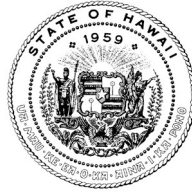


DAVID Y. IGE
GOVERNOR



DOUGLAS MURDOCK
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June 19, 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 (Jun 19, 2020 11:18 HST)

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: May 1-31, 2020

Submitted: June 11, 2020

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

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Executive Summary

Executive Summary



In May, the project team continued to refine the details of the BES Optimization contract amendment and develop the project framework (architecture, schedule, approach). Some work products were produced and are being updated/finalized by the project team but there are delays to some of the deliverables based on the draft schedule. Most noticeable, is the lack of change on this month's IV&V report as compared to last month's. If the time spent on planning and development of the project framework results in quality processes that are effectively communicated to the project team and can be efficiently applied, then this is time well spent. If not, the same issues will remain and may eventually cause another delay to the project.

Mar	Apr	May	Category	IV&V Observations
M	M	M	Project Management	The Project Management category continues to include the majority of IV&V's findings, which encompass 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.
M	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. IV&V conducted Agile overview sessions for DHS, at their request, to gain a better understanding of the Agile methodology and make informed project decisions. The ASI plans to provide a detailed review of their approach to the project team in June.
M	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



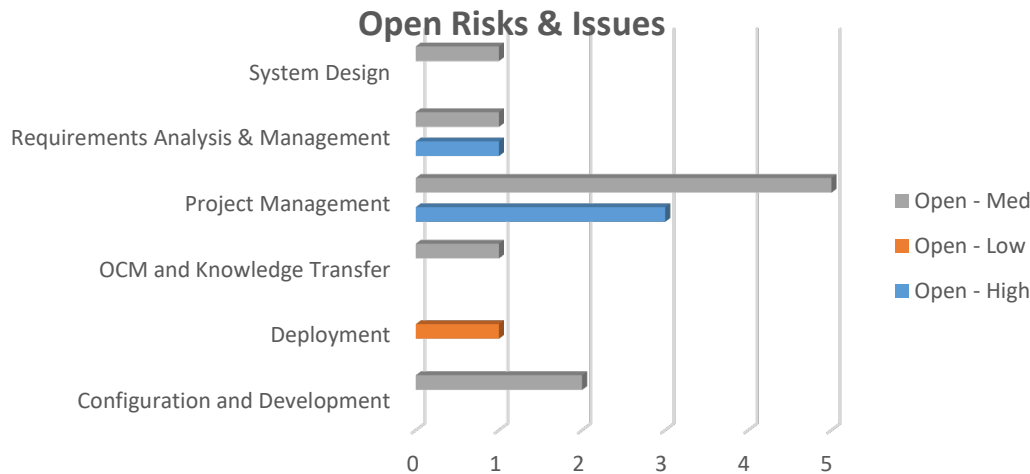
Mar	Apr	May	Category	IV&V Observations
M	M	M	Deployment	The ASI's planning and approach to Release Management were identified as opportunities for improvement during early releases. The ASI is planning to apply process lessons learned in the August 2020 BES release.
M	M	M	Requirements Analysis & Management	In May, 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 list of requirements has not been fully compiled. IV&V acknowledges that DHS and the ASI are actively working to complete the final list of agreed upon requirements to minimize the risk this poses to meeting DHS' business needs and the potential of project rework.
L	M	M	OCM & Knowledge Transfer	The ASI filled the solution architect position; all ASI key personnel positions are now filled. In May, DHS continued to execute the transition plan and is moving forward to fill the recently vacated DHS PMO position.

IV&V Findings and Recommendations

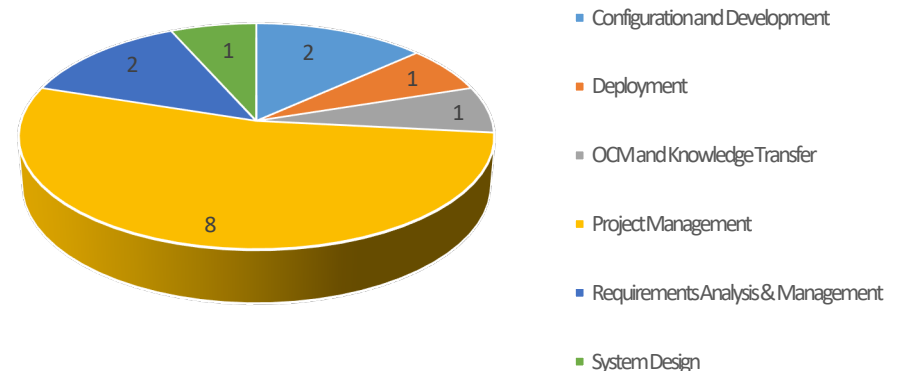
IV&V Findings and Recommendations



As of the May 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.



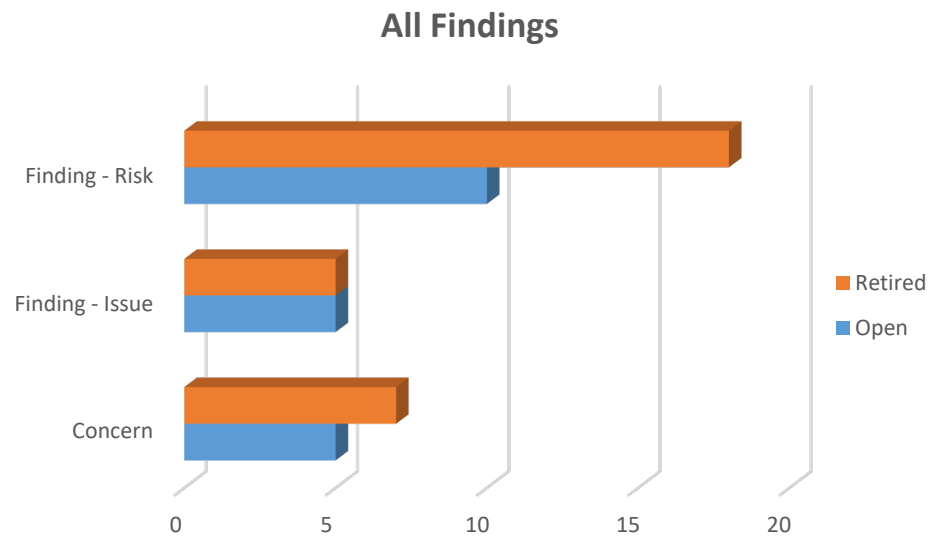
Open Risks & Issues by Category



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
	No new findings were opened in this reporting period.	

IV&V Findings and Recommendations



Findings Retired During the Reporting Period

#	Finding	Category
	No findings were retired during this reporting period.	

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
45	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	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	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
53	New - The System Architecture documentation is scheduled for completion after 5 of 7 releases are in progress, and 2 releases completed.	Systems Design

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
2	Issue – Late Delivery of project deliverables may result in schedule delays. On 5/15/2020, the ASI retired the interim project schedule and published the BI-5 Project Schedule, which will be updated on a weekly basis. Based on IV&V's review of the project schedule, due dates of providing updated planning deliverables (e.g., Communication Plan, BI-6 DDI Plan, BI-10 Functional and System Design DED) to DHS have been missed. While the ASI is tracking several outstanding items to update the schedule, there is not an DHS/ASI agreed upon process to 'baseline' the schedule, which needs to occur. IV&V will monitor closely and provide an update in the next report.	M

Recommendations	Progress
<ul style="list-style-type: none">Finalize the updates to the project schedule to address the outstanding items/issues identified by DHS and IV&V.	In process
<ul style="list-style-type: none">Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
26	Risk – Schedule delays may occur due to the lack of detail in project schedule. The ASI's BI-5 Project Schedule was re-published on 5/15/2020. The BI-5 Project Schedule provides little visibility to the BES functionality that is planned for each release. DHS and IV&V provided feedback to the ASI that may result in further changes to the schedule, prior to DHS approval of the schedule. These items are being addressed and discussed in the weekly BI-5 Project Schedule Review meeting.	M

Recommendations	Progress
<ul style="list-style-type: none">DHS/ASI update the schedule to reflect the level of detail described in the contract and the work that needs to be performed.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
27	Risk - Schedule delays may occur if the baseline schedule does not have proper resource loading. The BI-5 Project Schedule published by the ASI on 5/15/2020 is duration-based as opposed to task-based, which provides little visibility into resource allocation and is not aligned to the contract requirements. Additionally, most 'assigned' resources are resource groups as opposed to named individuals. DHS has expressed concerns on this approach and plans to discuss with the ASI.	M

Recommendations	Progress
<ul style="list-style-type: none">DHS/ASI update the schedule with the task-based resources as described in the contract.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
29	<p>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.</p> <p>The ASI plans to document and publish the BES Architectural details in phases. The first iteration of the BI-12 System Architecture deliverable is planned to be complete on 8/27/20. IV&V will review the provided documentation as it becomes available.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI should continue to document the architectural details in the BI-12 System Architecture Deliverable and if possible, review draft content with DHS and IV&V.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
42	<p>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. There continues to be a lack of timely communication between the ASI and DHS PMO. During May, IV&V noted the following:</p> <ul style="list-style-type: none"> The ASI published changes to their Key Personnel without providing the DHS PMO notice or prior approval as documented in the agreement. The ASI was scheduled to deliver the updated Organization Chart and Communication Plan to DHS on 5/15/20. In a weekly status meeting on 5/20/20, DHS was informed that the delivery date was changed to 6/1/20. <p>IV&V will continue to monitor this finding.</p>	

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

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
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. There are indications that the Stay-At-Home mandate will be extended through June 30, 2020. The project team is considering impacts to the project, including UAT and training if they will not be able to participate in-person.	

Recommendations	Progress
<ul style="list-style-type: none">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
<ul style="list-style-type: none">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.	In process
<ul style="list-style-type: none">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	Risk – The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding. No update during this reporting period, IV&V will follow-up with DHS and provide an update in the next report.	

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

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
49	Issue – Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule. On 5/18/2020, the ASI held a session to review the planned ASI and DHS remediation actions for the list of issues documented by DHS on 4/22/2020. While many next steps and action items were reviewed and some completed, the outstanding items were not assigned to project staff nor target complete dates identified. Project deliverable development activities are still paused pending these actions, which may result in additional schedule delays.	

Recommendations	Progress
<ul style="list-style-type: none">IV&V recommends that a facilitated root cause analysis be performed by the ASI with DHS and IV&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&V recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables	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 intends to create a unified (single) portal for both MQD and BES. DHS is still in discussions with the ASI on whether implementing the BES portal in a unified Adobe-based platform is within their scope of work. Customer benefits (Ohana Nui) of a unified portal could be compromised if the ASI implements a separate BES portal.	

Recommendations	Progress
<ul style="list-style-type: none">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	<p>Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of JARs and JADs. IV&V conducted Agile overview sessions for DHS, at their request, to provide a better understanding of the Agile methodology and help DHS make informed project decisions. The ASI has not published nor conducted any sessions with the extended project team to explain how they will adopt the Agile methodology for the BES Project. The ASI agile approach is planned to be documented and shared with DHS in early June 2020.</p>	
Recommendations		Progress
<ul style="list-style-type: none">Once details of the ASI's Agile approach become available and are communicated to DHS, IV&V will assess and monitor DHS understanding and project productivity.		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 ASI stated efforts are ongoing to identify design gaps due to workflow functionality being tabled during some JAD sessions. The ASI has also stated their intention to address these gaps in an Agile fashion as implementation details become available. As details become available, IV&V will update this finding.	M

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

IV&V Findings and Recommendations



Deployment

#	Key Findings	Criticality Rating
40	Risk - The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases. No changes to this finding in May. While there is currently a KOLEA M&O release (R20.2.M) planned for June, the first BES DDI release is scheduled for August 2020. IV&V will continue to monitor.	

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

IV&V Findings and Recommendations



Requirements Analysis & Management

#	Key Findings	Criticality Rating
41	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 and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by eliminating all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence (CC). To date, five (5) CC documents have been written and approved for this activity. DHS states they are awaiting additional CC's for Appeals, SSP, and a few others. IV&V notes that these required tasks and activities are not included in the BI-5 Project Schedule however, the ASI is working with DHS to plan the activity details for incorporation into the schedule.	M

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

IV&V Findings and Recommendations



Requirements Analysis & Management

#	Key Findings	Criticality Rating
51	Risk - Insufficient requirements elaboration prior to executing the contract amendment may result in a solution that does not meet DHS business needs. In May, the ASI and DHS conducted multiple requirement sessions to review the Functional, Technical and Implementation requirement changes from Solution Optimization Proposal (SOP). In addition, DHS is reviewing previously 'obsoleted' requirements which might now be valid with the SOP moving to a developed Java solution versus COTS product installation. This activity was planned to be complete on 5/22/2020 however, it is still outstanding, and IV&V is not aware of the revised target date.	H

Recommendations	Progress
<ul style="list-style-type: none">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&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.	In process
<ul style="list-style-type: none">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.	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. The ASI filled the Solution Architect position. DHS continues to execute the exception process to back-fill the currently vacant DHS PMO position and execute the transition plan. IV&V will continue to monitor this risk until all positions are filled.	M

Recommendations	Progress
<ul style="list-style-type: none">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
<ul style="list-style-type: none">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'.)	Closed



IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Mar	Apr	May	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final April 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 in the May reporting period:
 - Completed – April Monthly Status Report
 - 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 June 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
BI-05 Schedule Re-Baseline	Weekly as delivered	N/A
BI-08 Technology Environments Specifications DED – SOAP Revisions	5/22/2020	2.0
BI-10 Functional Design Document DED – SOAP Revisions	5/19/2020	1.5
BI-11 Data Integration and Interface Control Document DED – SOAP Revisions	5/18/2020	1.7
BI-12 System Architecture DED – SOAP Revisions	5/20/2020	5.0
BI-17 Validated Results of Data Conversion Testing DED – SOAP Revisions	5/19/2020	1.6
BI-18 Test Strategy Deliverable – SOAP Revisions	5/21/2020	1.11
BI-19 Complete and Final Test Plan Deliverable – SOAP Revisions	5/21/2020	1.12

Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/22/2020	
BI-20 Test Cases/Test Scenarios/Test Scripts - SOAP Templates/Approach	N/A	
BI-22 System Test Report - SOAP Templates/Approach	N/A	
BI-22a SIRT - SOAP Templates/Approach	N/A	
BI-22b UAT Evaluation Report - SOAP Templates/Approach	N/A	
Unisys Deliverable Peer Review Checklists	N/A	
PCG Agile Overview Presentation	N/A	
Unisys Schedule Change Tracker - Weekly	N/A	



Meetings and/or Sessions Attended/Observed:




- PCG Internal BES Project Meetings x7 (05/04/2020, 05/11/2020, 05/12/2020, 05/14/2020, 05/18/2020, 05/21/2020, 05/26/2020)
- BESSD PMO, IV&V Weekly Meeting x4 (05/06/2020, 05/13/2020, 05/20/2020, 05/27/2020)
- BES Project Status Meetings x4 (05/06/2020, 05/13/2020, 05/20/2020, 05/27/2020)
- BES Schedule Review Meetings x4 (05/05/2020, 05/12/2020, 05/19/2020, 05/26/2020)
- BES Change Control Board Meeting (05/06/2020)
- ASI Touchpoint - Pre-Draft Review x2 (05/05/2020, 05/26/2020)
- IV&V April Draft Report Review (05/11/2020)
- BI-20 DCF Review (05/05/2020)
- BES Requirements T6, T8, T10 Review x2 (05/07/2020, 05/14/2020)
- PCG Agile Overview to DHS PMO x2 (05/13/2020, 05/18/2020)
- BES SOAP DED Reviews and Aha Demo x2 (05/21/2020, 05/22/2020)
- BES Security (05/07/2020)
- EBT Card Inventory Demo (05/26/2020)
- BES Quality Issue #25 (05/18/2020)
- XRAY Demo (5/28/2020)

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Appendices



Appendix A – IV&V Criticality Ratings

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

Appendix B – Findings Log



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

Appendix C – Acronyms and Glossary



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



Appendix C – Acronyms and Glossary

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

Appendix C – Acronyms and Glossary



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

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

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



Solutions that Matter

Project Number	Title	Owner	Findings Text	Identified Date	Category	Description	Severity	Recommendation	Event Version	Impact	Probability	Analysis Periods	Findings Status	Data Period	Findings Comments	Risk Comments
15	Schedule delays may occur due to the lack of detail in the project schedule.	Owner	Finding - Risk	1/26/2019	Project Management	<p>If all tasks and activities are not thoroughly decomposed in a common manner using MS Project, the work that needs to be performed. Add all tasks to the interim schedule. Closed 12/1/2020. The AG is highly likely that sub-plans needed elsewhere at times may not be in sync with any/or compare with overall project plans. This type of approach often results in unbalanced activity and/or project delays, and hinders the project's ability to sufficiently plan for the appropriate resources to be involved.</p> <p>12/1/2020 - DHS/AV update the schedule to reflect the level of detail described in the contract and the work that needs to be performed. Add all tasks to the interim schedule. Closed 12/1/2020. The AG is highly likely that sub-plans needed elsewhere at times may not be in sync with any/or compare with overall project plans. This type of approach often results in unbalanced activity and/or project delays, and hinders the project's ability to sufficiently plan for the appropriate resources to be involved.</p>	3	3	Med	Open	<p>7/15/2019 - The AG published the revised schedule to published the AG. As reported to monthly updates and things are responding for this finding and additional information is provided to IV. IV will continue to monitor the progress of the BES Optimization updates and will readdress this finding as necessary.</p> <p>12/1/2019 - In the December reporting period, the IV Team reviewed the existing BES Optimization original documentation and work with the project team to discuss its understanding and work continues to further refine the BES Optimization details. IV did not have the information available to properly scope and determine requirements, objectives, and success determination criteria. 12/1/2019 - IV will continue to monitor this activity in May. 12/1/2020 - The AG and DHS continue to work on the BES Optimization contract amendment. Once agreed, this is planning to publish an updated schedule. The AG developed each using a common methodology and manage the work currently and planned to be performed with the BES Solution Optimization and is currently working with the AG to amend the contract. An action item was created to develop an interim schedule by 2/1/2020 detailing the work currently being performed, with expedited completion by 2/1/2020. The AG reported the 2/1/2020 status meeting they were preparing a project schedule that represents the work planned to be performed on the line that represents AG control is resolved. The action item was closed pending for completion at a high level on 3/2/2020. 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16	Lack of clear understanding of the DSO approach may reduce effectiveness of JARs and IARs.	Info	Finding - Issue	12/17/2018	Configuration and Development	<p>Lack of stakeholder understanding and buy-in to the DSO approach and project activity objectives may reduce the effectiveness of JARs and IARs sessions as well as other BES project activities and decisions.</p> <p>12/17/19 - In the January reporting period, the IV Team reviewed the existing BES Optimization original documentation and work with the project team to discuss its understanding and work continues to further refine the BES Optimization details. IV did not have the information available to properly scope and determine requirements, objectives, and success determination criteria. 12/17/2019 - IV will continue to monitor this activity in May. 12/1/2020 - The AG and DHS continue to work on the BES Optimization contract amendment. Once agreed, this is planning to publish an updated schedule. The AG developed each using a common methodology and manage the work currently and planned to be performed with the BES Solution Optimization and is currently working with the AG to amend the contract. An action item was created to develop an interim schedule by 2/1/2020 detailing the work currently being performed, with expedited completion by 2/1/2020. The AG reported the 2/1/2020 status meeting they were preparing a project schedule that represents the work planned to be performed on the line that represents AG control is resolved. The action item was closed pending for completion at a high level on 3/2/2020. IV will have the finding open until such that a revised schedule is published by the AG. 12/1/2020 - During the January reporting period, the AG informed IV they were reviewing alternative solutions for the BES Application. As DHS and AG agreed to amend the current schedule, the AG published the last schedule update on December 10, 2019. IV will have this finding open until such time that a revised schedule is published by the AG. As reported to monthly updates and things are responding for this finding and additional information is provided to IV. IV will continue to monitor the progress of the BES Optimization updates and will readdress this finding as necessary.</p>	4	3	Med	Open	<p>7/17/2019 - During the 02-18-19 last status meeting, DHS did not discuss the effort and made suggestions to IV on understanding, University offered to present the orientation during each JAR session. From suggestions by DHS that the pre-JAR guide be placed in the SharePoint project site for new participants in the JARs, a separate conversation before the JAR should be held for those new participants.</p> <p>12/18/2019 - The AG and DHS have agreed to the updated BES I template which will be reviewed as part of iteration 2 amendments. The AG has indicated a risk mitigation item related to DHS and the PMA through the information gathering process.</p> <p>12/18/19 - The AG and DHS have agreed to the updated BES I template which will be reviewed as part of iteration 2 amendments. The AG has indicated a risk mitigation item related to DHS and the PMA through the information gathering process.</p> <p>12/18/19 - The AG and DHS have agreed to the updated BES I template which will be reviewed as part of iteration 2 amendments. The AG has indicated a risk mitigation item related to DHS and the PMA through the information gathering process.</p>					
17	Changes in direction near the end of the development period increase project cost.	Info	Finding - Issue	11/26/2018	Configuration and Development	<p>The project intends to utilize Azure as the preferred platform for portal development, instead of Liberty which is currently used for the existing DSOA portal platform. As the BES project will portal solution, Azure Form is currently used of scope for the BES portal but is in scope for BES PDP production. This decision represents a change in scope and requires a CR, which is currently in process. AG has given DHS a rough Order of Magnitude (OOM) estimate of \$2.8 million for the CR and has also provided a more detailed CR. As of the date of this report, the project is tracking the CR as a "Low Level Issue." It is unclear if DHS will be able to fund this CR or it will involve design/program changes.</p> <p>If DHS executes a change request to implement Azure as the BES portal solution, there will be a significant impact to the project budget. The AG has stated if the portal platform is not decided has also provided a more detailed CR. As of the date of this report, the project is tracking the CR as a "Low Level Issue." It is unclear if DHS will be able to fund this CR or it will involve design/program changes.</p>	4	3	Med	Open	<p>11/26/18 - In the November reporting period, the IV Team reviewed the existing BES Optimization original documentation and work with the project team to discuss its understanding and work continues to further refine the BES Optimization details. IV did not have the information available to properly scope and determine requirements, objectives, and success determination criteria. 11/26/2018 - IV will continue to monitor this activity in May. 12/1/2020 - The AG and DHS continue to work on the BES Optimization contract amendment. Once agreed, this is planning to publish an updated schedule. The AG developed each using a common methodology and manage the work currently and planned to be performed with the BES Solution Optimization and is currently working with the AG to amend the contract. An action item was created to develop an interim schedule by 2/1/2020 detailing the work currently being performed, with expedited completion by 2/1/2020. The AG reported the 2/1/2020 status meeting they were preparing a project schedule that represents the work planned to be performed on the line that represents AG control is resolved. The action item was closed pending for completion at a high level on 3/2/2020. IV will have the finding open until such that a revised schedule is published by the AG. 12/1/2020 - During the January reporting period, the AG informed IV they were reviewing alternative solutions for the BES Application. As DHS and AG agreed to amend the current schedule, the AG published the last schedule update on December 10, 2019. IV will have this finding open until such time that a revised schedule is published by the AG. As reported to monthly updates and things are responding for this finding and additional information is provided to IV. IV will continue to monitor the progress of the BES Optimization updates and will readdress this finding as necessary.</p>					
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