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September 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 (Sep 15, 2020 11:37 PST)

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: August 1 - 31, 2020

Submitted: September 14, 2020

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
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Solutions that Matter

The background is a solid blue color. It features several decorative elements: a cluster of overlapping squares and rounded rectangles in various shades of blue (light, medium, and dark) in the upper-left quadrant; a single large, light-blue rounded rectangle centered below the text; and a few more squares and rounded rectangles scattered in the lower-right quadrant, some connected by thin white lines.

Executive Summary

Executive Summary



In August, the project team continued to refine the project delivery framework. IV&V observed, however, that the project schedule is not effectively managed, and it has not been adjusted by lessons learned from Release 0.1. The pace of the project needs to increase – too many due dates are missed and when delays are identified, slippage is often weeks instead of days, indicating a lack of urgency. The project team has not effectively integrated the Agile Methodology for code development with the required milestones, collaboration and deliverables, which are more closely aligned to a Waterfall Methodology, causing the software code development activities to be out of sync with other project artifacts and processes. Recognizing this, DHS/ASI agreed to pilot changes to the deliverable review/approval process. This is a positive step and may prevent go-live slippage due to already experienced delays.

While it may be in the best interest of the project to conduct a root cause analysis to address these challenges, IV&V believes there are several ‘quick wins’ that could be implemented with or without doing so. A few examples include: Identify staff to ‘drive’ the team to the schedule and completion of action items, improve communications between DHS/ASI/Development Team; improve meeting facilitation. If the project management processes and communication activities do not change, there is a high probability more delays will be experienced.

Jun	Jul	Aug	Category	IV&V Observations
M	H	H	Project Management	The Project Management category continues to represent most of the IV&V findings, which consist of risks and issues specific to the project schedule, solution architecture, quality of project artifacts, communications, roles and responsibilities, DHS staffing and UAT readiness.
M	M	M	Configuration and Development	The project team is still attempting to understand the ASI’s development approach. A deeper understanding is expected to be gained in September, when the ASI further defines the architecture, completes and delivers the remainder of the of Release 0.1 deliverables and updates the schedule to align to the approach described in the DD&I Plan.

Executive Summary



Jun	Jul	Aug	Category	IV&V Observations
M	M	H	System Design	A new issue (previously reported as a concern) was added this month, increasing the criticality of this category to high. The overall architecture is not documented for the project yet Release 0.2 coding is complete.
L	L	L	Deployment	There are no material changes to this category in this reporting period. Several Release Management improvements were identified during early M&O and Release 0.1, which the ASI is planning to apply to future releases.
M	L	L	Requirements Analysis & Management	DHS and the ASI continued to 'break down' the project's functional requirements to eliminate the instance of 'partially met' requirements. This activity was delayed and is planned for completion in September.

IV&V Findings and Recommendations

IV&V Findings and Recommendations

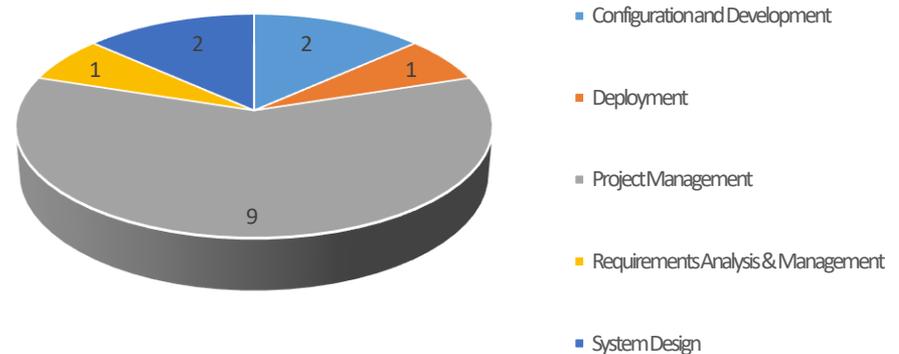


As of the August 2020 reporting period, PCG is tracking 15 open findings (9 risks and 6 issues) and has retired a total of 38 findings. Of the 15 open findings, 9 are related to Project Management, 2 in Configuration and Development and System Design and 1 each in Requirements Analysis and Management, and Deployment.

Open Risks & Issues



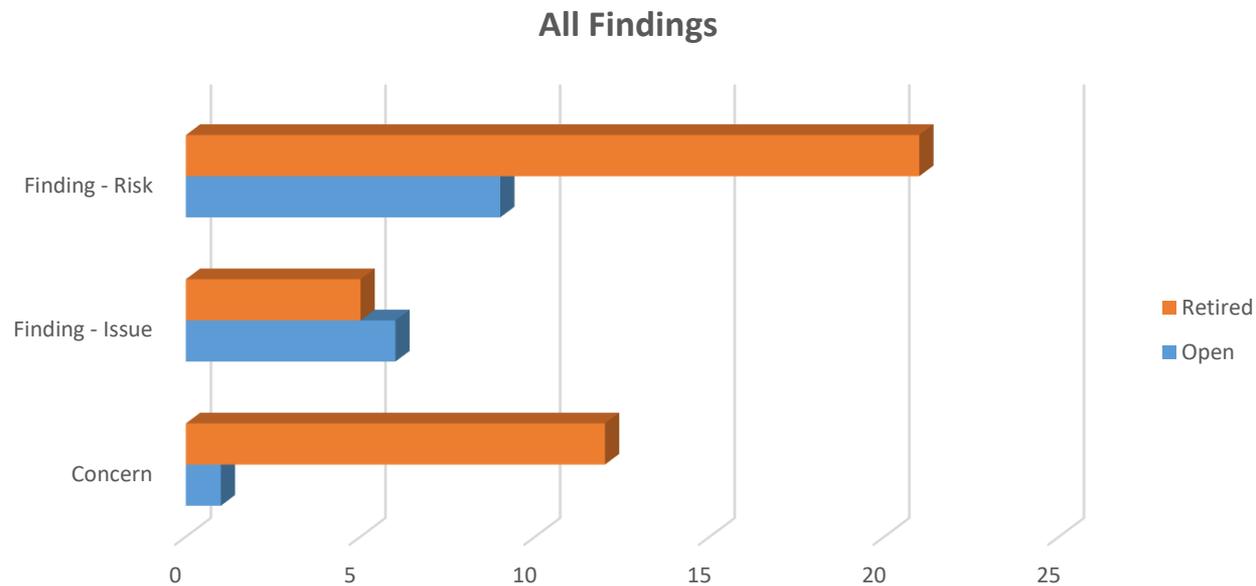
Open Risks & Issues by Category



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
	Two preliminary concerns reported in previous months were escalated to a risk/issue this month. They are found on page 20 and 24 of this report.	

IV&V Findings and Recommendations



Findings Retired During the Reporting Period

#	Finding	Category
56	<p>Concern - DHS and IV&V lack of participation in the BES Project Architecture and Agile Development meetings. Some DHS staff and IV&V are not included in the Architecture and Agile Development meetings. This prohibits DHS and IV&V's ability to understand how the project team is accomplishing work and resolving issues that may impact the project, user, client and solution.</p> <p>In August, the ASI addressed both areas of this concern, inviting DHS and IV&V to the weekly Architecture and agreed to include DHS and IV&V in select future Development meetings.</p>	Project Management

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
55	Test Case creation without functionality acceptance from JAD/JAR sessions. IV&V is researching how the JAD results including acceptance criteria are carried over or linked to the use cases and testing processes.	Testing

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
2	Issue – Late Delivery of project deliverables may result in schedule delays. Although the ASI provided some deliverables and work products on time during this reporting period, the finalization of several other deliverables (i.e., Solution Optimization BI-5 Project Schedule, various Release 0.1, 0.2 and 0.3 Deliverables and work products including the Data Conversion Plan) are behind schedule IV&V maintains this issue as a high criticality finding since the project schedule is not approved by DHS, the schedule continues to be updated with new target completion dates, and late tasks span multiple releases.	

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.	Complete
<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).	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>In August, DHS is considering changing the cloud platform from Azure to Google and a Change Request is currently in progress. The ASI appears to be making plans to migrate their existing environment to the new platform as the ASI's subcontractor (eWorld) is currently developing the system using their own environments. The ASI is making some progress in the communication of architecture decisions. The new ASI lead architect holds a weekly Architecture meeting which provides DHS a forum to discuss and/or clarify architecture plans and decisions. However, it remains unclear if these architecture plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ESI given the change of platforms from Siebel to Java in the cloud; the ESI will not be responsible for any stand-alone BES environments, only the KOLEA/BES shared service environments.</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
<ul style="list-style-type: none"> DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams. 		In process
<ul style="list-style-type: none"> The project should vet possible architectural change impacts to the platform, M&O, MQD, and BES systems before finalizing architectural decisions. 		In process
<ul style="list-style-type: none"> Efforts should be made to increase communication to create an awareness of possible architecture changes so that they can prepare for the possibility of a change. For example, if there is a possibility that the platform could change then analysis/design could focus on platform agnostic design and avoid extensive efforts in refining a platform specific design. 		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. The ASI has made changes to the format and content of the project status report to address DHS concerns. For the most part, weekly status meetings have involved the ASI reading the status report to DHS without much discussion or elaboration. DHS leadership has stated they fail to see the value in this method and have asked the ASI to explore ways to encourage productive conversations during this meeting. DHS has also requested the status report include target dates and suggested combining the schedule meeting with the project status meeting. DHS also expressed concern that the project is maintaining multiple action item logs, which could create confusion. Not all ASI staff were aware there were separate logs and are currently reviewing to merge as much as possible into the main project action item log.</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. For example, notifications in preparation for release activities. 	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"> ASI increase dialog with the DHS project team individuals instead of relying on formal meetings to inform and discuss project topics. Update the project communications plan with enhanced communication processes. 	In process

IV&V Findings and Recommendations



Project Management

#	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.</p> <p>Progress was made this month in that the Data Steward position was filled. The candidate will join the project on 9/1/20.</p> <p>The Data Conversion Lead and the DHS PMO positions continue to be in an open status. The DHS PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is seeking approval to fill all open positions and recruitment is ongoing.</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

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. Honolulu City and County leadership announced an updated Stay at Home order beginning 8/27/2020, planned for 2 weeks. COVID-19 related hiring freezes may hinder the DHS ability to replace project PMO vacancies as well as other potential hires to meet project needs and to support the new system post-go-live. DHS and the ASI have managed the project effectively over the last 6 months, therefore IV&V is changing the priority to Medium.</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 was provided 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. The ASI re-submitted multiple deliverables during August, mostly to address outstanding comments. The BI-10 deliverable for Release 0.1 was iterated twice in August and does not meet DHS' needs. IV&V will leave this finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products.	M

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	Issue – Poorly planned and executed UAT could lead to implementation delays and delivery of a solution that may not meet all business needs. The ASI conducted 3 Lessons Learned sessions with the project team to review the list of Release 0.1 UAT opportunities for improvement. The summary of the actions, planned resolution, and release number when resolution will be implemented was sent to the project team. Not all actions will be implemented for Release 0.2. DHS indicated they were expecting all actions be applied in Release 0.2 and it is unclear why some actions are planned after Release 0.2. This may result in UAT issues/concerns experienced in Release 0.1 replicated in Release 0.2. Additionally, all actions planned for Release 0.2 are not in current schedule; which may cause additional delays.	

Recommendations	Progress
<ul style="list-style-type: none">The ASI further develop the action plan to include owners and target complete dates. Report progress in the weekly status meeting.	Not started
<ul style="list-style-type: none">All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
57	<p>New Risk – Roles and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team is not clear.</p> <p>This finding was reported as a preliminary concern in the July IV&V report and is escalated to a risk to the project in this reporting period..</p> <p>Due to DHS staffing constraints, the ASI is filling the role of Product Owner and Product Manager. The product manager and/or owner often make decisions that impact specific business functionality. If this role is to be filled by the ASI, knowledge of DHS' business functions is critical and strong communication channels are a must. However, IV&V could not find evidence of a communication path of these discussions and decisions with DHS.</p> <p>In August, although the ASI stated many touch points exist between DHS and the Product Owners/Managers, DHS does not confirm a level of engagement they feel is needed to properly influence/monitor design and development processes. The complexity of BES increases with the future releases and is a risk that needs a clear mitigation plan. Recently, the ASI recognized this as a gap and is taking action.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> Identify and execute to the communication path agreed to by DHS/ASI between the Product Managers and Product Owners and DHS/BESSD. 	In process
<ul style="list-style-type: none"> The ASI to clearly define the staff assigned and the roles and responsibilities of the ASI Product Managers and Product Owners. 	In process
<ul style="list-style-type: none"> DHS consider adding staff to the project team with 'deep' BESSD business knowledge to work hand-in-hand with the product owners and development team 	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 leadership agreed the intent of the portal is to support the “No Wrong Door” experience for the clients (similar client experience regardless of portal used) and continues to discuss options regarding how this concept will be planned, executed and implemented.	M

Recommendations	Progress
<ul style="list-style-type: none">DHS continue to work with the ASI as DHS evaluates options to plan, execute and implement the BES Portal.	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 all SDLC Processes.. DHS Test Leads continue to express concerns about the effectiveness and efficiency of the ASI testing process, tools and methodology despite efforts by the ASI to improve processes based on feedback from multiple lessons learned sessions.	M

Recommendations	Progress
<ul style="list-style-type: none">• ASI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint.	Not started
<ul style="list-style-type: none">• Encourage ASI and DHS testers to consistently collaborate during SIT and UAT activities.	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. There are no material updates to this risk in August 2020.	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



System Design

#	Key Findings	Criticality Rating
53	<p>New Issue – The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.</p> <p>This finding was reported as a preliminary concern in the previous IV&V monthly report and is escalated to an issue in this reporting period.</p> <p>The System Architecture documentation is a foundational technical document intended to provide the standards and guidelines for all solution hardware and software components that will reside in the solution. This foundational document should be completed and agreed to prior to any code development, to ensure the code meets with the architectural principles and overall design. We recognize some flexibility is needed in an Agile approach however, the overall Architecture should be documented and followed with updates as needed.</p> <p>To date, no sections of the System Architecture deliverable (BI-12) have been formally approved by DHS. The ASI is currently responding to comments on some sections of the initial draft, however the schedule dates for the Shared Services and CMM sections continue to be missed. Software continues to be constructed without the overall guidance of the System Architecture deliverable, which may result in variation in the development efforts. Based on the current schedule, 5 of the planned 7 releases will be in progress by the time the architectural details are made available, and 2 releases will already be completed.</p>	

Recommendations	Progress
<ul style="list-style-type: none"> Recommend completing and approving the BI-12 System Architecture deliverable prior to development of source code. 	In process
<ul style="list-style-type: none"> If completing the BI-12 deliverable prior to development of code is not possible for any reason, ensure that all portions of the architecture that are directly or indirectly related to the source code development efforts, standards, and processes be submitted for approval by DHS in draft form prior to code development, and subsequently followed up with final completion of BI-12 in accordance with the project schedule. 	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. Although UAT for Release 0.1 was completed in early July, the associated deliverables have either not been delivered or not been accepted more than 6 weeks later. Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASI conducted a third Release 0.1 Lessons Learned activity on 8/17/20, and delivered an Action Plan on 8/21/20, however the plan does not include owners or due dates for the planned improvements.</p>	
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
<ul style="list-style-type: none">Update the Release 0.1 Lessons Learned action plan to include owners and due dates.		Not started

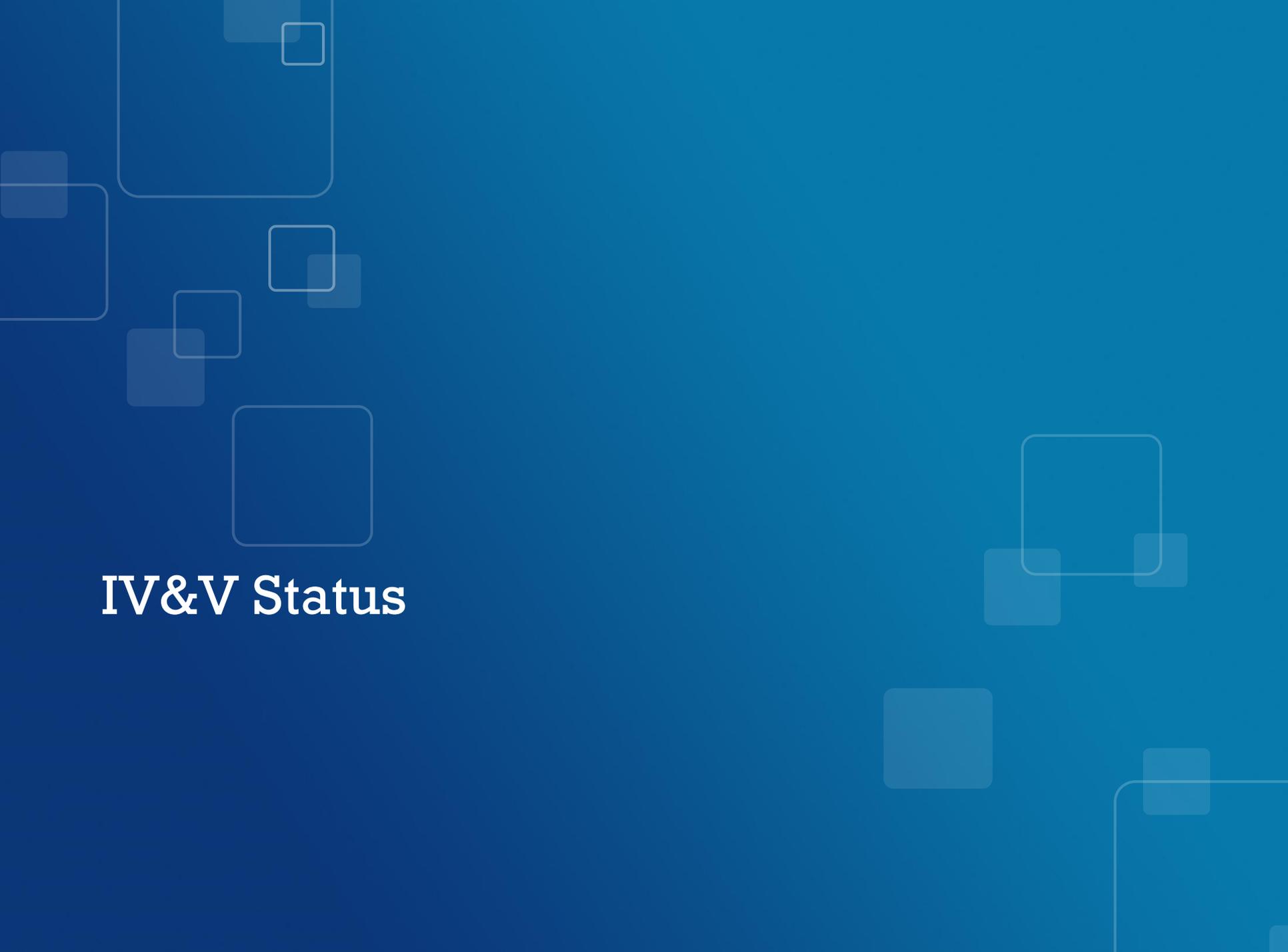
IV&V Findings and Recommendations



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. There are no substantive changes on this finding reported for August. Although this activity was scheduled for completion on 8/25/20, the work is not complete.	

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 Status

IV&V Engagement Status



IV&V Engagement Area	Jun	Jul	Aug	Comments	
IV&V Budget					
IV&V Schedule					
IV&V Deliverables				PCG submitted the final July 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				DHS and IV&V met on August 13, 2020 to discuss the IV&V schedule, contract and cost in relation to the BES project delays.	
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 August reporting period:
 - Completed – July Monthly Status Report
 - Completed – Delivered the Final Adhoc Staff Assessment Report to DHS
 - Ongoing – Review Artifacts and Deliverables for BES the 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 September reporting period:
 - Ongoing – Observe BES Development, JAD and Workgroup sessions as scheduled
 - Ongoing – Observe Weekly Project Status meetings
 - Ongoing – Observe Weekly Architecture meetings
 - Ongoing – Observe Weekly/Monthly Security 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-10 Release 0.1 FMM Functional and System Design Document	08/06/2020	1.7
BI-10 Release 0.1 FMM Functional and System Design Document	08/19/2020	1.10
BI-10 Release 0.2 SSP Functional and System Design Document (draft in walkthrough)	Draft	N/A
BI-12 FMM System Architecture	8/5/2020	N/A
BI-14 Release 0.1 SSP Technology Design Document (draft in walkthrough)	Draft	N/A
BI-21 Release 0.1 Functional and Technical RTM	08/11/2020	1.0
BI-22 Release 0.1 System Test Report (draft in walkthrough)	Draft	N/A
BI-22b Release 0.1 FMM UAT Evaluation Report	08/12/2020	1.1
BI-22b Release 0.1 FMM UAT Evaluation Report	08/14/2020	1.3

Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
2019-11-22 HI Test Plan - FNS Comments.xlsx	11/22/2019	N/A
FNS 901 Handbook	01/2020	V2.4
Release 0.2 Test Plan (draft in walkthrough)	N/A	N/A

Additional Inputs



Meetings and/or Sessions Attended/Observed:

1. Weekly Platform Security Meeting x3 (8/6/2020, 8/13/2020, 8/27/2020)
2. PCG Internal BES Project Meetings x11 (08/03/2020, 08/06/2020, 08/10/2020, 08/12/2020, 08/17/2020, 08/18/2020, 08/20/2020, 08/24/2020, 08/27/2020, 08/31/2020)
3. BESSD PMO, IV&V Weekly Meeting x4 (08/05/2020, 08/12/2020, 08/19/2020, 08/26/2020)
4. BES Status Meetings x4 (08/05/2020, 08/12/2020, 08/19/2020, 08/26/2020)
5. BES Schedule Review Meetings x4 (08/04/2020, 08/11/2020, 08/18/2020, 08/25/2020)
6. July Pre-Draft Report Review with ASI (08/04/2020)
7. Jira Review with ASI (08/03/2020)
8. August Pre-Draft Report Review with ASI (08/31/2020)
9. July Draft Report Review with ASI and DHS (08/11/2020)
10. ASI Touch Base x2 (08/18/2020, 8/31/2020)
11. BES Functional Meeting x2 (08/11/2020, 08/18/2020)
12. BI-Weekly Deliverables Walkthrough x2 (08/04/2020, 08/06/2020)
13. Data Conversion Meetings x3 (08/06/2020, 08/18/2020, 08/25/2020)
14. RO.2 FMM and CMM Requirements (08/06/2020)
15. DHS DDI Architecture Weekly Review Meeting x2 (8/18/2020, 08/25/2020)
16. RO.2 FMM and CMM Demo and Final Requirements (08/25/2020)
17. JAD to Testing Walkthrough Meeting (08/11/2020)
18. BI-20 RO.2 Walkthrough Meeting (08/13/2020)
19. RO.1 Lessons Learned Action Plan Meeting (08/17/2020)
20. SSP | RIDP Replacement Option (08/20/2020)
21. BES Tools, Use and Reports Questions Meeting (08/24/2020)
22. BI-10 & Release Phase Gates Meeting (08/26/2020)
23. ECM/ECF Meeting (08/26/2020)
24. BES Project Release 0.3 Kick-off Meeting (08/27/2020)



Appendices



Appendix A – IV&V Criticality Ratings

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

Appendix B – Findings Log



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

Appendix C – Acronyms and Glossary



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

Appendix C – Acronyms and Glossary



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

Appendix C – Acronyms and Glossary



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

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

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



Solutions that Matter

Finding Number	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments	
57	Roles and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team not clear.	Brad	Finding - Risk	7/22/2020	Project Management	Due to DHS staffing constraints, the ASO is filling the role of Product Owner and Product Manager. The product manager and/or owner often make decisions that impact specific business functionality. This role is to be filled by the ASO, knowledge of DHS Business Functions is critical and strong communication channels are a must. However, IVV could not find evidence of a communication path of these discussions and decisions with DHS.	DHS and BSSSO need to establish a clear communication path with the BES Product Managers and Owners to ensure the functionality required is being met.	Identify and execute the communication path agreed to by DHS/ASO between the Product Managers and Product Owners and DHS/BSSSO. This ASO to clarify define the staff assigned and the roles and responsibilities of the ASO Product Managers and Product Owners. DHS consider adding staff to the project team with "strong" BSSSO business knowledge to work hand-in-hand with the product owners/manager and development team.	ASAP	4	4	High	Open	8/20/2020 - Although the ASO stated many touch points exist between DHS and the Product Owners/Managers, DHS does not confirm a level of engagement they feel is needed to properly manage the design and development processes. The complexity of BES increases with the future release and a risk that needs a clear mitigation plan. Recently, the ASO recognized this as a gap and is taking action.				
55	Test Case creation without functionality acceptance from JADAR/JAR sessions.	Earl Barba	Concern	7/29/2020	Project Management	It appears that test cases are being created and executed without acceptance criteria from the design phase of the project that was provided in JAD/JAR sessions. As previously stated as a finding in IVV finding #45 DHS Stakeholders committed to unclear approach to SI Design, Development, and Implementation (ODD). This may still be a concern and extending into test case creation and execution.	If stories are written without clear acceptance criteria, then the test cases may not provide full coverage to the required functionality.	FCG documents that details resulting from JADAR/JAR sessions was agreed upon in the Test Results documentation to help ensure that acceptance criteria that was approved on a met.	Immediate	3	4	Med	Open	8/21/2020 - In August there were a couple of situations, gender, number of entries allowed in a search feature, among 8 that still appear that the acceptance was agreed with JAD/JAR. It remains unclear if the developers are using the JARs only or only focused on the requirements, IVV will continue to monitor.				
54	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of solution that does not meet business need.	Brad	Finding - Risk	6/24/2020	Project Management	Poorly planned and executed User Acceptance Testing (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 or approved prior to UAT, which impacted DHS' ability to proceed with testing. Outstanding predecessor deliverables include: Approval of system test scripts (B-20); Delivery and approval of system test results (B-22); Delivery and approval of other R.O.I. deliverables (B-10, B-14, B-15, B-21). The ASO plans to address this challenge, as well as other opportunities for improvement evidenced during R20 as "lessons learned" during future releases. IVV notes that DHS staff will be required to enter UAT Test scripts into pre-defined spreadsheets, which will be imported into Jira by the ASO. 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 ASO.	UAT gives DHS the chance to check to the BES release using both real-world examples and those people who will be using the application day to day. It is the final stage of the implementation process; conducted to ensure that system requirements meet business needs and allowing for any issues to be found before the system goes live. A UAT that is not comprehensive could result in defects being found post-go-live, leading to expensive solution updates and retraction of user confidence in the solution.	- All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule to adequate timing is provided to support UAT preparation and execution. - The JAD/JAR develop the action plan to resolve issues and target complete dates. Report progress in the weekly status meeting.	- All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule to adequate timing is provided to support UAT preparation and execution. - The JAD/JAR develop the action plan to resolve issues and target complete dates. Report progress in the weekly status meeting.	Immediately	4	3	High	Open	8/20/2020 - The ASO conducted 3 Lessons Learned sessions with the project team to review the list of Release 0.2 UAT areas to improve. The summary of the actions, planned resources, and release information (including resolution or implementation process) was sent to the project team. All actions will be reported into Jira. DSJ indicated they were expecting all actions to be applied in Release 0.2 and it is unclear why some actions are planned to be applied in Release 0.3. This may result in UAT issues/concerns experienced in Release 0.1 replicated in Release 0.2. Additionally, all actions planned for Release 0.2 are not in current schedule, which may cause additional delays. 7/29/2020 - The lessons learned for Release 0.2 was primarily focused on the area needing improvement for UAT - with two sessions held this month and another session needed to complete the lessons learned activity. Primary areas of concern included deliverables not being completed by the contract and DOD Plan, lack of clear scope, inadequate training on the UAT process, difficulty using the tools to track defects (through training issues), inadequate test environment (only 1 user, not secured) and poor planning/facilitation of the UAT process by the ASO. The ASO has committed to improving UAT in future releases. Stakeholders expect to see evidence of improvement in the planning process/pre-reqs/acceptance in future releases.	8/20/2020 - RP - Met w/ DSJ. Acknowledge that the first release is late. Discussed the pre-req deliverables, and the need to start testing. Early drafts for deliverables being circulated for review. DHS does not want to enter UAT Test cases into Jira, will populate spreadsheets and provide to ASO for import into Jira. DSJ under discussion on adding defects into Jira, working towards agreement. DSJ - DHS Test lead will triage defects, and DHS JIRA lead will defects into Jira. ASO consent of Jira user person handling this responsibility to help avoid bottlenecks. None are currently assigned as ASO role. Project schedule will be adjusted to ensure that predecessors are completed prior to UAT. For IVV, this may be lead to delivery, not DHS acceptance. Schedule updates expected by next week. Process for potential exceptions for deliverable approvals has not yet determined.		
53	The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.	Darren	Finding - Issue	5/21/2020	System Design	The System Architecture documentation is scheduled for completion after 5 of 7 releases are already in progress, and 2 releases completed.	The System Architecture documentation is a foundational technical document, intended to provide the standards and guidelines for all solution hardware and software components that will reside in the solution. This foundational document should be completed and agreed to prior to any code development, to ensure the code meets with the architectural principles and overall design.	- Recommend completing and approving the B-12 System Architecture deliverable prior to development of source code. - Completing the B-12 deliverable prior to development of code is not possible for any reason, ensure that all portions of the architecture that are directly or indirectly related to the source code development efforts, standards, and processes be submitted for approval by DHS in draft form prior to code development, and subsequently approved with final approval of B-12 in accordance with the project schedule.	June 2020	5	4	High	Open	08/13/2020 - This finding was reported as a preliminary concern in the previous IVV monthly report and is evaluated to no issue in this reporting period. The System Architect documentation is a foundational technical document intended to provide the standards and guidelines for all solution hardware and software components that will reside in the solution. This foundational document should be completed and agreed to prior to any code development, to ensure the code meets with the architectural principles and overall design. We recognize some flexibility is needed in an agile approach however, the overall Architecture should be documented and followed with updates as needed. In fact, no sections of the System Architecture deliverable B-12 have been formally approved by DHS. The ASO is currently responding to concerns on some sections of the initial draft, however the schedule dates for the Shared Services and CMA sections continue to be missed. Further continues to be constructed without the overall guidance of the System Architecture deliverable, which may result in variation in the development efforts. Based on the current schedule, 5 of the planned 7 releases will be in progress by the time the architectural details are made available, and 2 releases will already be completed. 07/12/2020 - A draft of the IAM architecture and draft JIRA Coding Standards (leveraging Google Standards) were presented in a walkthrough held on 7/21/2020, and both were delivered for client comments on 7/22/2020. The Shared Services architecture draft is now scheduled for delivery 8/12/2020, and the CMA architecture is now scheduled for delivery 8/27/2020. The longer these foundational deliverables are delayed, the larger the potential impact to the BES software development effort. The ASO has stated the project team will develop the detailed software architecture plans (related to each release in future B-14 deliverables. These may also result in a "disrupter" applications architecture and could result in unapproved variation in developed software products. 06/30/2020 - The ASO stated that the logical architecture for the software development effort should be completed by the end of June, however that date was not met. The System Architect Overview section was presented to DHS on IVV on 6/22/2020. Details and logical architecture for the IAM and Shared Services components were pushed to July, and the CMA component was pushed to August. The physical architecture and container component are still scheduled for September. IVV will continue to monitor, and will assess these corrective actions as they are completed and submitted. IVV	07/26/2020 - (Paul O) don't believe this is properly worded - for clarity it should be noted that Software Architecture will be completed before Release 3 and forward they are in review now and the technical architecture will have components outstanding, primarily on items that do NOT impact the building of the software (such as our Containerization Management Strategy). SAP coding standards in the review cycle, and BES 1.0 and coding standards are not yet final but will be this month. 08/20/2020 - IAM and Shared Services Chapters will be completed in July, and CMA in August. In August, UAT standards for Portal will be reviewed this week. Coding standards for Portal in the next couple weeks. BES 1.0 standards are complete, looking for time to review. BES coding standards drafted, going through review. (approx. 7/10)			
49	Poor quality project deliverables may lead to work and negatively impact the system design, being reflects and project schedule.	Darren	Finding - Issue	4/26/2020	Project Management	In April, four B-10 design deliverables and one Interface Control Document deliverable were submitted for client review. There was an average of 83 comments submitted for each of these deliverables. The documents exhibited erroneous information, a lack of a light organizational flow, an insufficient level of detail, and a lack of understanding of the subject matter from both a functional and technical perspective. DHS flagged this issue in the Project Issue Log for corrective action by the ASO. The ASO acted by conducting an internal root cause analysis provided DHS and IVV the high-level results.	The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays due to the associated review needed for reiteration. If poor quality deliverables continue to be produced and submitted for review, this can continue to result in unproductive use of time, unanticipated review, mitigated development and testing activities, prevent further submission of subsequent deliverables.	IVV recommends that a facilitated root cause analysis be performed by the ASO with DHS and IVV in attendance. Quality issues are evenly generated by a single entity in a project, as there are three could potentially be multiple causes or root causes of the current condition. Once the root cause(s) are identified, IVV recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables.	Immediate	3	5	Med	Open	08/13/2020 - The ASO re-submitted multiple deliverables during August, mostly due to issues in addressing outstanding comments. The B-10 deliverable for Release 0.2 was iterated twice in August and does not meet DHS's needs. IVV will have the finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products. 07/13/2020 - The ASO re-submitted multiple deliverables during July, mostly centered on the BES Optimization change. The B-10 deliverable for Release 0.1 was reviewed again, and is currently under review. The B-10 deliverable quality for Release 0.1 was improved from other deliverables and has been accepted by DHS. As such, IVV is reducing the finding priority to Medium. IVV recommends leaving this open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across deliverables. 08/30/2020 - The ASO announced the use of the Continuity tool for development of deliverables, as it integrates with Jira and Axi. The ASO re-submitted multiple CMA and deliverables after being reviewed for BES Optimization, many of which have already been reviewed, and some of which are currently under review. B-21 and B-20 deliverables were submitted by the ASO in June. The B-20 needed request for quality issues identified by IVV on 6/22/2020 to discuss initial plans for remediation. The ASO presented a one page summary of actions in the deliverable process based on their analysis of the impact DHS's most recent analysis, which yielded the following areas as being cited for improvement: - Updates are needed to the ASO User Review Checklist. - Workflows are needed to ensure that reviewers fully understand the deliverables' intent and their associated context - Deliverable B-6 (PMP) needs to be updated with the revised processes - The ASO plans to use new tools to update the process. The ASO and DHS also agreed on update process changes to ensure the accuracy of CCF comments. The ASO	06/30/2020 - New deliverables this month included B-10 and B-10. B-10 was initially called for review quality issues, and the issues were corrected. DHS is not comfortable with B-10 re-format, will corrective action plan should be performed over the next week as a task on the interim project schedule.			
48	The CMS Outcomes Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.	Ashlee	Finding - Risk	7/30/2020	Project Management	CMS has not published the Outcomes Based Certification (OBC) requirements/process, which allows states to receive BPS PPP for Medicaid funding for the BES solution.	If the OBC process and requirements are not published by CMS prior to the State's approval of the functional and technical requirements, the project's ability to receive enhanced Medicaid funding may be at risk.	The State continue to follow-up with CMS for the status of the release of the OBC Process and Requirements and discuss this with CMS to determine if there will be any options available to minimize this risk to the State.	and Technical Req	5	4	Med	Open	8/12/2020 - No update during this reporting period. 7/31/2020 - No update during this reporting period. 07/30/2020 - No update during this reporting period. 07/29/2020 - No update during this reporting period. 06/31/2020 - No update during this reporting period. This finding reporting Number 5 which was in relation to the CMS MEET Life Cycle. DHS informed DHS that the BES project will require the adoption of the CMS OBC process, the MEET process will be longer apply.				
47	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	infor	Finding - Risk	7/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home" work from home" order that has reduced state departments' ability to fully function as the large majority of state workers have recently been asked by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most of all project activities will move than likely be conducted remotely until the crisis passes. The DHS project team will soon take some key members of the PMO, the PMO lead will remain on 4/20/2020 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. The state/DHS initiates a hiring freeze, DHS PMO may not be able to replace their key personnel. Additionally, if the state restricts telework, DHS project team resources could be further compromised. Unclear if the state budget challenges will impact overall project funding.	- Ramp up efforts to setup, train, and assist stakeholders on remote work tools and tools and make sure they are able to use them. - Review and update the remote work policy.	- Ramp up efforts to setup, train, and assist stakeholders on remote work tools and tools and make sure they are able to use them. - Review and update the remote work policy.	ASAP	3	5	Med	Open	08/17/2020 - Honolulu City and County leadership announced an updated Stay at Home order beginning 8/21/2020, allowing for 2 weeks. COVID-19 related hiring freeze may impact the DHS ability to replace project PMO vacancies as well as other potential risks to meet project needs and to support the new system go-live. DHS stated the ASO has managed the project effectively over the last 6 months, therefore IVV is changing the priority to Medium. 7/31/2020 - On July 13, the Governor has announced plans to allow a program that would allow some public workers to skip the mandatory 45-day quarantine in Hawaii if they register for COVID-19 testing by September 2020. The project continues preparations and plans for some level of remote UAT in September. 6/30/2020 - The State has recently opened remote stand work, and transportation will be currently ended for August 2020 with COVID testing constraints. The ASO's local office is slated to begin training in October, pending all needed State, Union, and Topex 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 will leverage their existing CCM (Continuity of Operations) plan to address some mitigation steps. DHS has also stated that while they are concerned about the execution of remote UAT training, they have a greater concern that the increase in workload due to citizens loss of access COVID benefits will increase their volume of applications and support. DHS has additional concerns that possible workforce and budget cuts could limit their ability to expand their capacity to handle the additional workload and support the project. The ASO has gained insights into remote UAT from their MDC team experience in performing remote UAT for MCD/KOLA. 05/27/2020 - 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. 4/30/2020 - 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 stakeholders can access email and calendar events from home. IVV will monitor related impacts to the project and provide updates as the next report.	08/17/2020 - Honolulu City and County leadership announced an updated Stay at Home order beginning 8/21/2020, allowing for 2 weeks. COVID-19 related hiring freeze may impact the DHS ability to replace project PMO vacancies as well as other potential risks to meet project needs and to support the new system go-live. DHS stated the ASO has managed the project effectively over the last 6 months, therefore IVV is changing the priority to Medium. 7/31/2020 - On July 13, the Governor has announced plans to allow a program that would allow some public workers to skip the mandatory 45-day quarantine in Hawaii if they register for COVID-19 testing by September 2020. 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43	Due to lack of BES, BES and ASO 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.	Ashlee	Finding - Risk	7/25/2020	Project Management	An report in various project meetings, several PMO, BES and ASO project team members are planning to retire or leave the project within the next few months who have always transitioned the project. While there are plans and actions being taken, a formal transition/ succession plan has not been documented. In January, the ASO did announce and introduce an succession Project Manager, but a plan for a permanent replacement is not currently known.	The key resources having the BES Project provide knowledge and history of DHS and its software, PMO, which includes DHS PMO and DHS PMO resources (reference PMP sections 4.3.3 Staffing Skills). The plan should include the possible COVID-19 economic impact to the state budget, including in relation to this project's activities. The ASO should document a transition plan for the project's activities as required by the PMP (reference PMP section 4.3.1.2 Benefits Eligibility Solution Staffing Staffing).	The state should document a transition plan for the project and PMO resources as identified in the PMP, which includes DHS PMO and DHS PMO resources (reference PMP sections 4.3.3 Staffing Skills). The plan should include the possible COVID-19 economic impact to the state budget, including in relation to this project's activities. The ASO should document a transition plan for the project's activities as required by the PMP (reference PMP section 4.3.1.2 Benefits Eligibility Solution Staffing Staffing).	ASAP	5	4	High	Open	8/12/2020 - Progress was made this month that the Data Steward position was filled and planned to begin work on 8/10/2020. The Data Governance Lead and the DHS PMO positions continue to be an open status. The DHS PMO team is working with DHS and BSSSO Executive Director to identify new sources of funding for the project. Comments: DHS is working to get approval to fill all positions and recruitment in August. 7/31/2020 - This finding was moved from the CCM knowledge Transfer to Project Management category as requested by DHS as ongoing coordination with the CCM work being performed by the ASO. Transition plan for the ASO team are in place and the DHS PMO team is working with DHS and BSSSO Executive Director to identify new sources of funding for the team. Concurrently, DHS is working to gain approval for all open positions and recruitment is ongoing. This month the need for the Data Steward and DHS Convention lead was realized, there are both key positions to the core project activities and the BSSSO business needs. DHS is actively working to identify staff fill these roles. 08/20/2020 - The ASO announced the addition of technical resources to work with vendors, however that person will be integrated with the team until after travel restrictions are lifted. DHS PMO staff announced the new team retirement of three CPMs PMO staff, which is essential the balance of the PMO team. IVV is unaware of any documented transition plans, and it is unclear if the positions can or will be back filled at this time. 5/12/2020 - The ASO filled the Solution Architect position. DHS continues to execute the exception process to back fill the DHS PMO position and execute the transition plan. 4/30/2020 - DHS continues to execute the transition plan for three staff planning to retire. The ASO 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 financial impact to the state. The State's financial impact to the state will be addressed through several key metrics. The State's ability to align the required resources to the project may be challenging as the project moves forward therefore, IVV updated the priority of this risk from Low to Medium. 3/25/2020 - DHS has a transition plan in place and managing the activities. The ASO filled the project coordinator and business analysis position, and is actively recruiting for the Solution Architect position. IVV will continue to monitor this risk until all positions are filled. 2/28/2020 - This finding was discussed with DHS and the ASO PM this month and they are	08/30/2020 - Mark Chen is becoming more involved in the project. Involved in Arch decisions and PMO decisions around test sets, future vision etc. They did PMO working group w/ Gary and Jennifer. We have no insight into other DHS staffing.	3/2/2020 - The ASO PM stated the Project Coordinator position is filled and they will begin work on 3/2/2020. Transition activities from Darren will begin next week. ASO PM also stated they are currently filling the ASO PM and ASO Engagement Manager Roles and is committed to the project in their role for the next 6 months.		

42	Project delays and disruption in DHS operations may occur if ASI communications with DHS regarding key (urgent) critical project information does not improve.	Info	Finding - Risk	10/28/2019	Project Management	<p>IVV has observed that ASI communication to DHS regarding key project information is at times insufficient and/or delayed. Recent examples include: - DHS reported that changes to the JAD calendar are being made by the ASI without notifying stakeholders. - PMO and BES Project Team did not receive sufficient clarity or notification about challenges impacting the previously planned October MDM Release. The topic was discussed at the 9/28/2019 ASI Weekly Status Meeting (see Meeting Minutes from DOI Status Report #2/9/2019 and project Action Item #979) - During the COVID-19 Release Lessons Learned (retrospective) session, DHS LAM participants detailed multiple instances of ASI communication challenges, including: - LAMs to discuss communication during the design phase of the release - Insufficient communication to DHS staff participants unprepared to begin UAT testing. It is important to note that while MDM is not in IVV's scope, many of the ASI release resources and processes are shared between MDM and DOI, making the challenges experienced during MDM activities relevant to DOI. These instances of insufficient communication caused confusion among the project, and in some cases resulted in project risks, issues, and/or action items being opened. Insufficient and untimely communication can confuse and delay project resources, and can further complicate project activities, challenge the project's ability to meet milestones, and impact the quality of both planning and execution.</p>	ASAP	4	4	Med	Open	<p>08/27/2020 - The ASI has made changes to the format and content of the project status report to include the release and development cycle, and weekly meeting minutes for the ASI status report to DHS without much discussion or elaboration. DHS leadership has stated they fail to use the value in this method and have asked the IVV to explore ways to encourage productive conversations during the meeting. DHS has also requested the status report include target issues and suggested combining the schedule meeting with the project status meeting. DHS also expressed concern that the project's maintaining multiple action item tags, which could create confusion, not all ASI staff were aware there were separate tags and are currently working to merge as much as possible into the most project status report. 10/2/2020 - The next meeting will occur and the ASI identified several areas where communication could improve. The ASI is currently working with DHS to develop an action plan to address the communication issues along with the other areas identified for improvement. 6/30/2020 - During June, IVV noted a lack of communication regarding deliverable submissions. Although the ASI is required to notify DHS when deliverables are submitted, the ASI did not occur (i.e., BES Optimization update). When brought to the ASI attention, it was corrected. IVV also notes that the ASI has updated their Communication Plan to address change resulting from the BES Optimization. IVV will continue to monitor this finding to ensure that the process is consistently followed. 05/27/2020 - There continues to be a lack of timely communication between the ASI and DHS HQ. During May, IVV noted the following: The ASI published changes to their Key Personnel without providing the DHS PMO notice or prior approval as documented in the agreement. This was scheduled to deliver the updated Organization Chart and Communication Plan to DHS on 5/19/20. In a weekly status meeting on 5/19/20, DHS was informed that the delivery date was changed to 6/2/20. 04/29/2020 - During the 2/26/20 status meeting, the ASI stated their intention to update the Communications Plan. The ASI delayed the delivery of the updated Communication Plan to DHS to address the additional changes necessitated by the COVID-19 pandemic. 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 ePMO, DHS is concerned about the lack of transparency around the progress and details of what they are working on. IVV will revisit this risk with the ASI and DHS in May for maintenance; this is a medium risk to the project as the</p>		
41	Due to a lack of clarity regarding "Partially Met" requirements in design artifacts, full traceability of requirements may be impacted, and all requirements may not be fully met.	Derive	Finding - Risk	9/23/2019	Requirements Analysis & Management	<p>Requirements are listed in design artifacts as "Partially Met." With hundreds of planned design artifacts, it is unclear how complete traceability for each requirement will be accomplished within the design artifacts and ALM. Although the ASI has developed a method of splitting requirements in ALM, the process does not address the management and traceability of "one-to-many" relationships (i.e., where a requirement is fulfilled by multiple features or functions).</p>	Q4 2019	4	3	Low	Open	<p>Determine a requirements management and design artifact that provides full accountability of where each and every component of a requirement that is listed as "Partially Met" is satisfied, ensuring that each requirement is fully met and can be validated as such.</p>	<p>08/13/2020 - There were substantive changes to this finding reported in August. The latest project schedule anticipated this to be completed by 8/25/2020; however, the work was not complete. 07/31/2020 - The ASI and DHS signed this effort during the reporting period. Per the latest project schedule, this is anticipated to be completed by late August 08/15/2020. With the number of requirements still remaining to be split using limited IVV, we reduced the priority of this finding to low. 6/26/2020 - The ASI DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by streamlining all partially met requirements, and to request and obtain approval from DHS via Controlled Compromise (CC) DHS reports that this effort is still not completed with the ASI, and that they continue to work towards agreement. IVV will continue to monitor the project's progress towards finalization of requirements. 05/19/2020 - The ASI and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by streamlining all partially met requirements, and to request and obtain approval from DHS via Controlled Compromise (CC). To date, five (5) documents have been written and approved for this activity. DHS states they are awaiting additional CC's for Apprais, SSP, and a few others. IVV notes that these required tasks and activities are not included in the B ES Project Schedule however, the ASI is working with DHS to plan the activity details and add them to the schedule. 04/30/2020 - The ASI continues its efforts with DHS BES30 to break down the requirements into singular, traceable, and testable requirements to streamline all partially met requirements, and to request and obtain approval from DHS via Controlled Compromise process. This activity is behind schedule, it was planned to be complete by the end of April, and the recent 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. IVV will continue to monitor the status of this important requirements management activity during May. 03/11/2020 - The ASI is continuing its efforts with DHS BES30 to break down the requirements into singular, traceable, and testable requirements to streamline all partially met requirements. Per the latest interim schedule, this activity was scheduled for completion by March 11, 2020, however it was not completed at the end of the month. IVV will continue to monitor by April. 02/29/2020 - IVV is aware that the ASI has communicated efforts with DHS BES30 to break down requirements into</p>	
40	The planning and approach of the ASI Release Management practices were identified as an area to improve during early release.	Derive	Finding - Risk	9/13/2019	Deployment	<p>Release planning does not appear to be sufficient to meet the needs of the project. IVV observed that there was no RPOC Release Manager assigned to manage the first release for KOLA. IVV observed that there was a lack of timely release planning for the KOLA Release, and that communications regarding the release were inconsistent, fragmented, and inaccurate. IVV is unaware if a Release Plan has been fully developed to clearly outline details of the release, including timing of detailed tasks and activities, communication systems, configuration item updates, and risks and responsibilities of all resources involved from the ASI and DHS.</p>	OCT 2019	3	2	Low	Open	<p>Assign a Release Manager to manage all details of planned releases. Develop a Release Plan document for each release that provides details of the planned release and associated configuration items, clear assignments for all staff involved in all tasks, a schedule for completion of all tasks and activities, released release communications, and back out procedures should they be necessary. Ensure that release planning includes all deliverables within a release, in addition to the software development efforts. Update the Release 3 Lessons Learned action plan to include owners and due dates.</p>	<p>08/13/2020 - Although LAM for Release 3 was completed in early July, the associated deliverables have not been delivered or not been accepted (more than 6 weeks later). Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASI conducted a third Release 3 Lessons Learned activity on 8/17/20, and delivered an Action Plan on 8/21/20, however the plan does not include owners or due dates for the planned improvements. 07/15/2020 - Release 3 completed User Acceptance Testing, however the ASI still working to complete development of the majority of the associated documentation deliverables needed to formalize the release effort. A lessons learned activity took place on 7/13/2020 and 7/18/2020 to determine what went well and what can be improved upon for future releases. There were 30 total items reviewed, 12 of which fall into the "can be improved" report category. 06/22/2020 - No BES releases were accomplished in June. The scope of RO 2 was reduced in mid-June, as some of the originally planned SSP component tasks were delayed to BE 2. BE 2 is currently scheduled for completion on 7/14/2020 with the BES Card Inventory Module (see card issuance functions, which are currently planned for BE 2). However, IVV notes that several BE 2 pre-requisite deliverables requiring updates based on ODP are not yet being delivered and/or are not yet approved by DHS, and BE 2 UAT efforts have been delayed. The new tasks being implemented by the ASI independently help to improve the release management functions. IVV will continue to monitor the ASI and DHS activities related to this important first release for BES. 05/28/2020 - No changes to this finding in May. While there is currently a KOLA MO release BE 2.3.6 planned for June, the first BES SDO release is scheduled for August 2020. IVV will continue to monitor. 04/30/2020 - IVV validates that no new MDM SDO releases were performed during the month. IVV will continue to monitor, as it is anticipated that some SDO release changes will be made as the project gets closer to the next BES release, planned to occur in June 2020. 03/11/2020 - IVV validates that over 40 MDM SDO releases were performed during March. IVV will continue to monitor, as it is anticipated that some SDO release changes will be made as the project gets closer to the next BES release. 02/25/2020 - IVV validates that the ASI still has not yet performed a BES release, however the ASI has more successfully accomplished two releases for KOLA MO, and will continue to monitor as it is anticipated that some SDO release changes will be made as the project</p>	
38	Due to the sequencing of JADs addressing Workflow and the end instead of during current JAD sessions, the project could be faced with significant design errors, which may result in schedule delays, and impact the quality of solution design.	Info	Finding - Risk	8/29/2019	System Design	<p>As-is/JAD sessions are currently focused into functional areas (Portal, Admin, Apprais, Core, Financials, etc.) and have been ongoing since approximately March 2019. Workflow/JADs have yet to begin. Currently, when functional and design discussions involve a workflow/JAD, the discussion is limited because the ASI has yet to define how the workflow/JAD will be updated. The ASI has stated that once the workflow/JAD functionality is defined, they will go back and implement the existing designs to include this functionality.</p>	ASAP	4	4	Med	Open	<p>As-is work applied to define how the workflow/JAD functionality will work. Train BA session leaders - Introduce SMTs to workflow/JAD functionality and integrate into system designs.</p>	<p>08/27/2020 - The current project architecture and design should be as representative and inclusive of all known information as possible. The ASI continue to document the architectural details in the BE-12 System Architecture Deliverable and if possible, review draft content with DHS and IVV. DHS require ASI perform due diligence in its Subal in the future planning for that integration should be incorporated into the project now. If such architectural changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.</p>	<p>5/7/2020 - Paul Ohver did not deliver a follow-up activity. Addressing workflow in the JAD sessions was discontinued. Need to determine [1] which JAD sessions already completed, did or did not include workflow [2] workflow was covered in the ASI, will it change due to the Organization Solution [3] if workflow was not covered in the JAD sessions, how will these requirements be included in the solution? Further, per Paul's plan forward from CSM/PMO to include workflow as it is developed.</p>
29	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.	Info	Finding - Issue	9/28/2019	Project Management	<p>Some platform and BES system architecture decisions have yet to be made and solidified to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Subal instances (one for KOLA, one for BES), but this is not currently reflected in the project change log or the project design log. Items under review include the details of the release for the JAD design or the plan for integrating the two systems. JADs that have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether/when/for environments (including KOLA and BES production) will be moved to the cloud.</p>	ASAP	4	5	High	Open	<p>The ASI continue to document the architectural details in the BE-12 System Architecture Deliverable and if possible, review draft content with DHS and IVV. DHS require ASI perform due diligence in its Subal in the future planning for that integration should be incorporated into the project now. If such architectural changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.</p>	<p>08/27/2020 - In August, DHS is considering changing the cloud platform from Azure to Google and a Change Request is currently in progress. The ASI appears to be making plans to migrate their existing operating work to the new platform (to be confirmed by the ASI) and to integrate with the new BES system using their own environments. The ASI is making some progress in the communication of architectural decisions. The new ASI architect leading weekly architecture meetings which provides DHS a forum to discuss and/or clarify architectural plans and decisions. However, remains unclear if these architectural plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ESG given the change of platforms from KOLA and BES to the cloud. The ESG will not be responsible for any stand-alone BES environments, only the KOLA/BES stand-alone environments.</p>	<p>05/20/2020 - Combined application is still planned. App still not finalized by DHS. From Arch and Change Request is currently in progress. The ASI appears to be making plans to migrate their existing operating work to the new platform (to be confirmed by the ASI) and to integrate with the new BES system using their own environments. The ASI is making some progress in the communication of architectural decisions. The new ASI architect leading weekly architecture meetings which provides DHS a forum to discuss and/or clarify architectural plans and decisions. However, remains unclear if these architectural plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ESG given the change of platforms from KOLA and BES to the cloud. The ESG will not be responsible for any stand-alone BES environments, only the KOLA/BES stand-alone environments.</p>
20	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.	Info	Finding - Issue	9/28/2019	Project Management	<p>The current project architecture and design should be as representative and inclusive of all known information as possible. The ASI continue to document the architectural details in the BE-12 System Architecture Deliverable and if possible, review draft content with DHS and IVV. DHS require ASI perform due diligence in its Subal in the future planning for that integration should be incorporated into the project now. If such architectural changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.</p>	ASAP	4	5	High	Open	<p>The ASI continue to document the architectural details in the BE-12 System Architecture Deliverable and if possible, review draft content with DHS and IVV. DHS require ASI perform due diligence in its Subal in the future planning for that integration should be incorporated into the project now. If such architectural changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.</p>	<p>08/27/2020 - In August, DHS is considering changing the cloud platform from Azure to Google and a Change Request is currently in progress. The ASI appears to be making plans to migrate their existing operating work to the new platform (to be confirmed by the ASI) and to integrate with the new BES system using their own environments. The ASI is making some progress in the communication of architectural decisions. The new ASI architect leading weekly architecture meetings which provides DHS a forum to discuss and/or clarify architectural plans and decisions. However, remains unclear if these architectural plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ESG given the change of platforms from KOLA and BES to the cloud. The ESG will not be responsible for any stand-alone BES environments, only the KOLA/BES stand-alone environments.</p>	<p>05/20/2020 - Combined application is still planned. App still not finalized by DHS. From Arch and Change Request is currently in progress. The ASI appears to be making plans to migrate their existing operating work to the new platform (to be confirmed by the ASI) and to integrate with the new BES system using their own environments. The ASI is making some progress in the communication of architectural decisions. The new ASI architect leading weekly architecture meetings which provides DHS a forum to discuss and/or clarify architectural plans and decisions. However, remains unclear if these architectural plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ESG given the change of platforms from KOLA and BES to the cloud. The ESG will not be responsible for any stand-alone BES environments, only the KOLA/BES stand-alone environments.</p>

16	Lack of clear understanding of the DDI approach may reduce effectiveness of all SDC Processes.	refers	Finding - Issue	12/17/2018	Configuration and Development	Several DHS stakeholders have commented that the SI Design, Development, and Implementation (DDI) approach is unclear. While stakeholders can observe SI activity and have participated in some SI activities, they do not understand how it all fits together and some activity objectives seem unclear. The SI conducted a DDD approach overview session during an initial SI mission, however not all stakeholders were present. IVV did not locate any DDI approach documentation or materials that could be referenced by stakeholders who may have missed the overview session, by new members of the team, or by other interested parties.	Lack of stakeholder understanding and buy-in to the SI DDI approach and project activity objectives may reduce the effectiveness of SDC and JAD sessions as well as other BES project activities and decisions.	PCS recommends one or more of the following to mitigate this risk: 5.8 - A ASI provide an additional DDI approach overview session for stakeholders and allow for Q&A - ASI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be available via the project SharePoint - Encourage ASI to request ASI team to consistently collaborate during SI/ DDI activities.	1/21/19	4	3	Med	Open	08/12/2020 - DHS task team continue to express concerns with the effectiveness and efficiency of the ASI testing process, both in methodology despite efforts by the ASI to improve processes based on feedback from multiple lessons learned sessions. 07/29/2020 - DHS testers have recently reported a lack of clarity around testing which has led to confusion and challenging UAT sessions. 08/10/2020 - The ASI continues to provide further details of their hybrid DDI implementation approach including describing how they intend to utilize new Application Lifecycle Management and development tools. IVV will continue to monitor any new details of the revised approach as made available. 05/27/2020 - IVV 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 has not published nor conducted any sessions with the extended project team to explain how they will adopt the agile methodology for this BES Project. The ASI agile approach is planned to be documented and shared with DHS in early June 2020. 04/29/2020 - 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 DHS did not come to a good understanding of Agile principles and how the ASI will implement Agile. 03/20/2020 - The ASI conducted a walk-through of the Lucidchart Process Diagrams for DHS, however, DHS has stated that this and other ASI efforts to explain the big picture have not met their expectations or increased their understanding of the ASI DDI methods. Additionally, the project continues to move forward with the BES Solution Optimization. It is currently uncertain if the Solution Optimization, or the inclusion of subcontractor development resources, will change or impact the ASI/ DDI approach. IVV will continue to evaluate this finding as additional details about the Solution Optimization are made available. 02/27/2020 - The ASI has recently provided DHS with a series of Lucidchart Process Diagrams as a means to provide them with a better understanding of the "big picture" and how all the individual processes and analysis relate to each other and fit together. Review sessions of these diagrams are planned. Additionally, the project continues to move forward with the BES Solution Optimization. It is currently uncertain if the Solution Optimization, or the inclusion of subcontractor development resources, will change or impact the ASI/ DDI approach. IVV will continue to evaluate this finding as additional details about the Solution Optimization are made available.	1/7/19: Note: During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Limmy offered to present the orientation during each JAD session. It was suggested by DHS that the pre-JAD packet be placed in the SharePoint site. For new participants in the JADs, a separate orientation before the JAD should be held for those new participants.	10/10/19 5B: DHS has agreed to the updated B.10 template which will be reviewed as part of iteration 1 activities. In addition, the ASI has produced a final big picture and revised DHS and the PMO through it. The whiteboard big picture is being produced for team consumption.	09/12/19 5B: The B.8 DDI Plan Deliverable has been accepted by DHS. The ASI is currently addressing comments on the iterations of B.12 functional Design deliverable provided for review to DHS to more clearly align with sections of the approved DDI.	06/11/19 5 Brown: The ASI disagrees with the finding and associated rating. The DDI plan has been presented to the client in its entirety and the ASI is executing delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the methodology to the client. The ASI is in the process of updating the deliverable based on the DDI comments, with many of them from them and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are also remaining sections along with general comments still due to the client this week. Walkthrough will be scheduled as needed.			
12	Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. (Liberty vs. Adobe)	refers	Finding - Issue	11/28/2018	Configuration and Development	The project intends to utilize Adobe as the preferred platform for portal development, instead of Liberty (which is currently used for the existing KOLEA portal platform), in the BES project web portal solution. Adobe Forms is currently out of scope for the BES portal but is in scope for BES RFP production. This decision represents a change in scope and requires a CR, which is currently in process. ASI has given DHS a Rough Order of Magnitude (ROM) estimate of \$2.8 million for this CR and has also provided a more detailed POA. As of the date of this report, the Project is tracking this as a "Low Level Issue." It is unclear if DHS will be able to fund this CR or if it involves de-scoping/scope swaps.	If DHS executes a change request to implement Adobe as the BES portal solution, there will be a significant impact to the project budget. The ASI has stated that if the portal platform is not decided soon there will be schedule impacts as they need to staff for the appropriate skillset. ASI has also stated they may begin developing a solution in Liberty until a CR is executed to move to Adobe.	08/13/2020 - DHS continues to work with the ASI as DHS evaluates option to plan, execute and implement the BES Portal. Continue discussions with the ASI and DHS to understand if and how the project will pursue alternative methods to integrate the portals in order to simplify and enhance the customer portal experience.	01-29-2019	4	3	Med	Open	8/13/2020 - DHS leadership agreed the intent of the portal is to support the "No Wrong Door" experience for the client (similar client experience regardless of portal used) and continue to discuss options regarding how this concept will be planned, executed and implemented. 7/31/2020 - DHS, ASI and IVV have noted a lack of a clear portal strategy and the communication around the portal strategy. For example, some stakeholders were unclear whether the portal online application for Medicaid and BESDD would be combined and/or replicated in both portals or if they would remain separate. It appears the MCD portal rewrite will include an online application for MCD services, not BESDD services. The BES portal is likely to include a combined (MCD/BESDD) online application. There appears to be some lack of clarity around the long-term portal strategy for both MCD and BESDD. 08/30/2020 - DHS is no longer planning to create a unified portal due to a required reduction in scope as part of the BES Optimization. DHS is closer to awarding a contract to migrate the KOLEA portal from Liberty to Adobe, while the BES Portal will be implemented separately by the ASI in Liberty. The ASI still plans to develop the "combined application" and has stated that the integration effort will be more complex under BES Optimization than it was in the original scope of work. 02/27/2020 - DHS has stated their intention to create a unified (single) portal for both MCD and BES. DHS is still in discussion with the ASI on whether implementing the BES portal is a unified Adobe-based platform is within their scope of work. Customer benefits (Chitra Naji) of a unified portal could be compromised if the ASI implements a separate BES portal. 08/20/2020 - Proposals for the KOLEA Portal Modernization RFP were due 4/13/2020. DHS is currently evaluating the proposals. 03/28/2020 - DHS reported the KOLEA Portal RFP was released this month. IVV is not clear regarding the move forward plan for the BES Portal requirements and will follow-up in April. 02/17/2020 - The ASI has released JAD sessions for the BES portal design as of 2/12/2020. IVV is not aware if the KOLEA Portal RFP has been released. IVV will continue to monitor this and will provide an update in March. 01/12/2020 - IVV validated the DHS KOLEA Portal RFP and was not released as of the end of January. IVV also confirmed that the BES Portal is still planned as a component of the AS scope of work. IVV will continue to monitor this and will provide an update in February. 12/13/2019 - IVV has no update on the status of the DHS Portal RFP for the December Reporting period, however, understands that DHS is targeting the first half of January to release the RFP. IVV	07/10/2020 - The ASI provided DHS and IVV feedback on this finding via email. A subsequent conference call with the ASI, BES PM and IVV team on 7/16/2020 was conducted to discuss the comments 10/10/19 5B. The ASI would like the IVV and IVV to update their assessment to include the status that there have been multiple iterations of this CR that have been provided to DHS to address their project needs and budget concerns. The ASI has provided the PMO with an updated approach and ROM for the completion of the KOLEA Portal to Adobe that the ASI believes is in line with DHS expectations and it is currently under review by DHS.	06/11/19 5 Brown: The ASI disagrees with the finding that there is limited communication to the project on this item. It is updated on a weekly basis as part of the status report and meeting, with client agreement on status.	03/10/2019 8H Thornton, Limmy, Urquhart Clarification - has been provided to the composite site applying to DDI enhancements with the existing technology stack. Adobe is a new technology and the composite site does not apply. We will update the risk with effort - and the risks listed.	06/11/19 5 Brown: The ASI disagrees with the finding that there is limited communication to the project on this item. It is updated on a weekly basis as part of the status report and meeting, with client agreement on status.			
2	Late delivery of project deliverables may result in schedule delays.	Adverse	Finding - Issue	11/26/2018	Project Management	Based upon the project schedule dated 11/2018 (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) requiring approval and acceptance from the State.	Without a PMP that depicts all Project Management processes, the Project can suffer unimpeded 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.	8/11/2020 Recommendations: Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items identified by DHS, the ASI, and IVV to include the Release 1.1 lessons learned - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline - Complete - Establish the process for on-going schedule management and weekly updates, utilizing the Schedule Management sub-plan of the Project Management Plan (PMP) - Complete - 5/15/2020 - Finalize the updates to the project schedule to address the outstanding items/ issues identified by DHS and IVV. 5/11/2020 - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline. 5/11/2020 - Add all tasks that have been performed or planned to be performed in the interim schedule. Closed 5/10/2020 - effective 5/11/2020 the ASI is no longer maintaining the interim schedule. IVV recommends that the ASI complete the Project Management Plan deliverable, work with DHS and IVV for review and edit as needed, and attain approval of the PMP. This will help ensure that all processes within the project management entity are thoughtfully and collaboratively developed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverable and tasks and delivery thereof, needed mitigation actions along with identification and agreement with DHS on DDI to resolve the late activities and tasks. Updated Recommendation 02/02/2019 - Continue to manage and track the schedule to ensure deliverables are provided as planned. - Review the schedule critical path in the weekly schedule review meeting. - Continue to meet weekly with DHS to convey new schedule changes, obstacles, and document the corrective actions that will be taken to address schedule delays and obstacles resolution. - Determine if the stopped work on TDD will impact the schedule, and update accordingly. - Determine if work on TDD will impact the schedule, and update accordingly. - Analyze the project schedule activities to identify any opportunities to make up time resulting from the current delayed activities - Develop a process for determining what functionality will be deferred as part of an iteration, determine how many iterations there will be, and update the schedule accordingly	18D	4	5	High	Open	8/11/2020 - Although the ASI provided some deliverables and work products on time during this reporting period, the Evaluation of several other deliverables (i.e., Solution Optimization Project Schedule, Version Release 1.1, 1.2 and 1.3 Deliverables and work products including the Data Conversion Plan) are behind schedule. IVV maintains this issue as a high criticality finding since the project schedule is not approved by DHS, the schedule continues to be updated with new target completion dates, and late tasks span multiple releases. 7/15/2020 - The ASI's behind schedule on some of the Solution Optimization (e.g. B.5 Project Schedule), R.1.3 (e.g. testing documents), R.2 (e.g. Requirement Validation and R.3 (e.g. Risk and R.4 (e.g. Workflow Requirements Validation)) deliverables and work products. The ASI reports these delayed tasks have not impacted the critical path as defined by the BES-Project Tool. IVV maintains this issue as a high priority since the project schedule is not approved by DHS, the schedule continues to be updated with new target completion dates, and late tasks span multiple releases. 08/30/2020 - The ASI is behind schedule on Solution Optimization tasks and activities but maintaining that critical path has not been affected. IVV notes that several R.1 deliverables being updated for the BES Optimization have not yet been delivered by the ASI and/or approved by DHS, which is currently delaying R.1's start-up efforts. As such, IVV has increased the rating of this finding to High in June. IVV will monitor all tasks, activities and deliverables completing R.1 during their regular reporting period and will provide an update in the next report. 5/15/2020 - On 5/15/2020, the ASI revised the interim project schedule and published the BES Project Schedule, which will be updated on a weekly basis. Based on IVV's review of the project schedule, and dates of providing updated planning deliverables (e.g., Communication Plan, B.6 DDI Plan, B.10 SI 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 a DHS/ASI agreed upon process to baseline the schedule, which needs to occur. IVV will monitor closely and provide an update in the next report. 03/02/2020 - 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 flagged 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	9/10/2020 - Rob Plummer indicated the IVV comment regarding Release 3.0 late tasks is not a fair representation.	8/4/2020 - Paul Oliver and Rob Plummer - status update is accurate - no concerns expressed by the ASI. Rob indicated the R.2 Workflow activities are currently being updated.	3/15/2020 - Paul Oliver - The interim schedule was not intended to capture every task/activity. It was meant to capture the major higher-level tasks to manage the project short-term. The ASI team is focused on the long-term schedule aligned to the BES Optimization. The interim schedule is being used and reviewed weekly in the IVV team meeting. The interim schedule will be used for approximately 1 month, targeting the end of April for the BES Optimization Schedule.	10/10/19 5B: The ASI is working to close collaboration with DHS on the schedule and is awaiting options to the project schedule and content and would ask the IVV and IVV to reflect DHS' current assessment of this issue.	09/12/19 5B: The ASI meets weekly with DHS to review the schedule in detail and will continue to do so. As noted earlier, the ASI and DHS are assuming option to simplify the schedule and work item tracking process.	6/12/19: The ASI and client are holding daily stand-up meetings to review progress made that day, any issues identified and the plan for the following day. These meetings specifically review the schedule and review opportunities for pull-in. The ASI and client are also holding weekly standup meetings with the entire team to review progress, issues, and activities coming up the following week with the objective of collaboration and joint ownership of the progress and schedule improvement.	5/12/19 8H Thornton, Urquhart Specific to the PMP, the DED was approved by DHS on 1/15/2019 and the deliverable submitted on 1/21/2019. Specific to the project schedule, the DED was approved by DHS on 1/21/2019 and the deliverable is submitted for submission the week of 3/18/2019. 2/6/19, 8H Thornton, Urquhart - Executive Summary Block feedback - The project schedule has been baselined but needs to be re-baselined based on the approved dates of the DEDs. Deliverable delays - deliverables are not supposed to be started until the DED is approved, the deliverables