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April 15, 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 (Apr 15, 2020)

Douglas Murdock
Chief Information Officer
State of Hawaiʻi

Attachment (2)

# Hawaii Department of Human Services Systems Modernization Project

## Final IV&V Status Report
for Reporting Period: March 1-31, 2020

*Submitted: April 15, 2020*

PUBLIC CONSULTING GROUP

Solutions that Matter

# Overview

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

Solutions that Matter

# Executive Summary

# Executive Summary

*In March, DHS and ASI leadership and staff demonstrated agility and flexibility by rapidly adopting the Federal and State guidelines related to the COVID-19 pandemic, meaning project work continued via remote access methods. The project team's focus was two-fold – developing the BES Optimization contract amendment, and performing activities related to conversion, functional and technical designs, and testing.*

*IV&V reviewed aspects of the draft BES Optimization contract amendment and provided comments to DHS for consideration. Based on our initial review, IV&V will focus on researching four keys areas once the BES Optimization Contract Amendment is final:*

1. ***Staffing** – Proficiency of ASI's staff implementing/using the proposed tools, software and process changes.*
2. ***Requirements** – Assurance that the solution meets Federal (FNS, CMS) requirements and provides traceability from initial requirements definition through production implementation.*
3. ***Architecture** – ASI's ability to fully integrate proposed tools and software to new and existing project tools (e.g., ALM).*
4. ***Subcontractors** – ASI's management and oversight of subcontractors, with clearly defined roles and responsibilities as well as project guidelines for managing project artifacts.*

*When the BES Optimization contract amendment documents are final, IV&V will continue to work with DHS and the ASI to explore each of the above areas to identify potential risks and mitigation strategies for the project.*

*IV&V continued to participate in project status meetings and review project deliverables. As communicated in the February IV&V Monthly Status Report, all findings and categories now include ratings.*

| Jan | Feb | Mar | Category | IV&V Observations |
|---|---|---|---|---|
| N/R | N/R | M | Project Management | There are eight open findings in the Project Management category, one finding was retired (CMS MEET Certification Process) and two new findings were added; CMS Outcomes-Based Certification and COVID-19. The majority of the findings are rated as medium, the BES Architecture and the new COVID-19 findings are the only findings in this category with high criticality ratings at this time. |

# Executive Summary

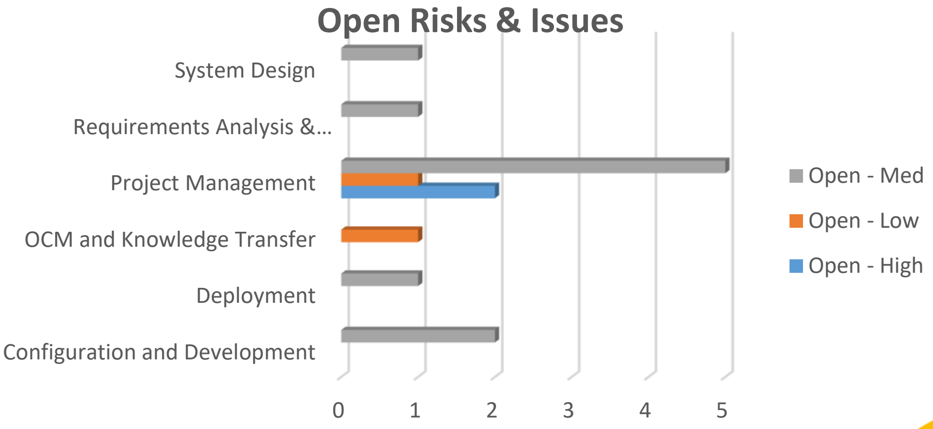
| Jan | Feb | Mar | Category | IV&V Observations |
|---|---|---|---|---|
| N/R | N/R | M | Configuration and Development | One of the two open findings is related to the MQD Portal, for which DHS indicated the RFP was released in this reporting period. The second finding is related to the project teams lack of a shared understanding of the ASI DDI approach. |
| N/R | N/R | M | System Design | The only open finding in the System Design category is related to the planned sequencing of discussion(s) about Workflow at the end of JADs instead of during the JAD sessions for each of the functional areas. |
| N/R | N/R | M | Deployment | The only open finding in the Deployment category is related to the planning and approach of the DDI Release Management practices. Based on discussions with the ASI, it is anticipated that some DDI release changes will be made as the project gets closer to the next BES release. |
| N/R | N/R | M | Requirements Analysis & Management | In March, the project team continued to 'break down' the project's functional requirements to eliminate the instance of 'partially met' requirements within design deliverables. IV&V will keep this finding open until the go forward path for all BES requirements is defined by the project team and will provide an update in April. |
| - | N/R | L | OCM & Knowledge Transfer | DHS and the ASI made good progress to address this finding in March. DHS is actively managing their staff transition plan and the ASI has hired additional staff to include the project coordinator position that allowed for a transition period and is currently recruiting for the vacant solution architect key staff position. Considering the COVID-19 Pandemic, there could be economic impacts to the state directly related to the project resources needs in the short and long term. |

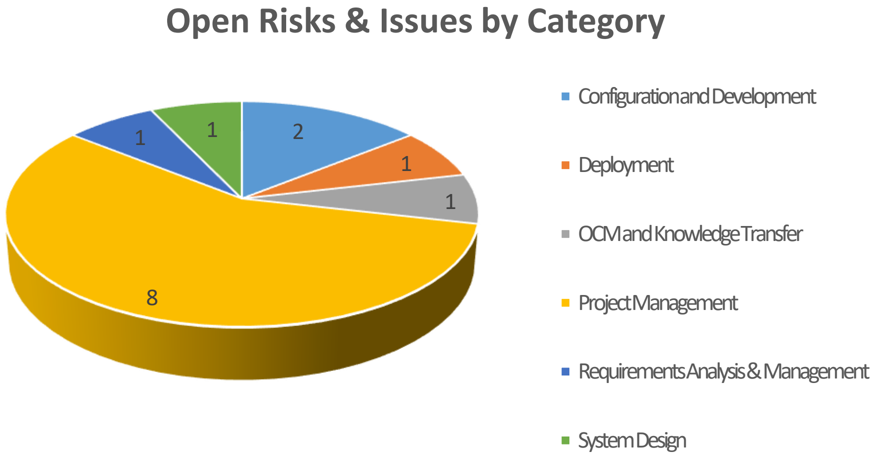
N/R = No criticality rating provided

# IV&V Findings and Recommendations

# IV&V Findings and Recommendations

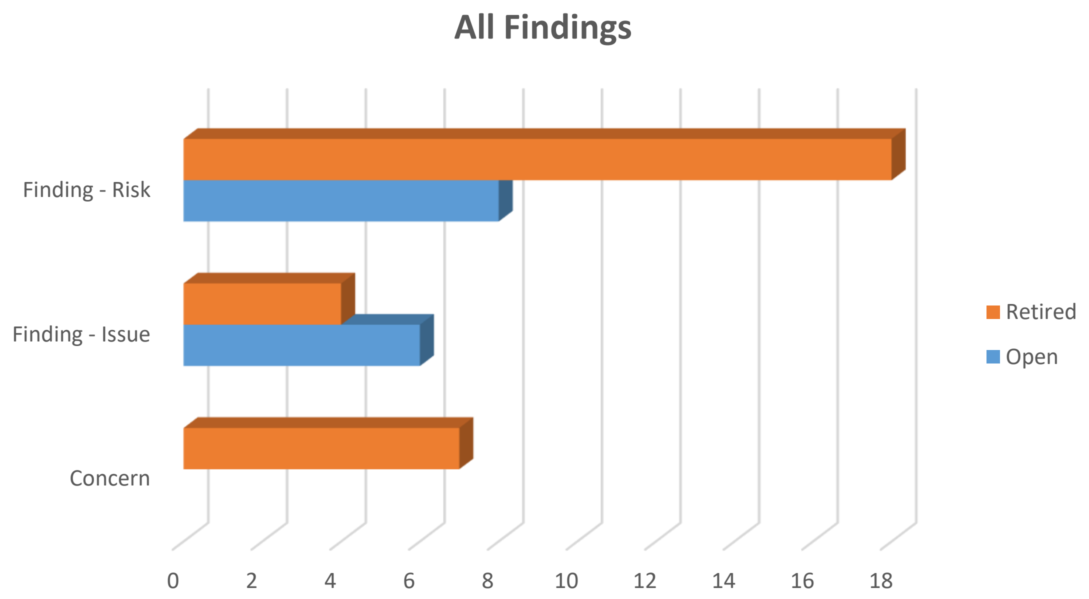
*As of the March 2020 reporting period, PCG is tracking 14 open findings (8 risks and 6 issues) and has retired 29 findings and concerns. Of the 14 open findings, 8 are related to Project Management, 2 are related to Configuration and Development, and 1 each in System Design, Deployment, Requirements Analysis & Management and OCM and Knowledge Transfer. IV&V opened two new findings and closed one finding during the reporting period. The following figures provide a breakdown of our open risks and issues by priority and 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 |
|---|---|---|
| **48** | **Risk -** The CMS Outcomes-Based Certification (OBC) Requirements have not been published by CMS, which may impact the project schedule and funding. | Project Management |
| **47** | **Risk** - The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget. | Project Management |

# IV&V Findings and Recommendations

## Findings Retired During the Reporting Period

| # | Finding | Category |
|---|---|---|
| **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.<br>This finding was directly related to the PPU between DHS and CMS that establishes the framework for the CMS Certification as defined by the CMS MEET life cycle process. IV&V retired this finding because CMS informed DHS that the CMS MEET Life Cycle and processes, including the PPU, will not apply to the BES Project. The CMS Outcomes-Based Certification process and requirements will be applied. | Project Management |

# IV&V Findings and Recommendations

## Preliminary Concerns Investigated During the Reporting Period

| # | Finding | Category |
|---|---|---|
| **46** | **New –** Due to the development of prototypes and data models based on systems to be retired (as opposed to design documentation supporting the new solution), the solution may not meet the project requirements, resulting in unplanned rework across the SDLC.<br>IV&V fully supports prototyping as a best practice within the Agile SDLC. However, IV&V's concern surrounds the basis of the prototyping, which is stated to be the systems planned for retirement as opposed to newer technologies and the current BES requirements. The ASI, DHS and IV&V are planning a review meeting in early April to further research this concern. | Configuration and Development |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 2 | **Issue – Late Delivery of project deliverables may result in schedule delays**. In the March reporting period, the ASI and DHS continued to work on the BES Optimization contract amendment. Once agreed upon, the ASI is planning to publish an updated schedule.<br>To manage the work currently underway, the ASI published an interim schedule on 3/4/2020 with subsequent updates on 3/18/2020 and 3/25/2020. Based on IV&V's review of the interim schedule, it does not include all work that is currently being performed. Recognizing that the interim schedule may not require the same level of detail that will eventually be included in the overall project schedule, all of the tasks that are currently being, or have been performed should be captured in the interim schedule. The ASI stated the intent of the interim schedule is to manage high-level activities/tasks and is actively using the interim schedule to manage the work. | M |

| Recommendations | Progress |
|---|---|
| • Add all tasks that have been performed or planned to be performed in the interim schedule. | In process |
| • IV&V will reassess the standing of this finding when the BES Optimization schedule is published by the ASI. | In process |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| **26** | **Risk – Due to the lack of detail in the baseline schedule, unanticipated schedule delays may occur.**<br>In the March reporting period, the ASI and DHS continued to work on the BES Optimization contract amendment. Once agreed, the ASI is planning to publish an updated schedule. The ASI developed and is using an interim schedule to manage the work currently and planned to be performed until the overall project schedule is published. | M |

| Recommendations | Progress |
|---|---|
| • Add all tasks that have been performed or planned to be performed in the interim schedule. | In process |
| • IV&V will reassess the standing of this finding when the updated schedule is published by the ASI. | In process |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 27 | **Risk - The baseline schedule lacks proper resource loading which could result in unanticipated schedule delays.** In the March reporting period, the ASI and DHS continued to work on the BES Optimization contract amendment. Once agreed, the ASI is planning to publish an updated schedule. The ASI developed and is using an interim schedule to manage the work currently and planned to be performed until the overall project schedule is published. | M |

| Recommendations | Progress |
|---|---|
| • Add all tasks that have been performed or planned to be performed in the interim schedule. | In process |
| • IV&V will reassess the standing of this finding when the overall project schedule is published by the ASI. | In process |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 29 | **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.** In the March reporting period,  DHS continued to work with the ASI to negotiate the terms and scope of the BES contract amendment. Currently, the project is anticipating the possibility of delaying the BES implementation timeframe and reducing the scope (requirements) in order to stay within the current project budget. Until the BES contract amendment is finalized, the full impact to scope, schedule, cost, and resources will not be known. | H |

| Recommendations | Progress |
|---|---|
| • IV&V will reassess the standing of this finding upon complete review of the BES contract amendment and will update the recommendations for this finding as appropriate. | In process |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 42 | **Risk** - **Insufficient ASI communication with DHS regarding key (urgent/time sensitive) project information could lead to project delays and disrupt DHS operations**. During the 2/26/20 status meeting, the ASI stated their intention to update the Communications Plan. The ASI delayed the delivery of the updated Communication Plan to DHS to address the additional changes necessitated by the COVID-19 pandemic. IV&V will revisit this risk with the ASI and DHS in April but maintains this is a medium risk to the project as of the March reporting period. | M |

| Recommendations | Progress |
|---|---|
| • Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule. | In process |
| • ASI establish a single communications channel to manage all ASI to DHS communications and ensure regular communication to DHS. | In process |
| • Update project communications plan with enhanced communication processes. | In process |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 44 | **Issue - The project has not documented key milestones to amend the contract for the BES Optimization, which could result in a lack of clarity regarding current status and work that remains to be accomplished.** IV&V reviewed the one-page list of tasks and found it to be sufficient to commence tracking of the process. On 03/20/2020, the ASI submitted its BES Optimization proposal to DHS, negotiations are in progress. IV&V will leave this finding open until the BES Optimization contract amendment is executed. | L |

| Recommendations | Progress |
|---|---|
| • Develop a singular document (e.g., a milestone calendar) to track progress and understand the scope of work needed to be done to complete the BES Optimization contract amendment. | In process |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 47 | ***New Risk*** **– The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.**<br>***Observation:*** On 3/23/2020, the Governor of Hawaii issued a “stay at home, work from home” order that has reduced state departments’ ability to be fully functional as most state workers will be required to work from home/remotely at least until the end of April. Some offices may be closed until that time as well. Unclear if the order will extend beyond that date.<br>***Significance:*** DHS stakeholder participation in key activities could be significantly hindered – not only by working remotely but also by shifting the focus on delivering services to beneficiaries. Planned key activities such as design sessions that are facilitated/attended remotely may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until this crisis passes. | H |

| Recommendations | Progress |
|---|---|
| • Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype). | In process |
| • Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. | |
| • Update the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 pandemic in the short and long term. | In process |

# IV&V Findings and Recommendations

## Project Management

| # | Key Findings | Criticality Rating |
|---|---|---|
| 48 | *New Risk* – **The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.**<br>***Observation:*** CMS has not published the Outcomes-Based Certification (OBC) requirements/process, which allows states to receive 90% FFP for Medicaid functionality of the BES solution.<br>***Significance:*** If the OBC process and requirements are not published by CMS prior to the State's approval of the functional and technical requirements, the project's ability to receive enhanced Federal funding may be at risk.<br>IV&V will follow-up with DHS and provide an update in the next report. | M |

| Recommendations | Progress |
|---|---|
| • Continue dialogue with CMS regarding the project's approach to OBC and MITA alignment to ensure all CMS requirements are met by the BES Solution. | In process |

# IV&V Findings and Recommendations

## Configuration and Development

| # | Key Findings | Criticality Rating |
|---|---|---|
| 12 | **Issue – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost.** DHS reported the KOLEA Portal RFP was released this month. IV&V is not clear regarding DHS' plan for the BES Portal requirements and will follow-up in April. | M |

| Recommendations | Progress |
|---|---|
| • Complete the Change Request (CR) process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate. | Closed |
| • Continue discussions with the ASI and DHS to understand the go forward plan related to the BES Portal requirements. | In process |

# IV&V Findings and Recommendations

## Configuration and Development

| # | Key Findings | Criticality Rating |
|---|---|---|
| 16 | **Issue – Lack of clear understanding of DDI approach may reduce effectiveness of JARs and JADs.** The ASI conducted a walk-through of the LucidChart Process Diagrams for DHS however, DHS has stated that this and other ASI efforts to explain the big picture have not met their expectations or increased their understanding of the ASI SDLC methods. Additionally, the project continues to work on the BES contract amendment. It is currently unknown if the BES contract amendment, or the inclusion of subcontractor development resources will change or impact the ASI's DDI approach.<br>IV&V will continue to evaluate this finding as BES contract amendment details are made available. | M |

| Recommendations | Progress |
|---|---|
| • IV&V will reassess the standing of this finding upon complete review of the final BES contract amendment and will update recommendations for this finding as appropriate. | In process |

# IV&V Findings and Recommendations

## System Design

| # | Key Findings | Criticality Rating |
|---|---|---|
| **38** | **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.** The project continues to work with the ASI to negotiate the terms and scope of the BES contract amendment. At this time, the plan for how Workflow will be incorporated into JADs is unknown. IV&V will review plans for the revised BES Optimization effort, specifically as they pertain to JADs, once they become available. | M |

| Recommendations | Progress |
|---|---|
| • IV&V will reassess the standing of this finding upon complete review of the final BES contract amendment and will update recommendations for this finding as appropriate. | In process |

# IV&V Findings and Recommendations

## Deployment

| # | Key Findings | Criticality Rating |
|---|---|---|
| **40** | **Issue - Due to inadequate DD&I Release Management practices the project may experience delayed or failed releases and/or poor release quality.** In the March reporting period, IV&V validates that no new M&O or DD&I releases were performed during the month. IV&V will continue to monitor, as it is anticipated that some DDI release changes will be made as the project gets closer to the next BES release. | M |

| Recommendations | Progress |
|---|---|
| • Assign a Release Manager to manage all details of planned releases. | Complete |
| • 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 | **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.** The ASI is continuing its efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements. Per the latest interim schedule, this activity was scheduled for completion by March 31, 2020, however it was not completed at the end of the month.<br>IV&V will continue to monitor and provide an update in April. | M |

| Recommendations | Progress |
|---|---|
| • 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 Findings and Recommendations

## OCM & Knowledge Transfer

| # | Key Findings | Criticality Rating |
|---|---|---|
| 43 | **Risk - Due to key DHS, BES and ASI Project Team members departing and/or transitioning from the project, succession planning and knowledge transfer is needed to ensure there are no gaps in knowledge and leadership on the project**. Progress is noted for this risk during this reporting period in that DHS has a transition plan in place and is managing the activities.  The ASI filled the project coordinator and business analyst positions and is actively recruiting for the Solution Architect position.<br>IV&V will continue to monitor this risk until all positions are filled. | L |

| Recommendations | Progress |
|---|---|
| • The state should develop a transition plan for the project and PMO resources as identified in the RFP, which includes DHS PMO and DHS DDI resources (reference RFP section 3.4.3 'DHS Staffing'). It should also include possible project resource impacts considering the COVID-19 economic impacts to the State. | In process |
| • The ASI should develop a transition plan for each key resource as required by the RFP (reference RFP section 3.5.1.2 'Benefits Eligibility Solution Project Staffing'.) | In process |

# IV&V Status

# IV&V Engagement Status

| IV&V Engagement Area | Jan | Feb | Mar | Comments |
|---|---|---|---|---|
| IV&V Budget | 🟢 | 🟢 | 🟢 | |
| IV&V Schedule | 🟢 | 🟢 | 🟢 | |
| IV&V Deliverables | 🟢 | 🟢 | 🟢 | PCG submitted the final February 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 | | | | | |
|---|---|---|---|---|---|
| 🟢 | The engagement area is within acceptable parameters. | 🟡 | The engagement area is somewhat outside acceptable parameters. | 🔴 | The engagement area poses a significant risk to the IV&V project quality and requires immediate attention. |

# IV&V Activities

- IV&V activities in the March reporting period:
  - Completed – February Monthly Status Report
  - Submitted – BI-10 resubmission comments
  - Ongoing – Review Deliverables for BES project
  - Ongoing – Attend ASI project meetings, (see Additional Inputs pages for details)
  - Reviewed available BES Optimization contract amendment documentation

- Planned IV&V activities for the April reporting period:
  - Ongoing – Observe BES JAD and Workgroup sessions as scheduled
  - Ongoing – Observe Weekly Project Status meetings
  - Ongoing – Observe bi-weekly BES Project Risk and Issue meetings
  - Ongoing – Monthly IV&V findings meetings with the ASI
  - 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 as scheduled

# Deliverables Reviewed

| Deliverable Name | Deliverable Date | Version |
|---|---|---|
| BI-02 Project Status Report Deliverable | Weekly as delivered | N/A |
| BES Interim Schedule | Weekly as delivered | N/A |
| BI-10 Design – MDM Master Person Index | 02/20/2020 | 1.5 |
| BI-10 Design - Consent Management | 03/05/2020 | 1.0 |
| BI-10 Design - Common Functions – Schedule Appointments | 03/16/2020 | 1.0 |
| BI-10 Design - Common Functions – Alerts and Notifications | 03/24/2020 | 1.0 |
| BI-11 Data Integration and Interface Design - MDM Interfaces | 03/05/2020 | 1.12 |
| BI-11 – Interface Control Document – DPS/HYFC | 03/25/2020 | 1.0 |

# Additional Inputs – Artifacts

| Deliverable Name | Artifact Date | Version |
|---|---|---|
| Lucid Charts – Big Picture | N/A | |
| Unisys Draft Solution Optimization Proposal | 03/18/2020 | |
| Unisys Final Solution Optimization Proposal v1.0 | 03/23/2020 | |

# Additional Inputs

**Meetings and/or Sessions Attended/Observed:**

- BESSD PMO, IV&V Weekly Meeting x4 (03/04/2020, 03/11/2020, 03/18/2020, 03/25/2020)
- PCG Internal Meeting x11 (03/02/2020, 03/09/2020, 03/11/2020, 03/16/2020, 03/19/2020, 03/23/2020, 03/26/2020, 03/26/2020, 3/30/2020, 03/30/2020, 03/31/2020)
- BES Status Meetings x4 (03/04/2020, 03/11/2020, 03/18/2020, 03/25/2020)
- BES Change Control Board Meeting (03/04/2020)
- Data Conversion Meeting (03/03/2020)
- Pre-Draft Findings Review with the ASI (03/03/2020 and 03/31/2020)
- BI-10 Consent Management Walkthrough Meetings x2 (03/12/2020, 03/16/2020)
- BES Security Meeting (03/25/2020)

# Appendices

# Appendix A – IV&V Criticality Ratings

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

# Appendix B – Findings Log

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

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| Finding Number | Title | Owner | Finding Type | Identified Date | Category | Observation | Significance | Recommendation | Event Horizon | Impact | Probability | Analyst Priority | Finding Status | Date Retired | Status Update | Client Comments | Vendor Comments |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 48 | The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may | Jolene | Finding - Risk | 3/30/2020 | Project Management | CMS has not published the Outcomes-Based Certification (OBC) requirements/process, which allows states to receive 90% FFP for Medicaid functionality of the BES solution. | If the OBC process and requirements are not published by CMS prior to the State's approval of the functional and technical requirements, the project's ability to receive enhanced Federal funding may be at risk. | The State continue to follow-up with CMS for the status of the release of the OBC Process and Requirements and discuss this risk with CMS to determine if there will be any options available to minimize this risk to the State. | Prior to Functional and Technical Requirement Approval. | 5 | 4 | Med | Open | | 03/31/2020 - This finding replaces finding Number 5 which was in relation to the CMS MEET Life Cycle. CMS informed DHS that the BES project will require the adoption of the CMS OBC process, the MEET process will no longer apply. | | |
| 47 | The COVID-19 pandemic and the related "stay at home" order could hinder project activities and n | MF | Finding - Risk | 3/29/2020 | Project Management | On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced state departments' ability to be fully functional as the large majority of state workers will be required to work from home/remotely at least until the end of April and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date. | DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until this crisis passes. The DHS project team will soon lose some key members of the PMO, the PMO lead will retire on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. If the state/DHS institutes a hiring freeze, DHS PMO may not be able to replace these key resources. Additionally, if the state institutes furloughs, DHS project team resources could be further constrained. Unclear if the state budget challenges will impact overall project funding. | - Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype). - Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. - Update the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 pandemic in the short and long term. - Send broad communications to stakeholders to assure clear understanding of changes to the project with this regard to impacts of COVID as well as clarifying communications as to what will remain the same. | ASAP | 3 | 5 | High | Open | | | | 3/31/2020 - Per Paul Oliver, The project has also logged a risk for COVID-19, ASI main concern is the impact to BESSD organization and ability to continue to support the project moving forward. ASI has less concern regarding their staff since Unisys is used to working remotely and it overall has less of an impact on Unisys team. |
| 44 | The project has not documented key milestones to amend the contract for the BES Solution Optim | Darren | Finding - Issue | 2/28/2020 | Project Management | IVV is not aware of a singular document that defines the milestones and timeframe specific to completing the BES Solution Optimization contract amendment. | Without a singular document detailing timing and milestones, DHS may not be able to track and account for all the steps and activities needed to complete the BES Solution Optimization contract amendment. | Develop a singular document (e.g., a milestone calendar) to track progress and understand the scope of work needed to be done to complete the BES Solution Optimization contract amendment. | ASAP | 3 | 2 | Low | Open | | 03/31/2020 - IVV reviewed the one-page list of tasks and found it to be sufficient to commence tracking of the process. On 03/20/2020, the ASI submitted its BES Optimization proposal to DHS, negotiations are in progress. IVV will leave this finding open until the contract amendment is executed. 3/4/2020 - The ASI PM provided a one-page list of milestones to complete the contract amendment. IVV will review the document and provide an update next month. | | 3/3/2020 - ASI PM indicated a high-level one-page ppt milestone schedule does exist and was shared with DHS last week, ASI PM sent the IVV team a copy of the schedule on 3/4/2020. |
| 43 | Due to key DHS, BES and ASI Project Team members departing and/or transitioning from the projec | Jolene | Finding - Risk | 1/10/2020 | OCM and Knowledge Transfer | As reported in various project meetings, several key DHS PMO, BES and ASI project team members are planning to retire or leave the project within the next few months or have already transitioned off the project. While there are plans and actions being taken, a formal transition/succession plan has not been documented. In January, the ASI did announce and introduce an interim Project Manager, but a plan for a permanent replacement is not currently known. | The key resources leaving the BES Project provide knowledge and history of DHS and its software, solutions, and business processes, along with a level of consistency and continuity to the extended project team. This experience and knowledge is critical for the BES DDI and KOLEA Modifications, and planning efforts for BES Maintenance and Operations activities. | The state should document a transition plan for the project and PMO resources as identified in the RFP, which includes DHS PMO and DHS DDI resources (reference RFP section 3.4.3 'DHS Staffing'). The plan should include the possible COVID-19 economic impact to the state budget, directly in relation to the project resources. The ASI should document a transition plan for each key resource as required by the RFP (reference RFP section 3.5.1.2 'Benefits Eligibility Solution Project Staffing'.) | ASAP | 3 | 3 | Low | Open | | 3/31/2020 - DHS has a transition plan in place and is managing the activities. The ASI filled the project coordinator and business analyst position, and is actively recruiting for the Solution Architect position. IVV will continue to monitor this risk until all positions are filled. 2/29/2020 - This finding was discussed with DHS and the ASI PM this month and they are taking the initial steps to mitigate this risk. IVV learned that the ASI PM did attend knowledge transfer sessions with both the former ASI PM and the former ASI PMO Lead, prior to their departures. Further, the ASI has discussed its plans to hire both a full time PM and full time PMO Lead. IVV will follow-up with DHS and the ASI PM in March and provide an update in the next report. Due to the progress observed in February, IVV is reducing this risk to a low priority. | | 3/3/2020 - The ASI PM stated the Project Coordinator position is filled and they will begin work on 3/9/2020, transition activities from Donna will begin next week. ASI PM also stated they are currently filling the ASI PM and ASI Engagement Manager Roles and is commited to the project in these roles for the next 6 months. |
| 42 | Insufficient ASI communication with DHS could lead to project delays and disrupt DHS operations. | mfors | Finding - Risk | 10/28/2019 | Project Management | IVV has observed that ASI communication to DHS regarding key project information is at times insufficient and/or delayed. Recent examples include: - 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 #797). - During the 10/30/19 Release lessons learned (retrospective) session, DHS UAT participants detailed multiple instances of ASI communication challenges, including: - 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. | 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. | • 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 | Med | Open | | 03/29/2020 - During the 2/26/20 status meeting, the ASI stated their intention to update the Communications Plan. The ASI delayed the delivery of the updated Communication Plan to DHS to address the additional changes necessitated by the COVID-19 Pandemic. IVV will continue to monitor this finding. 02/27/2020 - The ASI has stated their intention to update the project Communications Plan based on IVV feedback. With the recent replacement of the ASI PM, some stakeholders have reported improved communications and IVV has observed a significant improvement in productive ASI/IVV communications. IVV will continue to monitor this finding. 01/31/2020 - IVV is again unaware of any changes made to the project's Communication Plan or processes during January, and no ASI weekly status meetings were held in January. IVV acknowledges that the ASI has brought on a new project manager and is in process of transitioning the PMO Lead position as well. IVV will revisit this risk with the ASI and DHS in February but maintains this is a medium risk to the project as of the January reporting period. 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 criticality risk to the project during the December reporting period. 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 criticality risk to the project as of the November reporting period. | | 03/03/2020 - The ASI PM stated the updates to the Communications Plan will be submitted next week.<br>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. |
| 41 | Due to a lack of clarity regarding "Partially Met" requirements in design artifacts, full traceability of | Darren | Finding - Risk | 9/23/2019 | Requirements Analysis & Management | 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). | If requirements are not completely traced throughout the SDLC, it is may result in missing functionality and reduced scope. | 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. | Q4 2019 | 4 | 3 | Med | Open | | 03/31/2020 - The ASI is continuing its efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements. Per the latest interim schedule, this activity was scheduled for completion by March 31, 2020, however it was not completed at the end of the month. IVV will continue to monitor in April. 02/29/2020 - IVV is aware that the ASI has commenced efforts with DHS BESSD to break down requirements into singular, traceable, and testable requirements, in an effort to eliminate concerns about partially met requirements. IVV recommended use of a uniform acceptance criteria be used to break down the requirements, such as IEEE 29148. IVV confirms that this effort has been completed and there are no longer any partially met requirements for the Iteration 1 MDM Release. However, it is unclear at this point what the schedule is for the remaining balance of the partially met requirements, or if a uniform acceptance criteria was utilized. IVV will continue to monitor in March to gain further details of the planned approach forward. 01/31/2020 - IVV does not have a material update for the January reporting period. The ASI has not yet met with DHS to discuss the tasks and activities needed to address partially met requirements, however, it remains IVV's understanding that they have agreed to work on this together. IVV will follow up on this risk with the ASI and DHS in February. 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 criticality risk to the project as of the December reporting period. 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 | | 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.<br>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. |
| 40 | Due to inadequate DDI release management practices the project may experience delayed releases | Darren | Finding - Issue | 9/23/2019 | Deployment | 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. | 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. | 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. | OCT 2019 | 4 | 4 | Med | Open | | 03/31/2020 - IVV validates that no new M and O or DDI releases were performed during March. IVV will continue to monitor, as it is anticipated that some DDI release changes will be made as the project gets closer to the next BES release. 02/29/2020 - IVV validates that the ASI still has not yet performed a BES release, however the ASI has now successfully accomplished two releases for KOLEA MO. IVV will continue to monitor as it is anticipated that some DDI release changes will be made as the project gets closer to the next BES release. IVV changed the priority from a high to med based on the KOLEA releases and the first BES release is not planned to occur until summer 2020. 01/31/2020 - In the January 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 February. 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 - No substantive changes to DDI release management were observed by IVV during November. IVV acknowledges that the ASI is making progress on its second KOLEA M&O release, which is currently planned for implementation in January 2020. IVV maintains this is a high criticality risk to the project as of the November reporting period. 10/31/2019 - IVV made the following observations in October related to the ASI's release management practice: - 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 | | 03/03/2020 - The ASI PM stated some BES functionality was included in the KOLEA releases and the 3rd KOLEA release was successful last week. ASI PM requested IVV to evaluate the priority (reduce from high) of this finding considering the plans and performance of the KOLEA releases.<br>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.<br>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. |
| 38 | Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessic | 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. Uninformed design decisions could lead to significant rework, confusion among SME's and the ASI project team, unproductive analysis discussions, and a poor design. Further, if DHS is asked to sign off on designs that lack clear workflow/task functionality, they could be signing off on a poor or incomplete design. | - ASI work quickly to define how the workflow/task functionality will work, train BA session leads - Introduce SME's to workflow/task functionality and integrate into system designs. | ASAP | 4 | 4 | Med | Open | | 03/29/20 - The project continues to work with the ASI to negotiate the terms and scope of the BES Optimization. At this time, the plan for how Workflow will be incorporated into JADs is unknown. IVV will review plans for the revised BES Optimization effort, specifically as they pertain to JADs, once they become available. 02/27/2020 - The project continues to work with the ASI to negotiate the terms and scope of the BES Solution Optimization. At this time, the plan for how Workflow will be incorporated into JADs is unknown. IVV will review plans for the revised BES Solution Optimization effort, specifically as they pertain to JADs, once they become available. 01/31/2020 - In the January 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 February. 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 | | 3/31/2020 - Paul Oliver did not have a chance to talk to his team, he will do so and get back with IVV.<br>03/03/2020 - The ASI PM stated workflow is being addressed in some of the JAD sessions. ASI and IVV will follow-up with the project team to gain a clear understanding of how workflow will be addressed.<br>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.<br>09/12/19 SB: The ASI will work with DHS in assessing whether to change the current schedule for these funtional areas. |

| Finding Number | Title | Owner | Finding Type | Identified Date | Category | Observation | Significance | Recommendation | Event Horizon | Impact | Probability | Analyst Priority | Finding Status | Date Retired | Status Update | Client Comments | Vendor Comments |
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| 29 | Uncertainty and/or a lack of communication around long term architecture decisions could lead to | 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 their is a possibility that the platform could change then analysis/design could focus on platform agnostic design and avoid extensive efforts in refining a platform specific design. | ASAP | 4 | 5 | High | Open | | 03/29/2020 - DHS continued to work with the ASI to negotiate the terms and scope of the BES contract amendment. Currently, the project is anticipating the possibility of delaying the BES implementation timeframe and reducing the scope (requirements) in order to stay within the current project budget. Until the BES contract amendment is finalized, the full impact to scope, schedule, cost, and resources will not be known. 02/27/2020 - The project continues to work with the ASI to negotiate the terms and scope of the BES Solution Optimization. Currently, the project is anticipating the possibility of having to push out the BES implementation time frame, along with a reduction in scope (requirements) in order to stay within the current project budget. Until the BES Solution Optimization contract amendment is finalized, the full impact to scope, schedule, cost, and resources will not be known. IVV will review plans for the BES Solution Optimization effort and contract amendment as they become available. 01/31/2020 - In the January 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 February. 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 | | 10/10/19 SB: The ASI is working on the KOLEA specific content of BI-12 and this has been relayed to DHS.<br>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 | 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 'Unisys'. - There are over 19,000 hours of work assigned to 'DHS'. - There are over 7,000 hours of work assigned to 'DHS Technical'. | The project's ability to understand 'which' staff are working on 'what' project tasks is obscured. Such extreme overallocation of resources can result in unplanned schedule delays, and unobtainable task end dates and milestones. This condition in the schedule is an indication that one or more of the following may be occurring: there may not be enough resources to accomplish the planned tasks in accordance with the schedule; tasks may not have been fully decomposed to the appropriate level; resource assignments may not have been fully planned out and/or assigned. | It is recommended that the ASI perform, at a minimum, the following; - Add all tasks to the interim schedule. - 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 | Med | Open | | 03/31/2020 - In the March reporting period, the ASI and DHS continued to work on the BES Optimization contract amendment. Once agreed, the ASI is planning to publish an updated schedule. The ASI developed and is using an interim schedule to manage the work currently and planned to be performed until the overall project schedule is published. 02/29/2020 - The State decided to move forward with the BES Solution Optimization and is currently working with the ASI to amend the contract. An ASI action item was opened to develop an interim schedule on 2/12/2020 detailing the work currently being performed, with expected completion by 2/26/2020. The ASI reported in the 2/19/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASI contract is executed. This action item was since pushed out for completion (at a high level) on 3/4/2020. IVV will leave this finding open until such time that a revised schedule is published by the ASI. 01/31/2020 - During the January reporting period, the State informed IVV they are researching alternative solutions for the BES application. As DHS and the ASI agreed not to maintain the current schedule, the ASI published the last schedule update on December 10, 2019. IVV will leave this finding open until such time that a revised schedule is published by the ASI. As reported last month, 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 options and will readdress this finding in February. 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. | | 3/31/2020 - Paul Oliver - Jocelyn is actively working to develop the new schedule to rebaseline. ASI is using MS-Project to allocate the intial resources. Concern is ongoing resource management via MS-Project. Going forward the ASI plans to use ETC spreadsheet with all resources loaded to include some subcontractors, (eWorld/Speridian will manage their own resources and not be included in ETC). Paul will review with IVV once the baseline schedule is complete.<br>3/3/2020 - The ASI PM indicated the schedule may not be fully resourced in MS-Project since it requires a significant amount of time to manage. They will review alternatives (ETC Forecasting tool) and get back with us.<br>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.<br>06/11/19 S Brown: The ASI will continue to update and level resource allocations. |
| 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 to where actual progress can accurately be measured. IVV has become aware that some project leads are using Excel, Trello, or other tools to track task and activity details within their respective areas of responsibility. | If all tasks and activities are not thoroughly decomposed in a common manner using MS Project, it is highly likely that sub-plans recorded elsewhere will at times not be in sync with and/or congruent with overall project plans. This type of approach often times results in unplanned activity and/or project delays, and hinders the project's ability to sufficiently plan for the appropriate resources to be involved in each task. | - Add all tasks to the interim schedule. - 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 | Med | Open | | 3/31/2020 - The ASI and DHS continued to work on the BES Optimization contract amendment. Once agreed, the ASI is planning to publish an updated schedule. The ASI developed and is using an interim schedule to manage the work currently and planned to be performed until the overall project schedule is published. 02/29/2020 - The State decided to move forward with the BES Solution Optimization and is currently working with the ASI to amend the contract. An ASI action item was opened to develop an interim schedule on 2/12/2020 detailing the work currently being performed, with expected completion by 2/26/2020. The ASI reported in the 2/19/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASI contract is executed. This action item was since pushed out for completion (at a high level) on 3/4/2020. IVV will leave this finding open until such time that a revised schedule is published by the ASI. 01/31/2020 - During the January reporting period, the State informed IVV they are researching alternative solutions for the BES application. As DHS and the ASI agreed not to maintain the current schedule, the ASI published the last schedule update on December 10, 2019. IVV will leave this finding open until such time that a revised schedule is published by the ASI. As reported last month, 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 options and will readdress this finding in February. 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. IV&V will reassess this | | 3/31/2020 - Paul Oliver - The interim schedule was not intended to capture every task/activitiy. It was meant to capture the major (higher level) tasks to manage the project short term. The ASI team is focused on the long term schedule aligned to the BES Optimization. The interim schedule is being used and reviewed weekly in the Unisys team meeting. The interim schedule will be used for approximately 1 month, targeting the end of April for the BES Optimization Schedule.<br>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.<br>09/12/19 SB: The ASI and DHS have a weekly meeting to review the schedule in great detail. The ASI and DHS are evaluating options to simplify the schedule and work item tracking process.<br>06/11/19 S 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 JAR 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 | Med | Open | | 03/29/2020 - The ASI conducted a walk-through of the LucidChart Process Diagrams for DHS, however, DHS has stated that this and other ASI efforts to explain the big picture have not met their expectations or increased their understanding of the ASIs SDLC methods. Additionally, the project continues to move forward with the BES Solution Optimization. It is currently unknown if the Solution Optimization, or the inclusion of subcontractor development resources, will change or impact the ASI's DDI approach. IVV will continue to evaluate this finding as additional details about the Solution Optimization are made available. 02/27/2020 - The ASI has recently provided DHS with a series of LucidChart Process Diagrams as a means to provide them with a better understanding of the 'big picture' and how all the individual processes and analysis relate to each other and 'fit together'. Review sessions of these diagrams are planned. Additionally, the project continues to move forward with the BES Solution Optimization. It is currently unknown if the Solution Optimization, or the inclusion of subcontractor development resources, will change or impact the ASI's DDI approach. IVV will continue to evaluate this finding as additional details about the Solution Optimization are made available. 01/31/2020 - In the January 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 February. 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 | 1/7/19: Note. During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Unisys offered to present the orientation during each JAD session. It was suggested by DHS that the pre-JAD packet be placed in the SharePoint project site. For new participants in the JADs, a separate orientation before the JAD should be held for those new participants. | 10/10/19 SB: DHS has agreed to the updated BI 10 template 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.<br>09/12/19 SB: The BI 6 DDI Plan Deliverable has been accepted by DHS. The ASI is currently addressing comments on the interations of BI 10 Functional Design deliverable provided for review to DHS to more clearly align with sections of the approved DED.<br>06/11/19 S 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.<br>1/3/19 - Unisys (Bill Thornton) reports that they offered to provide the approach materials in the pre-JAD package and conduct an overview prior to each JAD session, however, DHS has declined this offer. |
| 12 | Changes in direction regarding the preferred platform for portal development may impact project | mfors | Finding - Issue | 11/28/2018 | Configuration and Development | The project intends to utilize Adobe as the preferred platform for portal development, instead of LifeRay (which is currently used for the existing KOLEA portal platform), as the BES project web portal solution. Adobe Forms is currently out of scope for the BES portal but is in scope for BES PDF production. This decision represents a change in scope and requires a CR, which is currently in process. ASI has given DHS a Rough Order of Magnitude (ROM) estimate of $2.8 million for this CR and has also provided a more details PIA. As of the date of this report, the Project is tracking this as a 'Top Level Issue.' It is unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope swaps. | If DHS executes a change request to implement Adobe as the BES portal solution, there will be a significant impact to the project budget. The ASI has stated that if the portal platform is not decided soon there will be schedule impacts as they need to staff for the appropriate skillset. ASI has also stated they may begin developing a solution in LifeRay until a CR is executed to move to Adobe. | • 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 | Med | Open | | 03/29/20 - DHS reported the KOLEA Portal RFP was released this month. IVV is not clear regarding the move forward plan for the BES Portal requirements and will follow-up in April.. 02/27/20 - The ASI has restarted JAD sessions for the BES portal design as of 2/11/20. IVV is not aware if the KOLEA Portal RFP has been released. IVV will continue to monitor this and will provide an update in March. 01/31/2020 - IVV validated the DHS KOLEA Portal RFP had not been released as of the end of January. IVV also confirmed that the BES Portal is still planned as a component of the ASI scope of work. IVV will continue to monitor this and will provide an update in February. 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 criticality 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 criticality risk to the project as of the November reporting period. 10/28/19 - As reported in the 10/30/2019 ASI Weekly Status Meeting, MQD 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 criticality 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 LifeRay 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 Liferay to Adobe. Because the decision was different than Unisys' proposal, Unisys submitted a CR and proposed hours for the change. Due to the high cost, DHS decided to competitively bid the portal work for KOLEA and to turn over the | | 10/10/19 SB: 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.<br>09/12/19 SB: Active conversation and assessment of options continues between the ASI and DHS.<br>06/11/19 S Brown: The ASI disagrees with the finding that there is limited communication to the project on this item. It is statused on a weekly basis as part of the status report and meeting, with client agreement on status.<br>03/13/2019 Bill Thornton, Unisys:<br>Clarification has been provided to the composite rate applying to DDI enhancements with the existing technology stack. Adobe is a new technology and the composite rate does not apply. We will update the PIA with effort and the roles utilized. |

| Finding Number | Title | Owner | Finding Type | Identified Date | Category | Observation | Significance | Recommendation | Event Horizon | Impact | Probability | Analyst Priority | Finding Status | Date Retired | Status Update | Client Comments | Vendor Comments |
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| 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. | 3/31/2020 - Add all tasks that have been performed or planned to be performed in the interim schedule. 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 DDI 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 TDDs will impact the schedule, and update accordingly - Determine if rework to FDDs 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 | Med | Open | | 03/31/2020 - the ASI and DHS continued to work on the BES Optimization contract amendment. Once agreed upon, the ASI is planning to publish an updated schedule. To manage the work currently underway, the ASI published an interim schedule on 3/4/2020 with subsequent updates on 3/18/2020 and 3/25/2020. Based on the IVV review of the interim schedule, it does not include all work that is currently being performed. Recognizing that the interim schedule may not require the same level of detail that will eventually be included in the overall project schedule, all of the tasks that are currently being, or have been performed should be captured in the interim schedule. The ASI stated the intent of the interim schedule is to manage high-level activities/tasks and is actively using the interim schedule to manage the work. 02/29/2020 - The State decided to move forward with the BES Solution Optimization and is currently working with the ASI to amend the contract. An ASI action item was opened to develop an interim schedule on 2/12/2020 detailing the work currently being performed, with expected completion by 2/26/2020. The ASI reported in the 2/19/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASI contract is executed. This action item was since pushed out for completion (at a high level) on 3/4/2020. IVV will leave this finding open until such time that a revised schedule is published by the ASI. 01/31/2020 - During the January reporting period, the State informed IVV they are researching alternative solutions for the BES application. As DHS and the ASI agreed not to maintain the current schedule, the ASI published the last schedule update on December 10, 2019. IVV will leave this finding open until such time that a revised schedule is published by the ASI. As reported last month, 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 options and will readdress this finding in February. 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 | | 3/31/2020 - Paul Oliver - The interim schedule was not intended to capture every task/activity. It was meant to capture the major (higher level) tasks to manage the project short term. The ASI team is focused on the long term schedule aligned to the BES Optimization. The interim schedule is being used and reviewed weekly in the Unisys team meeting. The interim schedule will be used for approximately 1 month, targeting the end of April for the BES Optimization Schedule.<br>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.<br>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.<br>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.<br>3/13/19 Bill Thornton, Unisys:<br>Specific to the PMP, the DED was approved by DHS on 1/15/2019 and the deliverable submitted on 1/21/2019. Specific to the project schedule, the DED was approved by DHS on 1/23/2019 and the deliverable is planned for submission the week of 3/18/2019.<br>2/6/19, Bill Thornton, Unisys: Executive Summary Risks Feedback The project schedule has been baselined but it needs to be re-baselined based on the approval dates of the DED's. Deliverable delays – as deliverables are not supposed to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval. Findings and Recommendations (#2) – Project Management ASI submitted 19 deliverables and DEDs – Clarification - there were 2 deliverables submitted (BI-8 Technical specs for the non-prod environments and BI-4 the PMP) – the rest were DEDs Deliverable Review process has not |