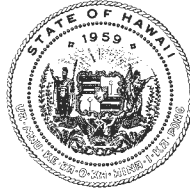


DAVID Y. IGE
GOVERNOR



DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

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July 21, 2020

The Honorable Ronald D. Kouchi,
President, and
Members of The Senate
Thirtieth State Legislature
Hawaii State Capitol, Room 409
Honolulu, Hawaii 96813

The Honorable Scott K. Saiki,
Speaker, and
Members of The House of Representatives
Thirtieth State Legislature
Hawaii State Capitol, Room 431
Honolulu, Hawaii 96813

Dear President Kouchi, Speaker Saiki, and Members of the Legislature:

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawaii Department of Human Services' Systems Modernization Project.

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

Sincerely,


Douglas Murdock (Jul 21, 2020 17:45 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: June 1 - 30, 2020

Submitted: July 15, 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 June, the project team continued to refine the project delivery framework (requirements, architecture, schedule, approach). Twenty artifacts (e.g., deliverables, DEDs, and work products) were updated/finalized by the project team to primarily address the Solution Optimization approach. While the project is starting to move forward, relatively few changes have been made to IV&V findings since the ASI's contract amendment was fully executed in April.










During this reporting period, challenges arose during the first BES release (R.01). Several deliverables (e.g., Functional Design, System Test Results, etc.) that support the UAT process were not provided and/or approved prior to UAT, which impacted DHS' ability to proceed with testing. The ASI plans to address this challenge, as well as other opportunities for improvement evidenced during R.01 as 'lessons learned' during future releases.

Finally, three staff members within DHS' PMO announced that their retirement from state service will be effective on or before September 2020, representing a high criticality risk to the project.

Apr	May	Jun	Category	IV&V Observations
M	M	M	Project Management	The Project Management category comprises most IV&V findings, which consists of risks specific to the project schedule, solution architecture, quality of project artifacts, communications, the impact of COVID-19 on the project team, and now also Release 0.1 UAT readiness. With the 'restart' of the project continuing, the project team needs to concentrate on planning, quality, collaboration, and execution.
M	M	M	Configuration and Development	The project team started to gain an understanding of the ASI's development approach and how the BES application will be built, as the ASI conducted walkthroughs of the draft System Architecture Overview and the draft DD&I Approach. A deeper understanding is expected to be gained in July, when the ASI further defines the architecture, completes and delivers the remainder of the of R0.1 design and test deliverables, and DHS gets its first opportunity for planning and executing R0.1 User Acceptance Testing.
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



Apr	May	Jun	Category	IV&V Observations
			Deployment	The ASI's planning and approach to Release Management were identified as opportunities for improvement during early M&O releases. The ASI is planning to apply lessons learned from R.01 for the EBT Card Inventory module to future releases.
			Requirements Analysis & Management	During June, DHS and the ASI continued to 'break down' the project's functional requirements to eliminate the instance of 'partially met' requirements. DHS and the ASI also continued to work towards agreement of revised Contract T-6, T-8, and T-19 requirements. While neither of these efforts completed as planned in June, IV&V acknowledges that DHS and the ASI continue to work towards completing the final list of agreed upon requirements to minimize the risk this poses to meeting DHS' business needs and the potential of project rework.
			OCM & Knowledge Transfer	All ASI key personnel positions are filled, and the ASI announced that they are adding a technical resource to work with eWorld. In June, three staff in DHS' PMO announced their upcoming retirements, bringing the total to four staff. IV&V has not yet been made aware of documented transition plans for these key DHS staff.

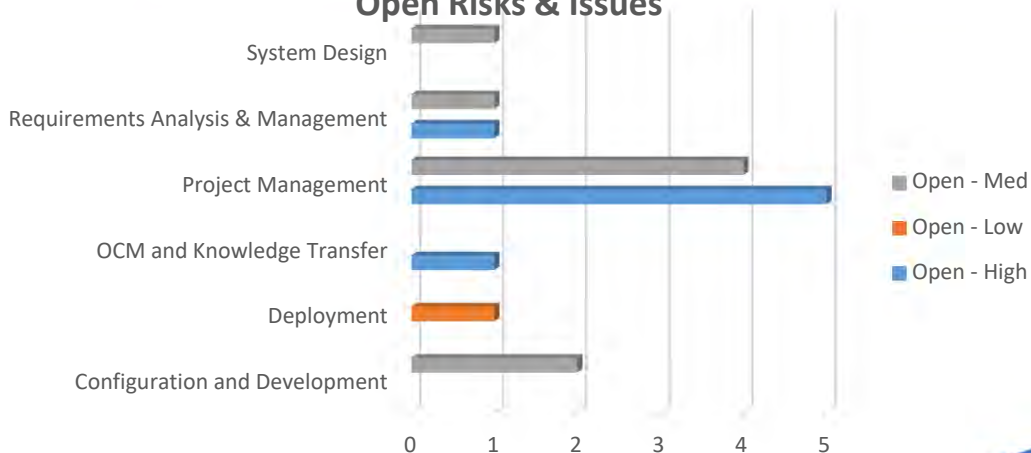
IV&V Findings and Recommendations

IV&V Findings and Recommendations

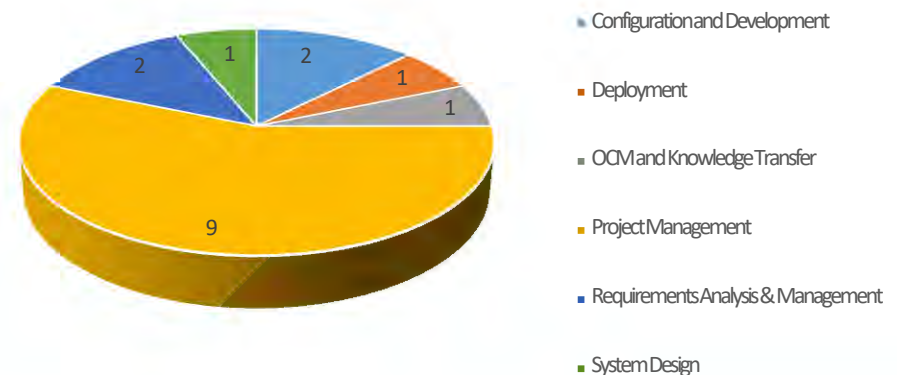


As of the June 2020 reporting period, PCG is tracking 16 open findings (11 risks and 5 issues) and has retired a total of 31 findings. Of the 16 open findings, 9 are related to Project Management, 2 each in Configuration and Development and Requirements Analysis and Management, and 1 each in System Design, Deployment and OCM and Knowledge Transfer. IV&V opened one new finding 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



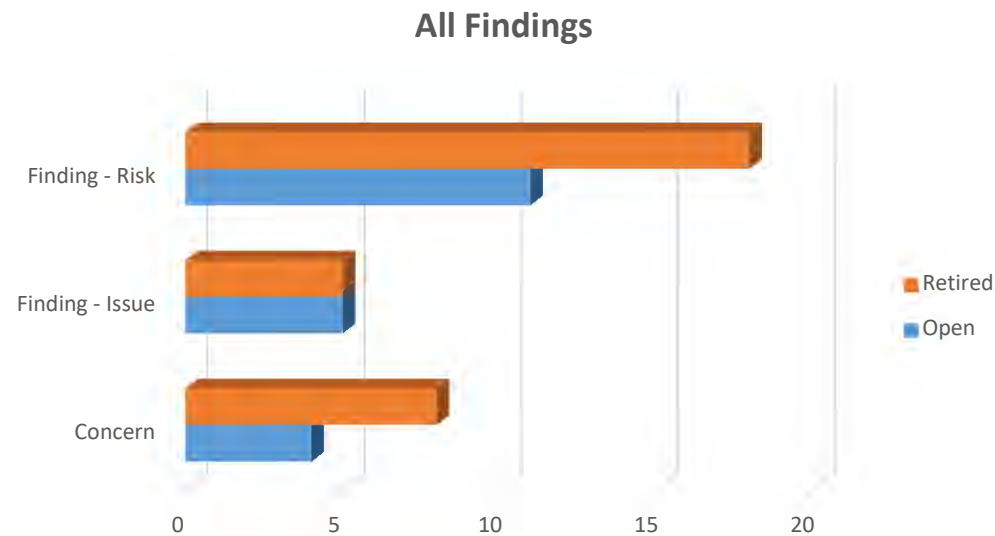
Open Risks & Issues by Category



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
54	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of a solution that does not meet business needs.	Project Management

IV&V Findings and Recommendations



Findings Retired 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. The ASI displayed requirements traceability to use cases, as well as use case traceability to the balance of the SDLC.	Requirements Analysis and Management

IV&V Findings and Recommendations




Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
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 model 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	The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed. This is further complicated by the current lack of finalization of both SSP and BES UI standards and coding standards.	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. The ASI is behind schedule on Solution Optimization tasks and activities but maintains that critical path has not been affected. IV&V notes that several R0.1 deliverables being updated for the BES Optimization have not been delivered by the ASI and/or approved by DHS, which delayed R0.1 UAT start-up efforts. As such, IV&V has increased the rating of this finding to High criticality in June. IV&V will monitor all tasks, activities and deliverables comprising R0.1 during the next reporting period and will provide an update in the next report.	 H

Recommendations	Progress
<ul style="list-style-type: none">Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASI, 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
<ul style="list-style-type: none">Establish the process for on-going schedule management and weekly updates, utilizing the Schedule Management sub-plan of the Project Management Plan (BI-04).	

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 plans to provide the Epic view of the contents of each release in other tools (Aha!, Jira) as opposed to the project schedule. IV&V notes that many details have been added to the Project Schedule over the past month and continue to be added on a weekly basis. As such, the project schedule has not yet been accepted by DHS.	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
<ul style="list-style-type: none">Ensure that all project participants have access to the tools in which the Epic details will be provided.	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 ASI stated that it would add resources and hours to tasks by the end of June, however this was not completed as scheduled. IV&V notes that ASI also stated that it will not maintain resource allocations and resource leveling within MS Project. DHS plans to add its resources in when all known tasks and activities are identified and added to the schedule by 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 drafted updates to the BI-12 System Architecture Deliverable and performed a walkthrough of the Overview Chapter of the deliverable in late June.</p> <p>As an example, DHS reported that contract award to migrate the KOLEA portal to Adobe is imminent. Although the BES Portal will be implemented on the Liferay platform, the ASI states that this will be transparent to end-users, presenting a 'combined application' for which the design has yet to be finalized. IV&V will continue to monitor this discussion to gain clarity on DHS' portal integration strategy.</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. During June, IV&V noted a lack of communication regarding deliverable submission. Although the ASI is required to notify DHS when deliverables are submitted, this did not always occur (e.g., BES Optimization updates). When brought to the ASI's attention, this was corrected. IV&V also notes that the ASI has updated their Communications Plan to reflect the BES Optimization.</p> <p>IV&V will continue to monitor this finding to ensure that the process is consistently followed.</p>	M

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	<p>Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget. The State has recently opened inter-island travel, and transpacific travel is currently slated for August 2020 with COVID testing constraints. The ASI's local office is slated to reopen in September or October, pending all needed State, Unisys, and Topa Tower approvals. DHS has stated that while they don't have a documented risk mitigation plan, they have made efforts to develop an informal plan and risk mitigation steps and will leverage their existing COOP (continuity of operations plan) to address some mitigation steps. DHS has also stated that while they are concerned about the execution of remote UAT and training, they have a greater concern that the increase in workload due to citizens loss of some COVID benefits will increase their volume of applications and support. DHS has additional concerns that possible furloughs and budget cuts could limit their ability to expand their capacity to handle the additional workload and support the project. The ASI has gained insights into remote UAT from their M&O team experience in performing remote UAT for MQD/KOLEA.</p>	

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.	M
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	<p>Issue – Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule. The ASI announced the use of the Confluence tool for development of deliverables, as it integrates with Jira and Aha!. The ASI re-submitted multiple DEDs and deliverables after being revised for BES Optimization, most of which have already been reviewed, and some of which are currently under review. New BI-10 and BI-20 deliverables were submitted by the ASI in June. The BI-10 needed rework for quality issues identified by DHS. DHS requested an additional re-layout of the format for BI-10.</p>	
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



Project Management

#	Key Findings	Criticality Rating
54	<p>New Issue – Poorly planned and executed UAT could lead to implementation delays and delivery of a solution that may not meet all business needs. During this reporting period, UAT was initiated. However, several deliverables that support the UAT process were not provided and/or approved prior to UAT, which impacted DHS' ability to proceed with testing. Outstanding predecessor deliverables include:</p> <ul style="list-style-type: none">• Approval of system test scripts (BI-20)• Delivery and approval of system test results (BI-22)• Delivery and approval of other R0.1 deliverables (BI-10, BI-14, BI-15, BI-21). <p>The ASI plans to address this challenge, as well as other opportunities for improvement evidenced during R.01 as 'lessons learned' during future releases.</p> <p>IV&V notes that DHS staff will be required to enter UAT test scripts into pre-defined spreadsheets, which will be imported into Jira by the ASI. DHS staff will enter defects directly into Jira, which may necessitate a deeper level of training for use of the toolset, in addition to the demonstration previously provided by the ASI.</p>	

Recommendations	Progress
• IV&V recommends that DHS works with the ASI to validate all pre-requisites are met prior to UAT start, in order to facilitate comprehensive testing.	In process
• IV&V recommends that if DHS staff need to log defects in the ASI's new tools, that a deeper level of training will need to be provided on the toolset.	Not started
• IV&V recommends that a comprehensive set of user roles is made available for testing. There is currently only one user role available, which blocks the ability to perform negative testing for user roles.	Not started

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 is no longer be planning to create a unified portal due to a required reduction in scope as part of the BES Optimization. DHS is close to awarding a contract to migrate the KOLEA portal from Liferay to Adobe, while the BES Portal will be implemented separately by the ASI in Liferay. The ASI still plans to develop the 'combined application' and has stated that the integration effort will be no more complex under BES Optimization than it was in the original scope of work.	M
Recommendations		Progress
<ul style="list-style-type: none">Continue discussions with the ASI and DHS to understand how the project will pursue alternative methods to integrate the 2 portals in order to simplify and enhance the Ohana Nui customer portal experience.		In process

IV&V Findings and Recommendations



Configuration and Development

#	Key Findings	Criticality Rating
16	Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of JARs and JADs. The ASI continues to provide further details of their hybrid-Agile implementation approach including describing how they intend to utilize new Application Lifecycle Management and development tools. IV&V will continue to monitor as more details of the revised approach are made available.	M
Recommendations		Progress
<ul style="list-style-type: none">Once all details of the ASI's Agile approach become available and are communicated to DHS, IV&V will assess and monitor DHS's 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. IV&V has no material update for this finding in June, as the schedule has not yet been finalized.	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	<p>Risk - The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases. No BES releases were accomplished in June. The scope of R0.1 was reduced in mid-June, as some of the originally planned SSP component stubs were delayed to R0.2. R0.1 is currently scheduled for completion on 7/14/2020 with the EBT Card Inventory Module (less card issuance functions, which are currently planned for R0.5). However, IV&V notes that several R0.1 prerequisite deliverables requiring updates based on SOAP have not yet been delivered and/or are not yet approved by DHS, and R0.1 UAT efforts have been delayed. The new tools being implemented by the ASI could potentially help to improve the release management functions. IV&V will continue to monitor the ASI and DHS activities related to this important first release for BES.</p>	
Recommendations		Progress
• Assign a Release Manager to manage all details of planned releases.		Complete
• Develop a Release Plan document for each release, that provides details of the planned release and all associated configuration items, clear assignments for all staff involved in all tasks, a schedule for completion of all tasks and activities, planned release status communications, and back out procedures should they be necessary.		In process

IV&V Findings and Recommendations




Requirements Analysis & Management

#	Key Findings	Criticality Rating
41	<p>Risk - Due to a lack of clarity regarding “Partially Met” requirements in design artifacts, full traceability of requirements may be hampered, and all requirements may not be fully met. 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). DHS reports that this effort is still not completed with the ASI, and that they continue to work towards agreement. IV&V will continue to monitor the project's progress towards finalization of requirements.</p>	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. During June, the ASI and DHS continued requirements sessions to review requirements changes from the BES Optimization. Although this effort was scheduled to be completed by 5/22, the work is still in progress. Remaining work efforts for the BES Optimization requirements (T-6, T-8, T-10) is expected to be finalized in the first week of July, and the work efforts for the splitting of requirements is expected to be finalized by mid-July. IV&V notes that per the ASI, the remaining volume of requirement changes is minimal. IV&V will continue to monitor in July.	
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	<p>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 announced the addition of a technical resource to work with eWorld, who will be integrated with the team when travel restrictions are lifted.</p> <p>DHS PMO staff announced the near-term retirements of three more PMO staff, which is essentially the balance of the PMO Team. DHS is currently exploring options to acquire project management resources to support the project.</p>	

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

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IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Apr	May	June	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final May 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				IV&V initiated two ad hoc assessments at DHS' request: ASI staffing (Preliminary Concern #50), and ASI Subcontractor Management (Preliminary Concern #52).
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 June reporting period:
 - Completed – May 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 July 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-04 Deliverable Updates for SOAP (3X)	5/21/2020	1.6
BI-05 Schedule Re-Baseline	Weekly as delivered	N/A
BI-06 Deliverable Updates for SOAP (partial draft)	6/15/2020	2.1
BI-08 DED Updates for SOAP	5/22/2020	2.0
BI-10 DED Updates for SOAP	6/25/2020	1.6
BI-10 R0.1 Deliverable	6/12/2020	1.0
BI-12 DED Updates for SOAP	5/20/2020	5.0
BI-12 Overview Updates for SOAP (partial draft)	N/A	
BI-14 DED Updates for SOAP	6/11/2020	2.0
BI-15 DED Updates for SOAP	6/11/2020	1.3
BI-16 DED Updates for SOAP	5/27/2020	2.3

Deliverables Reviewed - Continued



Deliverable Name	Deliverable Date	Version
BI-16 Deliverable	6/16/2020	1.11
BI-17 DED Updates for SOAP	5/19/2020	1.6
BI-18 Deliverable Updates for SOAP	5/21/2020	1.11
BI-19 Deliverable Updates for SOAP	5/21/2020	1.12
BI-20 R0.1 Deliverable	6/12/2020	1.0
BI-21 DED Updates for SOAP	N/A	
R0.1 Release Test Plan	6/12/2020	1.0
R0.1 UAT Plan	6/18/2020	1.0

Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	
BES Solution Optimization Approved Deliverable and DED Review Process	05/20/2020	
Unisys Schedule Change Tracker - Weekly	N/A	



Meetings and/or Sessions Attended/Observed:

- PCG Internal BES Project Meetings x13 (06/01/2020, 06/01/2020, 06/03/2020, 06/04/2020, 06/08/2020, 06/09/2020, 06/11/2020, 06/15/2020, 06/18/2020, 06/22/2020, 06/25/2020, 06/25/2020, 06/29/2020)
- BESSD PMO, IV&V Weekly Meeting x4 (06/03/2020, 06/10/2020, 06/17/2020, 06/24/2020)
- BES Status Meetings x4 (06/03/2020, 06/10/2020, 06/17/2020, 06/24/2020)
- BES Schedule Review Meetings x4 (06/02/2020, 06/09/2020, 06/16/2020, 06/23/2020)
- BES Change Control Board Meeting (06/03/2020)
- ASI Touchpoint - Pre-Draft Review x2 (06/02/2020, 06/30/2020)
- May Draft Report Review (06/09/2020)
- BI-04 Deliverable meetings for SOAP Updates X3 (06/02/2020, 06/09/2020, 06/16/2020)
- BI-16 DED meetings for SOAP updates walkthrough X2 (06/03/2020, 06/04/2020)
- Aha! Requirements Demonstration (06/04/2020)
- BES Optimization Kickoff Event (06/08/2020)
- BI-10 DED walkthrough for SOAP Updates (06/11/2020)
- BI-20 DED walkthrough for SOAP Updates (06/11/2020)
- R0.1 RBT Card Inventory Design Walkthrough (06/12/2020)
- BI-14 DED walkthrough for SOAP Updates (06/12/2020)
- BI-15 DED walkthrough for SOAP Updates (06/12/2020)
- Confluence Tool Demonstration (06/12/2020)
- BI-21 DED walkthrough for SOAP Updates (06/19/2020)
- Staffing Assessment - Draft Findings Finalization with DHS (06/18/2020)
- Jira Tool Demonstration (06/18/2020)

Additional Inputs - Continued



Meetings and/or Sessions Attended/Observed:




- BI-12 Deliverable Overview walkthrough for SOAP Updates (06/23/2020)
- BES R0.1 UAT Status Meeting (06/24/2020)
- BES Security Meeting (06/24/2020)
- BI-06 Deliverable walkthrough of draft completed sections (06/26/2020)
- BI-25 DED walkthrough for SOAP Updates (06/29/2020)
- BI-27 DED walkthrough for SOAP Updates (06/29/2020)

The background is a solid blue gradient. It is decorated with various geometric shapes: squares and rectangles of different sizes and shades of blue, some with white outlines, and thin white lines that connect some of the shapes, creating a network-like pattern. The shapes are scattered across the page, with a higher concentration on the left side.

Appendices



Appendix A – IV&V Criticality Ratings

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

Appendix B – Findings Log



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

Appendix C – Acronyms and Glossary



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



Appendix C – Acronyms and Glossary

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

Appendix C – Acronyms and Glossary



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

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

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



Solutions that Matter

