19 - The project has noted in testing environment that payroll processing is affected by the new TL system. The project plans to continue regression testing, however, it could be affected to some extent by the new TL system. It is critical for the project to keep appraised of legislative and union decisions that could affect the project. Therefore, this risk rating remains a “Low”.

9/8/19 - The project has requested the key executive leadership be made aware of details related to TL and the payroll processing impacts to ensure they are aware of the impact this new system could have. The project has stated the intend to make every attempt to ensure minimal disruption to employees and will work closely with the unions to minimize the negative union reactions.

9/30/19 - The project noted that consultation meetings will be held on an ongoing basis. Current efforts to meet that benchmark (94% operation with TL project tasks) are on track with TL design as configurations that may affect payroll processing.

11/29/19 - The project has initiated the formal process for union consultation and has begun sending consultation letters to unions. The intent of these consultation meetings is for project Q&A and to clarify CBA rules the project will incorporate into the new TL system. It is critical for the project to keep appraised of legislative and union decisions that could affect the project. Therefore, this risk rating remains a “Low”.

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Year Project Name

Title / Summary

10/29/19 The project and OCM have met regularly to ensure communications and collaboration across key system design teams. OCM observed project deliverables to determine if the OCM plan is effective in addressing the risks and issues.

The project has elected to minimize PeopleSoft (PS) customizations to help mitigate system complexity and other M&O risks, it can negatively impact user adoption, training, OCM level of effort and effectiveness.

The project will ensure required milestones/gates that get user adoption, training, OCM level of effort and effectiveness are completed in a timely manner and department needs are addressed as quickly as possible.

PeopleSoft user interfaces and functionality are non-intuitive.

The project has demonstrated productive single point of contact would ideally own their department/division activities and risks and would work with executive leadership where appropriate.

The project has committed to initiating OCM at the governance level to ensure system design topics. IV&V observed productive Project team/DHRD collaboration sessions that produced what appeared to be good results. The project has begun vetting DHRD topics with the Executive Governance Committee.

While minimizing PS customizations will help mitigate system complexity and other M&O risks, it can negatively impact user adoption, training, OCM level of effort and effectiveness as well as lead to a negative perception of the systems usefulness/effectiveness and ultimately lead to a negative perception of the system.

The project has demonstrated productive Project team/DHRD collaboration sessions that produced what appeared to be good results. The project has begun vetting DHRD topics with the Executive Governance Committee.

While the project has demonstrated productive single point of contact would ideally own their department/division activities and risks and would work with executive leadership where appropriate.

PeopleSoft user interfaces and functionality are non-intuitive. The project has elected to minimize PeopleSoft (PS) customizations to help mitigate system complexity and other M&O risks, it can negatively impact user adoption, training, OCM level of effort and effectiveness.

The project will ensure required milestones/gates that get user adoption, training, OCM level of effort and effectiveness are completed in a timely manner and department needs are addressed as quickly as possible.

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