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May 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 (May 15, 2020)

Douglas Murdock  
Chief Information Officer  
State of Hawai'i

Attachment (2)



# Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report  
for Reporting Period: April 1-30, 2020

*Submitted: May 13, 2020*

# Overview

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Solutions that Matter

The background is a solid blue color. It features several abstract geometric elements: a cluster of overlapping squares and rectangles in the top-left corner, some with white outlines and others as solid blue shapes; a single square with a white outline in the center-left; and a few more squares and rectangles in the bottom-right corner, some with white outlines and others as solid blue shapes.

# Executive Summary

# Executive Summary









*In April, the BES Optimization Contract Amendment was signed and executed. As the project team continues to move forward with the near-term activities, some of the BES Optimization project details (e.g. payment schedule, requirements definition, detailed project schedule, resource planning) are currently being refined. The BES Optimization Contract Amendment introduces a new set of software and tools, a revised change in the Design Development and Implementation (DDI) approach from Waterfall/Hybrid to Agile/Hybrid and a shift from the configuration of a COTS product (Siebel) to development (Java) for the BES Application. These are significant changes for the project team that must be effectively planned, communicated and managed by DHS and the ASI using proven Project Management and Software Development Life Cycle (SDLC) methodologies, with a keen focus on communication. The project team is planning to publish the Project Schedule, implementation approach and the Architecture details in mid-May, which will establish the foundation for successful project completion in the months ahead.*

Feb	Mar	Apr	Category	IV&V Observations
N/R	M	M	Project Management	The Project Management category includes the majority of IV&V's findings, which address the project schedule, solution architecture, quality of project artifacts, communications, and the impact of COVID-19 on the project team. With the 'restart' of the project, the project team needs to avoid past challenges by planning what needs to be done, and then executing to the plan.
N/R	M	M	Configuration and Development	The project team does not have a shared understanding of the ASI's development approach and how the BES application will be built. The decision to move forward with BES Optimization provides the ASI with an opportunity to remedy this. The ASI plans to provide a detailed review of their approach to the project team in May.
N/R	M	M	System Design	Workflow (the sequence through which work passes from initiation to completion) was inconsistently addressed during the BES design sessions. As part of the BES Optimization re-planning effort, the ASI is adjusting the project schedule to ensure the design of workflow is consistently addressed in all functional areas.

# Executive Summary



Feb	Mar	Apr	Category	IV&V Observations
N/R			Deployment	The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases. The ASI is planning to apply process lessons learned in the June 2020 BES release.
N/R			Requirements Analysis & Management	In April, the project team continued to 'break down' the project's functional requirements to eliminate the instance of 'partially met' requirements. Although the BES Optimization contract amendment was fully executed, a complete requirements list had not been fully articulated. While IV&V acknowledges that DHS and the ASI are actively working to complete the final list of agreed upon requirements, a new high criticality finding was opened this month because of the risk this poses to meeting DHS' business needs and the potential of project rework.
-			OCM & Knowledge Transfer	DHS and the ASI continued to address this finding in April by executing a transition plan and interviewing candidates. IV&V changed the criticality rating of this finding due to the risk to the project of anticipated staffing limitations as new State hiring guidelines are initiated to address State Budget concerns.
N/R = No criticality rating provided				

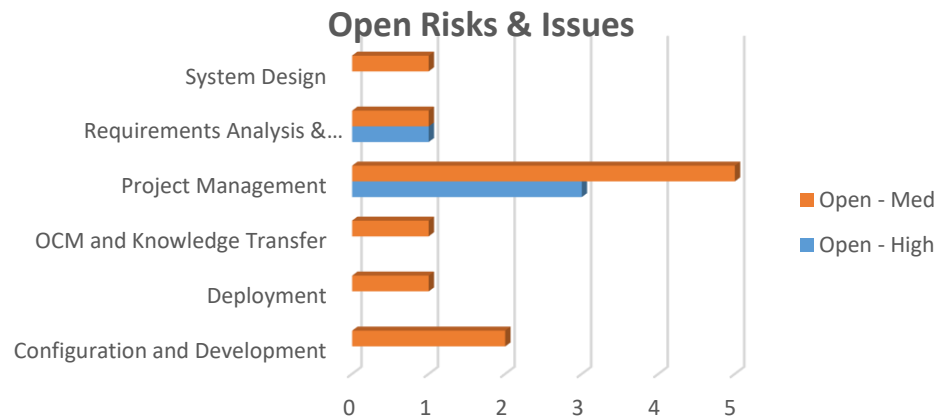


# IV&V Findings and Recommendations

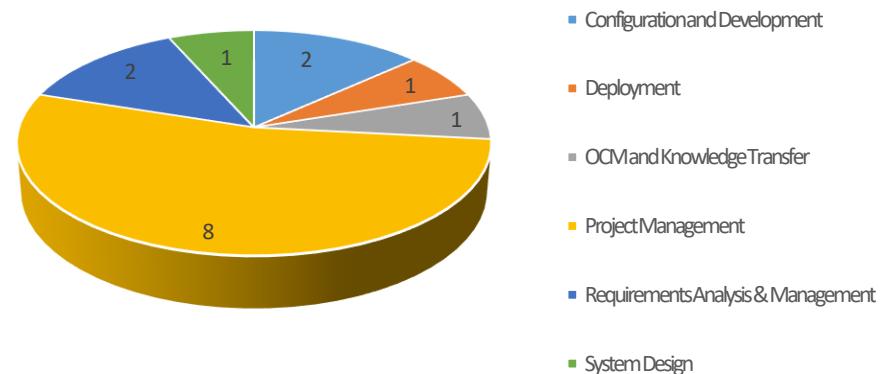
# IV&V Findings and Recommendations



As of the April 2020 reporting period, PCG is tracking 15 open findings (10 risks and 5 issues) and has retired 30 findings and concerns. Of the 15 open findings, 8 are related to Project Management, 2 are related to Configuration and Development and Requirements Analysis and Management, and 1 each in System Design, Deployment 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.



### Open Risks & Issues by Category

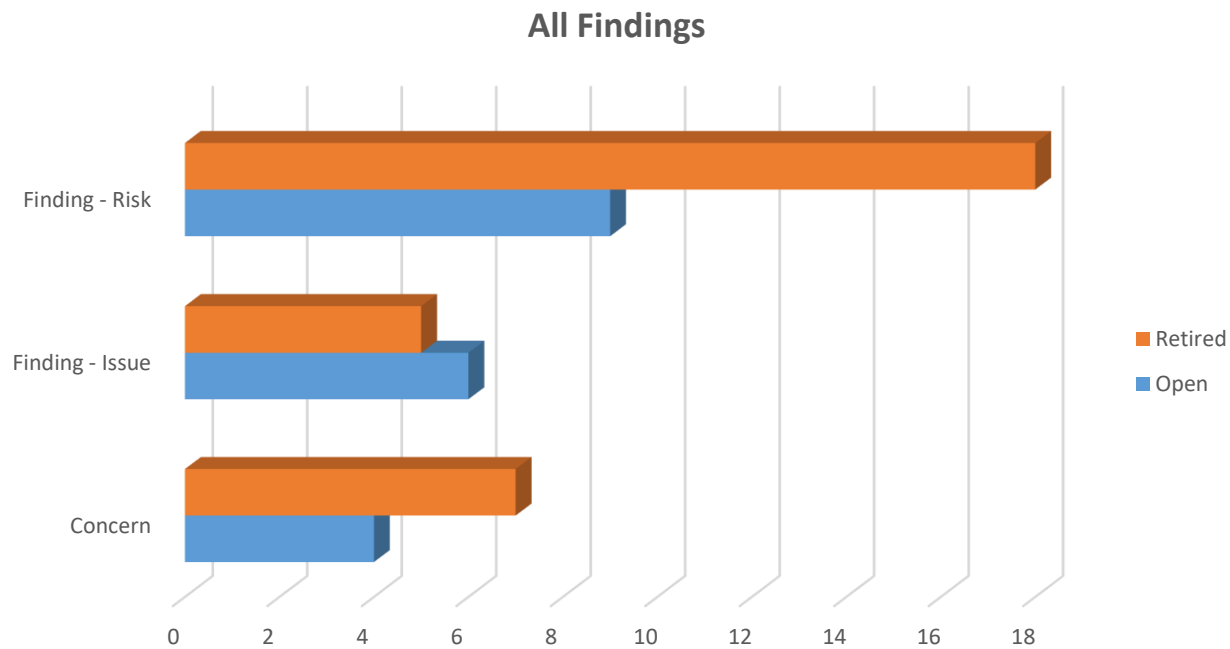




# IV&V Findings and Recommendations



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



# IV&V Findings and Recommendations



## Findings Opened During the Reporting Period

#	Finding	Category
49	<b>Issue</b> – Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.	Project Management
51	<b>Risk</b> – Insufficient requirements elaboration prior to executing the contract amendment may result in a solution that does not meet DHS business needs.	Requirements Analysis and Management

# IV&V Findings and Recommendations



## Findings Retired During the Reporting Period

#	Finding	Category
44	<p><b>Issue</b> – 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.</p> <p>The BES Optimization Contract Amendment was fully executed; therefore this issue was closed in April.</p>	Project Management

# IV&V Findings and Recommendations



## Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
45	<b>New</b> – The association of test artifacts to use cases rather than requirements may create rework and impact the development of FNS-required project artifacts to support the Pilot of the BES application.	Testing
46	Unplanned rework may result from prototyping based on systems that will be retired. Requirements should drive design so that the BES application supports new/updated business processes.	Configuration and Development
50	<b>New</b> – The ASI's staffing configuration is not being adjusted to accommodate the BES Optimization approach. A project team skilled and experienced with the software and tools is essential to streamline the project work, take full advantage of the tools and meet the project delivery dates.	Project Management
52	<b>New</b> – The ASI's management of subcontractors has not been documented in a formal management plan. This could lead to confusion within the project team regarding roles, responsibilities, project communications, escalation paths, issue and risk identification/mitigation and scope of work.	Project Management

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
2	<b>Issue – Late Delivery of project deliverables may result in schedule delays.</b> The ASI continued to provide weekly updates to the interim project schedule. The target dates for several deliverables were postponed this month to address a quality issue logged by DHS. The ASI acted by completing a root cause analysis and will adopt process changes to improve the quality and potentially reduce or minimize the risk of deliverable delays in the future. The ASI reported in the 4/29/2020 status meeting that the impact of these delays will be mitigated or adjusted as the BI-5 Project Schedule is further defined. The ASI published a draft BI-5 Project Schedule, reviewed with DHS and IV&V and is planning to present the BI-5 Project Schedule to DHS for approval on May 15, 2020.	M

Recommendations	Progress
<ul style="list-style-type: none"><li>Add all tasks that have been performed or planned to be performed in the interim schedule.</li></ul>	In process
<ul style="list-style-type: none"><li>IV&amp;V will reassess the standing of this finding when the BES Optimization schedule is published by the ASI.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
26	<b>Risk – Schedule delays may occur due to the lack of detail in the baseline schedule.</b> The ASI published an initial draft of the BI-5 Project Schedule on 4/17/20 and facilitated a client review on 4/24/2020, where DHS and IV&V provided suggestions for improvement. The ASI commenced weekly schedule update reviews starting on 4/28. The ASI plans to have the Project Schedule, with the details of all planned tasks activities complete on May 15, 2020. IV&V will continue to monitor this activity in May.	

Recommendations	Progress
<ul style="list-style-type: none"><li>IV&amp;V will reassess the standing of this finding when the updated schedule is published by the ASI.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management

#	Key Findings	Criticality Rating
27	<b>Risk - Schedule delays may occur if the baseline schedule does not have proper resource loading.</b> The initial draft of the BI-5 Project Schedule was published on 4/17/2020 and continues to be constructed and iterated by the ASI. The ASI anticipates this to be finalized by May 15, 2020 and will be fully resourced and include all planned tasks and activities through deployment and project closure.	 M

Recommendations	Progress
<ul style="list-style-type: none"><li>IV&amp;V will reassess the standing of this finding when the overall project schedule is published by the ASI.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management

#	Key Findings	Criticality Rating
29	<b>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.</b> In the April reporting period, the BES Optimization contract amendment was completed, and it provides high-level architecture information. However, important architecture details are not yet available; once details become available (likely as updates to the BI-12 Architecture Plan) IV&V will review and provide feedback.	A red circle with a white letter 'H' inside, indicating a high criticality rating.

Recommendations	Progress
<ul style="list-style-type: none"><li>IV&amp;V will reassess the standing of this finding upon complete review of the BES Optimization architecture information.</li></ul>	In process



# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
42	<b>Risk – Project delays and disruption in DHS operations may occur if ASI communications with DHS regarding key (urgent/time sensitive) project information does not improve.</b> 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. The ASI stated the updated Communications Plan will be delivered by 4/30/20 for DHS to review. As the project development activities shift to eWorld, DHS is concerned about the lack of transparency around their progress and details of what they are working on. IV&V will revisit this risk with the ASI and DHS in May but maintains this is a medium risk to the project as of the April 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


#H S	Key Findings	Criticality Rating
47	<b>Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.</b> The Governor's "stay-at-home" mandate has been extended through May 31, 2020, which means the majority of project participants will continue to work from home. It remains unclear if all stakeholders can access email and calendar events from home. IV&V will monitor for related impacts to the project and provide an update in the next report.	

Recommendations	Progress
<ul style="list-style-type: none"><li>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).</li></ul>	In process
<ul style="list-style-type: none"><li>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.</li></ul>	In process
<ul style="list-style-type: none"><li>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.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
48	<p><b>Risk – The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.</b></p> <p>No update during this reporting period, IV&amp;V will follow-up with DHS and provide an update in the next report.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>DHS to continue dialogue with CMS regarding the project's approach to OBC and MITA alignment to ensure all CMS requirements are met by the BES Project.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management

#	Key Findings	Criticality Rating
49	<p><b>New Issue – Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.</b></p> <p><b>Observation:</b> In April, four BI-10 design deliverables and one Interface Control Document deliverable were submitted for client review. There was an average of 85 comments submitted for each of these deliverables. The documents exhibited erroneous information, a lack of a logical organizational flow, an insufficient level of detail, and a lack of understanding of the subject matter from both a functional and technical perspective. DHS logged this issue in the Project Issue Log for corrective action by the ASI. The ASI acted by conducting an internal root cause analysis and provided DHS and IV&amp;V the high-level results.</p> <p><b>Significance:</b> The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays due to the associated rework needed for remediation. If poor quality deliverables continue to be produced and submitted for review, this can continue to result in unproductive use of time, unanticipated rework, misguided development and testing activities, potentially unfulfilled functionality, and additional schedule delays.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>IV&amp;V recommends that a facilitated root cause analysis be performed by the ASI with DHS and IV&amp;V in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IV&amp;V recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables</li></ul>	In process

# IV&V Findings and Recommendations



## Configuration and Development


#	Key Findings	Criticality Rating
12	<b>Issue – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost.</b> The proposals for the KOLEA Portal Modernization RFP were due 4/13/2020, DHS is currently evaluating the proposals.	M

Recommendations	Progress
<ul style="list-style-type: none"><li>Continue discussions with the ASI and DHS to understand the go forward plan related to the BES Portal requirements.</li></ul>	In process

# IV&V Findings and Recommendations



## Configuration and Development


#	Key Findings	Criticality Rating
16	<b>Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of JARs and JADs.</b> DHS signed the BES Optimization contract amendment which changes the project DDI approach including moving from Waterfall to an Agile approach. While details of these changes have yet to be made available, this shift could introduce additional risks if DHS does not come to a good understanding of Agile principles and how the ASI will implement Agile.	 M

Recommendations	Progress
<ul style="list-style-type: none"><li>Once details of the ASI's Agile approach become available and are communicated to DHS, IV&amp;V will assess and monitor DHS understanding and project productivity.</li></ul>	In process

# IV&V Findings and Recommendations



## System Design

#	Key Findings	Criticality Rating
38	<b>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.</b> As part of the BES Optimization re-planning effort, the ASI is adjusting the project schedule to ensure Workflow is designed across the BES solution consistently. This risk will remain open until IV&V receives/reviews the project artifacts.	

Recommendations	Progress
<ul style="list-style-type: none"><li>The ASI to define how the workflow/task functionality will be refined and integrated into the system designs. Communicate this approach with the project team and train the Business Analyst session facilitators.</li></ul>	In process

# IV&V Findings and Recommendations



## Deployment

#	Key Findings	Criticality Rating
40	<b>Risk - The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.</b> In the April 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, planned to occur in June 2020.	M

Recommendations	Progress
<ul style="list-style-type: none"><li>Assign a Release Manager to manage all details of planned releases.</li></ul>	Complete
<ul style="list-style-type: none"><li>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.</li></ul>	In process



# IV&V Findings and Recommendations



## Requirements Analysis & Management


#	Key Findings	Criticality Rating
41	<p><b>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.</b> The ASI continues its efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence process. This activity is behind schedule, it was planned to be complete by the end of April, and the revised completion date is currently unknown. The latest interim project schedule published by the ASI incorrectly states this activity as being completed, however per DHS, this activity is not completed.</p> <p>IV&amp;V will continue to monitor and provide an update in May.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>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.</li></ul>	In process

# IV&V Findings and Recommendations



## Requirements Analysis & Management


#	Key Findings	Criticality Rating
51	<p><b>New Risk</b> - Insufficient requirements elaboration prior to executing the contract amendment may result in a solution that does not meet DHS business needs.</p> <p><b>Observation:</b> The BES Optimization Contract amendment was completed, signed and executed in this reporting period. The ASI and DHS mutually agreed to finalize the BES DDI Project Requirements after the contract amendment was executed due to timing considerations. DHS and the ASI are moving forward to finalize the BES DDI requirements, however, a detailed plan to accomplish this has not been documented.</p> <p><b>Significance:</b> To meet the timelines outlined by the BES Optimization contract amendment, the project team needs the full set of requirements that minimize ambiguity to ensure: the application meets the business needs; no added cost to project; and no loss of functionality in the BES application.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>DHS should continue to work with the ASI to confirm all project requirements are loaded into the new requirements toolset to ensure requirement traceability through the DDI and into M&amp;O. DHS and the ASI should take into consideration, the original contract requirements that were amended via the controlled correspondence process, the modifications agreed upon in the BES Optimization Contract Amendment 3, the split of the requirements to remove any 'partially met' requirements, and the new requirements necessary for the shift from a COTS product to development and location and utilization of a RTM.</li></ul>	In process
<ul style="list-style-type: none"><li>DHS should continue to monitor the requirements gathering process, validating that all key business needs are captured in requirements going forward. Determine a requirements management and design artifact that provides full accountability of where every component of a requirement is satisfied, ensuring that each requirement is 'Fully Met' and can be validated as such.</li></ul>	In process

# IV&V Findings and Recommendations



## OCM & Knowledge Transfer

#	Key Findings	Criticality Rating
43	<p><b>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.</b> DHS continues to execute the transition plan for those staff planning to retire. The ASI continues to recruit for the Solution Architect Position. With the COVID-19 Pandemic, the state has instituted a hiring freeze and may take other actions (furloughs, salary adjustments) to address the overall financial impact to the state. The State has and intends to follow the exception approval process to hire critical BES project staff. The State's ability to align the required resources to the project may be challenging as the project moves forward therefore, IV&amp;V updated the priority of this risk from a low to medium.</p> <p>IV&amp;V will continue to monitor this risk until all positions are filled.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>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.</li></ul>	In process
<ul style="list-style-type: none"><li>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').</li></ul>	In process



# IV&V Status

# IV&V Engagement Status



IV&V Engagement Area	Feb	Mar	Apr	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final March 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				PCG added Scott Schledwitz to the IV&V team this month.
IV&V Scope				

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



- IV&V activities in the April reporting period:
  - Completed – March 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 May 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

# 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-05 Initial Draft Schedule Re-Baseline	04/17/2020	1 <sup>st</sup> Draft
BI-10 Design – Initiate SSP Pre-Screening	03/26/2020	1.0
BI-11 – Interface Control Document – DPS/HYFC	03/25/2020	1.0
MDM Master Person Index Release Test Plan	03/26/2020	1.0

# Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
Unisys Final Solution Optimization Analysis and Plan Proposal v1.2	03/31/2020	
Unisys Contract Amendment 3	4/22/2020	
Unisys Deliverable Peer Review Checklists		
PCG Agile Overview Presentation		
Unisys Schedule Change Tracker		





## Meetings and/or Sessions Attended/Observed:




- BESSD PMO, IV&V Weekly Meeting x5 (04/01/2020, 04/08/2020, 04/15/2020, 04/22/2020, 04/29/2020)
- BESSD/OIT, IV&V Touch Base Meeting x2 (4/6/2020, 4/27/2020)
- BES Status Meetings x5 (04/01/2020, 04/08/2020, 04/15/2020, 04/22/2020, 04/29/2020)
- BES Change Control Board Meeting (04/08/2020)
- Data Conversion Meeting (04/07/2020)
- Schedule Review Meetings x2 (04/24/2020, 04/28/2020)
- PCG Agile Overview with DHS 04/15/2020
- March Pre-Draft Report Review with Unisys (04/03/2020)
- BI-10 Walkthrough Meeting (04/07/2020)
- BI-11 Walkthrough Meeting (04/21/2020)
- BI-11 Template Improvement Meeting (04/24/2020)
- PCG Internal BES Project Meetings x14 (04/02/2020, 04/06/2020, 04/06/2020, 04/09/2020, 04/11/2020, 04/13/2020, 04/16/2020, 04/20/2020, 04/21/2020, 04/23/2020, 04/27/2020, 04/27/2020, 04/29/2020, 04/30/2020)

The background is a solid blue color. It features several abstract geometric elements: some squares are solid and semi-transparent, while others are just white outlines. These shapes are scattered across the page, with a higher concentration on the left side. Some squares are connected by thin white lines, creating a sense of structure or flow. The overall aesthetic is clean and modern.

# Appendices



# Appendix A – IV&V Criticality Ratings

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

# Appendix B – Findings Log

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- 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

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

# Appendix D – Background Information



## Systems Modernization Project

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

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

## Systems Modernization IV&V Project

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

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

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

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



# Appendix D – Background Information



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

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

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

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

## IV&V Assessment Categories for the BES Project

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



**Solutions that Matter**





Feature Number	Title	Owner	Feature Type	Identified Date	Category	Observation	Confidence	Recommendation	Event Horizon	Impact	Probability	Assess Priority	Feature Status	Open Retired	Dependencies	Client Comments	Vendor Comments					
						<p>Several DNS stakeholders have commented that the 5i Onology, Development, and Implementation (ODI) approach is unclear. While stakeholders can observe 5i activity and have participated in some 5i activities, they do not understand how all 5i's together and some activity objectives seems unclear. The 5i conducted a QOD approach review session during an initial JAR session, however not all stakeholders were present. IVV did not locate any QOD approach documentation or materials that could be referenced by stakeholders who may have missed to be overview session, by new members of the team, or by other interested parties.</p> <p>lack of stakeholder understanding and buy-in to the 5i QOD approach and project activity objectives may reduce the effectiveness of JAR and JAD sessions as well as other BES project activities and decisions.</p>		<p>FCO recommends one or more of the following to mitigate this risk. 1) Provide an additional QOD approach overview session for stakeholders and allow for Q&amp;A. 2) Provide QOD approach documentation/materials for stakeholders to review and/or refresh their knowledge as desired; the materials could be made available via the project SharePoint. 3) Submit QOD Plan deliverable and make it easily available to all project stakeholders.</p>	1/15/19	4	3	Med	Open	<p>04/22/2020 - DNS signed the BES Optimization contract amendment which changes the project QOD approach including moving from Material to an Agile approach. While details of these changes have yet to be made available, this shift could introduce additional risk. If DNS does not come to a good understanding of Agile principles and how the AS will implement Agile. 04/20/2020 - The ASO conducted a walk-through of the LucidChart Process Diagrams for DNS, however, DNS has stated that this and other ASO efforts to explain the big picture have not met their expectations or increased their understanding of the ASO QOD 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 ASO QOD approach. IVV will continue to evaluate this finding as additional details about the Solution Optimization are made available. 02/27/2020 - The AS has recently provided DNS 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 ASO QOD 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, IVV Team reviewed the existing BES Optimization proposal documentation and met with the DNS 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 resources to fully determine the impact of the BES Optimization on the project and DNS. Therefore, updates and ratings are suspended for this finding and additional information is provided to IVV. IVV will continue to monitor the progress of the BES Optimization, and will reassess this finding in February. 02/27/2020 - In the December reporting period, the IVV Team reviewed the existing BES Optimization proposal documentation and met with the DNS 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, 04/20/2020 - Proposal for the KCSA Portal Modernization RFP were due 4/15/19. DNS is currently evaluating the proposal. 04/20/20 - DNS reported the KCSA Portal RFP was released this month. IVV is not clear regarding the reuse forward plan for the BES Portal requirements and will follow-up in April. 02/27/20 - The AS has initiated JAD sessions for the BES portal design as of 2/12/20. IVV is not aware if the KCSA Portal RFP has been released. IVV will continue to monitor this and will provide an update in March. 01/31/2020 - IVV validated the DNS KCSA 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 ASO scope of work. IVV will continue to monitor this and will provide an update in February. 12/31/2019 - IVV has no updates on the status of the BES Portal RFP for the December Reporting period, however, understands that DNS 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 updates on the status of the BES 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 ASO Weekly Status Meeting, MGS will go on 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 AS had already allowed time for the delay in their original schedule. Given these delays and the fact that deliverables have already been produced assuming a Lifecycle platform, IVV is escalating this finding to an issue. 8/20/19 - There is unclear communication between DNS and ASO regarding the portal. After the project was initiated, DNS informed Unity that the Department decided to standardize on Adobe Sites and Forms and requested Unity change its portal development including KCSA from Unity to Adobe. Because the decision was different than Unity's proposal, Unity submitted a CR and 4/9/2020 - The ASO continued to provide weekly updates on the interim project schedule. The target date for several deliverables were postponed this month to address a quality issue highlighted by DNS. The ASO acted by completing a root cause analysis and will adopt process change to improve the quality and potentially reduce or minimize the risk of deliverable delay in the future. The ASO reported in the 4/29/2020 status meeting that the impact of these delays will be mitigated or adjusted as the BES Project Schedule is further defined. The ASO published a draft BES Project Schedule, reviewed with DNS and IVV and is planning to present the BES Project Schedule to DNS for approval on May 15, 2020. 03/12/2020 - The ASO and DNS continued to work on the BES Optimization contract amendment. Once agreed upon, the ASO is planning to publish an updated schedule. To manage the work currently underway, the ASO 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 ASO stated the intent of the interim schedule is to manage high-level activities and is actively using the interim schedule to manage the work. 02/26/2020 - The ASO decided to move forward with the BES Solution Optimization and is currently working with the ASO to amend the contract. An ASO 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 ASO reported in the 2/12/2020 status meeting they are preparing a project schedule that represents the work planned to be performed up to the time the revised ASO contract is executed. This action item was also 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 ASO. 02/21/2020 - During the January reporting period, the ASO informed IVV they are researching alternative solutions for the BES application. As DNS and the ASO agreed to move the current schedule, the ASO published the last schedule update on November 30, 2019. IVV will leave this finding open until such time that a revised schedule is published by the ASO. As reported last month, updates and ratings are suspended for this finding.</p>								
16	Lack of clear understanding of the QOD approach may reduce effectiveness of JAR and JADs.	mfrs	Finding - Issue	12/17/2018	Configuration and Development											<p>10/20/2018: DNS has agreed to the updated B1 10 template which will be reviewed as part of Iteration 3 activities. In addition, the ASO has produced a Home big picture and asked DNS and the PMO through it. The whiteboard big picture is being produced for team consumption.</p> <p>09/12/2018: The B 6 OOD Plan Deliverable has been accepted by DNS. The ASO is currently addressing comments on the iterations of B 10 Functional Design deliverable provided for review by DNS to more clearly align with versions of the approved OOD.</p> <p>06/11/2018 Brown: The ASO disagrees with this finding and associated rating. The OOD plan has been presented to the client in its entirety and the ASO is awaiting delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the methodology to the client. The ASO is in the process of updating the deliverable based on the QOD comments, with many of them from IVV and that new team is high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sessions along with general comments all due to the client this week. Walkthroughs will be scheduled as needed.</p> <p>1/7/19 - Unity (Bill Thornton) reports that they offered to provide the approach materials, the pre-JAD package and conduct an overview prior to each JAD session, however, DNS has declined this offer.</p>						
12	Changes in direction regarding the preferred platform for portal development may impact project.	mfrs	Finding - Issue	11/26/2018	Configuration and Development			<p>The project intends to utilize Adobe as the preferred platform for portal development, instead of Lifecycle (which is currently used for the existing KCSA portal platform), as the BES project with portal solution. Adobe Forms is currently out of scope for the BES portal but is in scope for BES 5 PDF production. This decision represents a change in scope and requires a CR, which is currently in process. ASO has given DNS a rough Order of Magnitude (PDM) estimate of \$2.4 million for this CR and has also provided a more detailed PM. As of the date of this report, the project is tracking this as a "Top level issue." It is unclear if DNS will be able to fund this CR or if it will involve de-scoping/scoping swaps.</p>								<p>Continued discussion with the ASO and DNS to understand the go forward plan related to the BES Portal requirements.</p>	01/2019	4	3	Med	Open	<p>10/10/19 SE: The ASO 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 DNS to address their project needs and budget concerns. The ASO has provided the PMO with an updated approach and ROM for the conversion of the KCSA portal to Adobe that the ASO believes is in line with DNS expectations and it is currently under review by DNS.</p> <p>09/12/19 SE: Active conversation and assessment of options continues between the ASO and DNS.</p> <p>08/12/19 SE Brown: The ASO disagrees with the finding that there is limited communication to the project on this item. It is discussed on a weekly basis as part of the status report and meeting, with clear agreement on status.</p> <p>04/13/2019 Bill Thornton, Unity: Clarification has been provided to the composite rate applying to OOD enhancements with the existing technology stack. Adobe is a new technology and the composite rate does not apply. We will update the PMO with effort and the rates utilized. We intend to support every management. It was meant to capture the major (higher level) tasks to manage the project short term. The ASO team is focused on the long term schedule aligned to the BES Optimization. The interim schedule is being used and reviewed weekly in the Unity team meeting. This interim schedule will be used for approximately 1 month, targeting the end of April for the BES Optimization Schedule. 10/10/19 SE: The ASO is working in close collaboration with DNS on the schedule and are assessing options to the project schedule and content and would ask the IV and V to reflect DNS's current assessment of this issue. 09/12/19 SE: The ASO meets weekly with DNS to review the schedule in detail and will continue to do so. As noted earlier, the ASO and DNS are assessing options to simplify the schedule and work item tracking process. 01/1/20: The ASO 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 ASO 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 project progress and schedule improvement. 12/12/19 Bill Thornton, Unity: Specific to the PMF, the OOD was approved by DNS on 12/12/2019 and the deliverable submitted on 2/12/2020. Specific to the project schedule, the OOD was approved by DNS on 12/20/2019 and the deliverable is planned for submission the week of 1/26/2020. 2/6/20: Bill Thornton, Unity: Executive Summary Risk Feedback: The project schedule has been highlighted but it needs to be re-baselined based on the approved dates of the OOD's. Deliverable dates - as deliverables are not supported - to be started until the OOD is approved. The deliverables are not disrupted, they need to be re-baselined based on the OOD approved. Findings and Recommendations (R2) - Project Management ASO submitted 10 deliverables and OOD's. Clarification - There were 6 deliverables submitted (B6 Technical spec for the non-prod environments and B4 the PMF) - the rest were OOD's. Deliverable Review process has not</p>
2	Late delivery of project deliverables may result in schedule delays.	Johnie	Finding - Issue	11/26/2018	Project Management			<p>Based upon the project schedule dated 12/26/18 (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 lack of Deliverable Expectation Documents (DED) requesting approval and acceptance from the State.</p> <p>Without a PMP that depicts all Project Management processes, the Project can suffer unprepared 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.</p>		TBC		4	3	Med	Open							