July 14, 2021

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

The Honorable Scott K. Saiki,  
Speaker, and  
Members of The House of Representatives  
Thirty-First 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 (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the IV&V report the Office of Enterprise Technology Services received for the State of Hawaii Department of Labor & Industrial Relations Disability Compensation Division’s Modernization Project – Electronic Case Management System.

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

Sincerely,

Douglas Murdock
Chief Information Officer
State of Hawaii

Attachment (1)
Disability Compensation Division’s Modernization Project – Electronic Case Management System (eCMS)

MONTHLY ON-SITE IV&V REVIEW REPORT
May 27, 2021 | Version 1.0

REPORT FINALIZED
July 2, 2021
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<td>06/10/21</td>
<td>Monthly On-site IV&amp;V Review Report Draft created</td>
<td>Julia Okinaka</td>
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<td>07/02/21</td>
<td>Monthly On-site IV&amp;V Review Report Final updated to reflect no comments submitted in Appendix F.</td>
<td>Julia Okinaka</td>
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EXECUTIVE SUMMARY

BACKGROUND

The State of Hawaii (State), Department of Labor and Industrial Relations (DLIR) contracted DataHouse Consulting, Inc. (DataHouse) for the Disability Compensation Division’s (DCD) Electronic Case Management System Project (eCMS Project). DLIR contracted Accuity LLP (Accuity) to provide Independent Verification and Validation (IV&V) services for the eCMS Project.

The Initial On-Site IV&V Review Report (IV&V Initial Report) was issued on August 30, 2019 and provided an initial assessment of project health as of June 30, 2019. Refer to the full Initial Report for additional background information on the eCMS Project and IV&V. The Monthly On-Site IV&V Review Reports (IV&V Monthly Reports) build upon the Initial Report to update and continually evaluate project progress and performance. Refer to Appendix E: Prior IV&V Reports for a listing of prior reports.

Phase 1 development and testing activities and Phase 2 requirements and design activities progress slowly and continue to be increasingly delayed. The focus of our IV&V activities for this report included governance, the completion of a two-month in-depth assessment of data conversion, and the beginning of a two-month assessment of requirements management. IV&V has areas of limited visibility or access to project activities and documentation that may prevent a complete identification of project risks.

The IV&V Dashboard on the following two pages provides a quick visual and narrative snapshot of both the project status and project assessment as of May 27, 2021. Additional explanation is included in Findings and Recommendations by Assessment Area for new findings and in Appendix D: Prior Findings Log for prior report findings. Refer to Appendix A: IV&V Criticality and Severity Ratings for an explanation of the ratings.
**Executive Summary**

**PROJECT ASSESSMENT**

**SUMMARY RATINGS**

**OVERALL RATING**

Significant severe deficiencies were observed requiring immediate remediation or risk mitigation.

**PROGRAM GOVERNANCE**

**PROJECT MANAGEMENT**

**TECHNOLOGY**

**CRITICALITY RATINGS**

**PROJECT PROGRESS**

As of 05/15/21. IV&V unable to verify %.

* Only includes contracts. IV&V unable to validate total budget.

**PROJECT BUDGET**

* As of 05/15/21. IV&V unable to verify %.

* Only includes contracts. IV&V unable to validate total budget.

**31 OPEN FINDINGS**

**SEVERITY RATINGS BY ASSESSMENT AREA**

**PROJECT BUDGET**

**54 OPEN RECOMMENDATIONS**

**CONTENT UNKNOWN GO-LIVE***

*** Revised go-lives pending.
<table>
<thead>
<tr>
<th>ASSESSMENT AREA &amp; RATINGS SUMMARY</th>
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<td>AS OF MAY 27, 2021</td>
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<table>
<thead>
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FINDINGS AND RECOMMENDATIONS BY ASSESSMENT AREA

OVERALL RATING

The overall rating is assigned based on the criticality ratings of the IV&V Assessment Categories and the severity ratings of the underlying findings (see Appendix A: IV&V Criticality and Severity Ratings). The tables below summarize the criticality ratings for each IV&V Assessment Category in the three major IV&V Assessment Areas. Two IV&V Assessment Categories declined and one improved from the prior report. The overall rating primarily reflects the Phase 1 and 2 project delays and the need for swift action and active oversight to overcome current project obstacles. DLIR and DataHouse agreed on a tentative plan and timeline of tasks to reach a decision regarding the Content Management solution by July 2021. It is critical for DLIR and DataHouse to work together to achieve the agreed upon plan and prevent further delays.

### PROGRAM GOVERNANCE

- **MAR APR MAY**
  - Governance Effectiveness
  - Benefits Realization

### TECHNOLOGY

- **MAR APR MAY**
  - System Software, Hardware, and Integrations
  - Design
  - Data Conversion
  - Quality Management and Testing
  - Configuration Management
  - Security

### PROJECT MANAGEMENT

- **MAR APR MAY**
  - Project Organization and Management
  - Scope and Requirements Management
  - Cost, Schedule, and Resource Management
  - Risk Management
  - Communications Management
  - Organizational Change Management (OCM)
  - Business Process Reengineering (BPR)
  - Training and Knowledge Transfer
## PROGRAM GOVERNANCE

### IV&V ASSESSMENT CATEGORY

<table>
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<tr>
<th>MAR</th>
<th>APR</th>
<th>MAY</th>
<th><strong>IV&amp;V OBSERVATION</strong></th>
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<tbody>
<tr>
<td></td>
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<td></td>
<td>The eCMS Project Executive Steering Committee (ESC) continues to meet monthly. Additional guidance and more active involvement from the ESC and project sponsors are needed to help remove barriers and drive progress to execute mitigation plans for critical issues (2021.05.PG01).</td>
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<tr>
<th></th>
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<th>Benefits Realization</th>
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<tr>
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<td>No significant updates since the prior report. Project success metrics still need to be reevaluated to take into consideration the current project status and to focus on what can be realistically achieved in the remaining project timeline. DLIR also still needs to begin collecting and monitoring success metrics data (2019.07.PG05).</td>
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Finding #: 2021.05.PG01  | STATUS: OPEN  | TYPE: RISK  | SEVERITY: 2

**TITLE: NEED FOR GOVERNANCE TO TAKE A MORE ACTIVE ROLE**

**Finding:** Insufficient support and guidance from project governance may limit the project’s ability to overcome current project challenges.

**Industry Standards and Best Practices:** Project Management Institute (PMI) research shows that steering committees and actively engaged executive sponsors contribute to project success. PMI Governance Practice Guide states that the role of the project governing body and sponsors is to monitor project progress, remediate escalated risks and issues, remove barriers to project success, and provide leadership in enforcing and carrying out decisions.

**Analysis:** Since December 2020, DLIR and DataHouse have been working to address and analyze various Content Management issues (refer to finding 2021.03.IT01). In March 2021, DataHouse presented three options to the ESC for the Content Management solution. Previous plans and timelines to make a decision regarding the Content Management solution were postponed to allow more time for additional analysis. DLIR and DataHouse recently agreed on a new plan and timeline of tasks to reach a decision regarding the Content Management solution by July 2021. As the Content Management implementation delays are stalling the Phase 1 Case Management and Phase 2 activities and significantly impacting project success, it is critical for project governance to ensure that the project sets and sticks to plans to address this and other high-impact issues (refer to Appendix D: Prior Findings Log). Additional guidance and more active involvement from the ESC and project sponsors are needed to help remove barriers and drive progress.

**Recommendations:** 2021.05.PG01.R1 – Increase project governance involvement.
- Discuss high-impact barriers/blockers and mitigation plans for critical issues with ESC.
- Evaluate how various ESC members can be leveraged to remove barriers and execute mitigation plans.
- Consider adding additional ESC meetings until critical issues are resolved.
- Consider establishing more frequent touchpoints with DLIR and DataHouse project sponsors to more closely monitor and drive progress of executing mitigation plans for critical issues.
### Findings and Recommendations

#### MAR APR MAY IV&V ASSESSMENT CATEGORY

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<tr>
<th>FINDINGS</th>
<th>IV&amp;V OBSERVATION</th>
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<td><strong>NEW</strong></td>
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#### Project Organization and Management

- The direction and management of project work continue to be complicated by the prolonged Content Management solution implementation. DLIR and DataHouse agreed on a tentative plan and timeline of tasks to reach a decision on the Content Management solution by July 2021, however, it is still unclear how the stalled project activities will be managed while the Content Management decision is pending. Project organization and management also continue to be a challenge with the COVID-19 pandemic still limiting the availability of DLIR project resources (2020.03.PM01) resulting in an overtasked DLIR Project Manager. DLIR and DataHouse also need to work more collaboratively (2019.07.PM02) to tackle and overcome current project obstacles. Improvements are still needed for deliverable review (2019.07.PM03), change management (2019.09.PM01), and prior IV&V findings (2020.07.PM01).

#### Scope and Requirements Management

- Requirements continue to be clarified, however, Phase 1 requirements traceability (2019.10.PM01) and documentation (2019.07.PM10) need improvement. DLIR still needs to review requirements and identify gaps in the current solution as a part of the pending solution analysis (2021.03.IT01). DLIR’s review of DataHouse’s Phase 2 requirements document is also still pending.
Findings and Recommendations

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<thead>
<tr>
<th>MAR</th>
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<th>IV&amp;V ASSESSMENT CATEGORY</th>
<th>IV&amp;V OBSERVATION</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Cost, Schedule, and Resource Management</td>
<td>Improvements are needed for schedule (2019.07.PM13), resource (2019.09.PM02), and cost (2019.07.PM12) management processes.</td>
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<td>Limited DLIR project resources continue to be a challenge (2019.07.PM14). DLIR procured an additional business analyst resource expected to begin in June 2021.</td>
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<td>The prolonged Content Management solution implementation (2021.03.IT01) is delaying Case Management data conversion and UAT activities that are critical for achieving the current Phase 1 go-live schedule. DLIR and DataHouse agreed on a tentative plan and timeline of tasks for the Content Management decision, but it is still unclear what the impact of these Content Management delays are on the Phase 1 Case Management and Phase 2 go-live dates. It is also unclear how the tasks related to those phases will be managed, rescheduled, and executed while the Content Management decision is pending. A revised project schedule is still pending. DLIR is working on budgets of project and system costs. DLIR still needs to develop a comprehensive project budget to track and monitor all project costs. Additionally, DataHouse’s payment schedules still need to be revised for changes in deliverable timelines to prevent further prepayment.</td>
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<td>Risk Management</td>
<td>Improvements are needed for risk management processes (2019.07.PM09). DLIR and DataHouse met to discuss the Content Management issue and developed a tentative mitigation plan. DLIR and DataHouse also reinstated recurring meetings to regularly discuss risks and issues. Timely execution of mitigation plans is still needed especially for high-impact issues.</td>
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<tr>
<td>Category</td>
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<td>Communications Management</td>
<td>DLIR began holding internal stakeholder briefings to communicate project status and upcoming activities. Additional sessions with other groups of internal stakeholders are planned for June 2021. Effective and timely communications with all impacted stakeholders (2019.07.PM07) and in all areas of the project team (2019.07.PM06) are still needed.</td>
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<td>Organizational Change Management</td>
<td>Some OCM continues to occur as an indirect result of other project communications and participation in ongoing project meetings. DLIR began to hold stakeholder meetings and administer a survey to collect feedback to help in further developing a more structured OCM approach (2019.07.PM08).</td>
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<tr>
<td>Business Process Reengineering</td>
<td>No significant updates since the prior report. Further clarification of business processes impacted by the new system is still needed (2020.12.PM01).</td>
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<tr>
<td>Training and Knowledge Transfer</td>
<td>The DLIR-led Phase 1 Content Management training sessions are still on hold due to the pending solution analysis (2021.03.IT01). The DataHouse Phase 1 Case Management training material deliverables and training sessions are also on hold due to Content Management delays. Case Management training is necessary to begin UAT, but it is unclear when these will be rescheduled to.</td>
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## Findings and Recommendations

### MAR APR MAY IV&V ASSESSMENT CATEGORY

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<tbody>
<tr>
<td>![house]</td>
<td>![house]</td>
<td>![house]</td>
<td>System Software, Hardware, and Integrations</td>
<td>DataHouse is still working to address ongoing Content Management technical issues. DataHouse held a demo of the integrated Content Management and Case Management solution to DLIR but the demo to the ESC was postponed until June 2021. DLIR needs to work with DataHouse to complete the analysis (2021.03.IT01) and reach a decision. The go/no-go criteria (2020.09.IT01), interface solution (2019.07.IT02), and the M&amp;O roles and responsibilities (2019.09.IT02) remain unclear. IV&amp;V does not have adequate visibility of development and integration activities to fully assess methodologies and processes.</td>
<td>NEW 4 OPEN 0 CLOSED 0</td>
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<td>![house]</td>
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<td>Design</td>
<td>DLIR and DataHouse continue to evaluate potential Phase 1 Content Management solution options (2021.03.IT01). For Phase 2, DataHouse is still moving forward with design stage activities even though DLIR’s review of the related requirements deliverable is still pending and design sessions are still on hold.</td>
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<td>![house]</td>
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<td>Data Conversion</td>
<td>Phase 1 Content Management data conversion activities are still on hold for the pending decision regarding the solution. Phase 1 Case Management data conversion validation testing scheduled to begin in March 2021 is also still on hold. DLIR completed a review of the Phase 1 Case Management data conversion deliverable and submitted questions and feedback to DataHouse. DLIR and DataHouse held meetings to discuss and clarify data conversion issues and plans, but additional clarification is needed (2019.11.IT01). IV&amp;V does not have adequate visibility of data conversion activities to fully assess processes.</td>
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### MAR APR MAY IV&V ASSESSMENT CATEGORY

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<th>IV&amp;V OBSERVATION</th>
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<tr>
<td>Phase 1 Content Management UAT is on hold until DataHouse completes some remaining fixes for ongoing technical issues. Phase 1 Case Management UAT is also on hold due to ongoing Content Management issues. It is unclear when DLIR plans to begin Case Management UAT. Additional clarification of test scope, approach, and roles and responsibilities between DLIR and DataHouse is still needed (2020.02.IT01 and 2019.10.IT01). DLIR and DataHouse still need to finalize their quality management plans and quality metrics (2019.07.IT05). Quality metrics are critical for evaluating and monitoring current project activities such as training, testing, and go-live readiness. IV&amp;V does not have adequate visibility of DataHouse or DLIR testing or quality activities or documentation to fully assess methodologies and progress.</td>
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<tr>
<th>Configuration Management</th>
<th>No significant updates since the prior report. A comprehensive configuration management plan including the DLIR approval process is still pending (2019.07.IT06).</th>
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<td>DLIR began to draft a security policy template. DLIR’s formal security management plan (2019.07.IT07) and security policies (2019.10.IT02) are still pending.</td>
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Introduction

IV&V CRITICALITY AND SEVERITY RATINGS

Criticality and severity ratings provide insight on where significant deficiencies are observed and immediate remediation or risk mitigation is required. Criticality ratings are assigned to the overall project as well as each IV&V Assessment Area and IV&V Assessment Category. Severity ratings are assigned to each risk or issue identified.

Criticality Rating

The criticality ratings are assessed based on consideration of the severity ratings of each related risk and issue within the respective IV&V Assessment Area and IV&V Assessment Category, the overall impact of the related findings to the success of the project, and the urgency of and length of time to implement remediation or risk mitigation strategies. Arrows indicate trends in the project assessment from the prior report and take into consideration areas of increasing risk and approaching timeline. Up arrows indicate adequate improvements or progress made. Down arrows indicate a decline, inadequate progress, or incomplete resolution of previously identified findings. No arrow indicates there was neither improving nor declining progress from the prior report.

A RED, high criticality rating is assigned when significant severe deficiencies were observed and immediate remediation or risk mitigation is required.

A YELLOW, medium criticality rating is assigned when deficiencies were observed that merit attention. Remediation or risk mitigation should be performed in a timely manner.

A GREEN, low criticality rating is assigned when the activity is on track and minimal deficiencies were observed. Some oversight may be needed to ensure the risk stays low and the activity remains on track.

A GRAY rating is assigned when the category being assessed has incomplete information available for a conclusive observation and recommendation or is not applicable at the time of the IV&V review.

Appendix A: IV&V Criticality and Severity Ratings

IV&V CRITICALITY AND SEVERITY RATINGS

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A GRAY rating is assigned when the category being assessed has incomplete information available for a conclusive observation and recommendation or is not applicable at the time of the IV&V review.
Severity Rating

Once risks are identified and characterized, Accuity will examine project conditions to determine the probability of the risk being identified and the impact to the project, if the risk is realized. We know that a risk is in the future, so we must provide the probability and impact to determine if the risk has a Risk Severity, such as Severity 1 (High), Severity 2 (Moderate), or Severity 3 (Low).

While a risk is an event that has not happened yet, an issue is something that is already occurring or has already happened. Accuity will examine project conditions and business impact to determine if the issue has an Issue Severity, such as Severity 1 (High/Critical Impact/System Down), Severity 2 (Moderate/Significant Impact), or Severity 3 (Low/Normal/Minor Impact/Informational).

Findings that are positive or preliminary concerns are not assigned a severity rating.

<table>
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<th>TERMS</th>
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<tr>
<td>POSITIVE</td>
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<td>PRELIMINARY CONCERN</td>
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SEVERITY 1: High/Critical level

SEVERITY 2: Moderate level

SEVERITY 3: Low level
## Appendix B: Industry Standards and Best Practices

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<td>ADA</td>
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<tr>
<td>ADKAR®</td>
<td>Prosci ADKAR: Awareness, Desire, Knowledge, Ability, and Reinforcement</td>
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<td>BABOK® v3</td>
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<td>DAMA-DMBOK® v2</td>
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<td>HIPAA</td>
<td>Health Insurance Portability and Accountability Act of 1996</td>
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<td>MITA v3.0</td>
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<td>Project Management Institute (PMI) Project Management Body of Knowledge</td>
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<td>Institute of Electrical and Electronics Engineers (IEEE) Standard for Configuration Management in Systems and Software Engineering</td>
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<td>CMMI-DEV v1.3</td>
<td>Capability Maturity Model Integration for Development</td>
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<td>FIPS 200</td>
<td>FIPS Publication 200, Minimum Security Requirements for Federal Information and Information Systems</td>
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<td>NIST 800-53 Rev 5</td>
<td>National Institute of Standards and Technology (NIST) Security and Privacy Controls for Federal Information Systems and Organizations</td>
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<td>NIST Cybersecurity Framework v1.1</td>
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<td>LSS</td>
<td>Lean Six Sigma</td>
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## Appendix C: Interviews, Meetings, and Documents

### Interviews

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### Meetings

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<td>04/28/21</td>
<td>Content Management Quality Log Session</td>
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<td>Case Management Data Conversion Deliverable Meeting</td>
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<tr>
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<td>05/13/21</td>
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<td>05/17/21</td>
<td>DCD Internal Stakeholder Briefing (Insurance Section)</td>
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<td>05/24/21</td>
<td>DLIR and ETS Portal Discussion</td>
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<td>State of Hawaii DLIR DCD RFP No. RFP-17-002-DCD (Release Date 04/12/18)</td>
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<tr>
<td>DataHouse Proposal</td>
<td>DataHouse eCMS Best and Final Offer (BAFO) Proposal (Dated 06/20/18)</td>
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<td>Request for Proposal</td>
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<td>DataHouse Project Status Report (Status Date 05/25/21 for reporting period 03/01 – 03/15/21, pending DLIR approval)</td>
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<td>Project Management</td>
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<td>Schedule</td>
<td>eCMS Microsoft Project Plan as of 05/15/21 (MPP file)</td>
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<td>Risk and Issues</td>
<td>RAID (Risk Action Issue Decision) Log (Updated 05/14/21 by DataHouse Project Manager)</td>
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<td>DataHouse Development Team Status Meeting Minutes for 04/28/21</td>
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<tr>
<td>Development</td>
<td>DataHouse Development Team Status Meeting Minutes for 05/19/21</td>
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<td>Development</td>
<td>DataHouse Email re: RFP Image Enhancement Capability (05/18/21)</td>
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<td>Data Conversion</td>
<td>Case Management Conversion and Migration Version 1.4 (Updated 05/05/21, pending DLIR approval)</td>
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<td>Data Conversion</td>
<td>DataHouse Email re: Employer and Entity Contact Migration Recommendation (07/17/20)</td>
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<td>DLIR-2021 Access Control Policy Draft (05/21)</td>
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<td>Salesforce Licenses Spreadsheet (05/24/21)</td>
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<td>Governance</td>
<td>eCMS ESC Meeting DataHouse Project Dashboard (05/14/21)</td>
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Appendix D: Prior Findings Log
### Appendix D: Prior Findings Log

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<tr>
<th>CATEGORY</th>
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<td>2021.03.IT01.R1</td>
<td>Identify all major gaps in current solution.</td>
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<td>2021.03.IT01.R2</td>
<td>Complete the analysis of solution options.</td>
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<td></td>
<td>Business Process Reengineering</td>
<td>2020.12.PM01</td>
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<td></td>
<td>System Software, Hardware, and Integrations</td>
<td>2021.03.IT01</td>
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#### Findings Log Details

**2021.03.IT01.R1**: The Business Process Reengineering task force is identifying gaps in current business processes. The task force is working to identify and document key business processes that need improvement. The task force is also working with DataHouse to ensure that all identified business processes are accurately documented in their gap analysis. The task force is also working to identify key business processes that need improvement. The task force is also working with DataHouse to ensure that all identified business processes are accurately documented in their gap analysis.

**2021.03.IT01.R2**: The Business Process Reengineering task force is working to identify and document key business processes that need improvement. The task force is also working with DataHouse to ensure that all identified business processes are accurately documented in their gap analysis. The task force is also working to identify key business processes that need improvement. The task force is also working with DataHouse to ensure that all identified business processes are accurately documented in their gap analysis.

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DLIR began UAT of the Phase 1 Content Management solution in 2020.12.IT01 Issue High

High Outstanding project risks are impairing DLIR’s ability to complete testing in the first week of January 2021. DLIR was not able to sufficiently prepare test cases ... on the overall project schedule and potential impact to Phase 1 Content Management project milestones.

2020.12.IT01.R2 Improve DLIR understanding of

improving the overall testing process. From feedback and review of test activities, additional DLIR resources are needed to support test case preparation, tester training, and ongoing oversight.

In addition to the specific recommendations made as a part of this finding, the IV&V recommendations made at the findings referenced above will also help to address this issue.

Assessments will continue to evaluate UAT and issue/defect resolution processes.

• DLIR and DataHouse should work together to evaluate and prioritize the UAT execution issues with the greatest impact on the Content Management go-live date.

• Develop a clear plan and realistic timeline to address UAT execution issues considering availability of DLIR project resources.

- 2020.12.IT01.R1 Develop a prioritized plan to address UAT execution issues.

DataHouse should provide additional clarity and demonstration of issue/defect resolution.

• DLIR should perform some follow-up Phase 1 Content Management retesting of DataHouse fixes for ongoing technical issues. The process for prioritizing and addressing issues/defects is still unclear.

The criteria for the go/no-go decision are not completely and clearly defined and agreed upon. The decision to go-live involves many areas and tasks of the project including testing, quality management, and overall project success goals are satisfied and verified prior to acceptance and moving the system into production.

Refer also to related finding 2021.03.IT01.

Accuity will continue to evaluate UAT and issue/defect resolution processes.

2020.09.IT01 Issue Moderate

Unclear go/no-go criteria may impact the orderly completion of all tasks required for system go-live.

The Content Management system is scheduled to go-live on November 25, 2020 and Case Management on June 14, 2021. With the Content Management go-live date quickly approaching, it is important to establish clear criteria for the go/no-go decision – DLIR should develop a go/no-go criteria in advance of the go-live decision and ensure there are clear and agreed upon go/no-go criteria and tasks to be reviewed or completed by.

Consider go/no-go criteria such as all requirements are met and tested, all issues are closed, and all go/no-go criteria are met.

Accuity will evaluate the go/no-go decision criteria on a monthly basis for Phase 1 Content Management project milestones.

- 2020.09.IT01.R1 Establish complete and clear go/no-go criteria.

DataHouse and DLIR should work together to ensure all tasks required for system go-live are complete and agreed upon. Go/no-go criteria should be well defined and agreed upon. Accuity will review the go/no-go criteria on a monthly basis for Phase 1 Content Management project milestones.

- 2020.09.IT01.R2 DataHouse and DLIR should work together to ensure all tasks required for system go-live are complete and agreed upon. Accuity will review the go/no-go criteria on a monthly basis for Phase 1 Content Management project milestones.

Confidential information will be shared with the go-live teams.

Closures: – Accuity will not release any tracking of the phase 1 UAT testing and retesting that was not captured by the findings. – Accuity is not aware of any additional issues that have been identified during testing and has not been included in this document.

2020.09.IT01 Issue Moderate

Unclear go/no-go criteria may impact the orderly completion of all tasks required for system go-live.

The Content Management system is scheduled to go-live on November 25, 2020 and Case Management on June 14, 2021. With the Content Management go-live date quickly approaching, it is important to establish clear criteria for the go/no-go decision – DLIR should develop a go/no-go criteria in advance of the go-live decision and ensure there are clear and agreed upon go/no-go criteria and tasks to be reviewed or completed by.

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<thead>
<tr>
<th>FINDING</th>
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<tr>
<td>2020.07.PM01.R1 Perform a project assessment.</td>
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</tr>
<tr>
<td>2020.07.PM01.R2 Formulate a plan for addressing identified deficiencies.</td>
<td>Open</td>
</tr>
<tr>
<td>2020.07.PM01.R3 Develop high-level timeline and tasks for addressing deficiencies and begin tracking progress.</td>
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### Assessment

**Assessment Category:** Organization and Management

**ORIGINAL SEVERITY:** Moderate

**CURRENT SEVERITY:** High

**Description:** Deficiencies may be found in foundational project processes resulting in project and system success, and may result in project and system success, and may result in project and system issues.

**Findings:**

- **Assessment:**
  - Evaluate the effectiveness of current project processes.
  - Identify areas for improvement in project management, resource management, requirements management, change control, and risk management.

**Analysis:**

- **Critical Areas:**
  - Project management
  - Resource management
  - Requirements management

**Recommendation:**

- **Recommendation:**
  - Improve project management practices.
  - Enhance resource management practices.
  - Strengthen requirements management practices.

**Supplemental Recommendation:**

- **Supplemental Recommendation:**
  - Conduct a comprehensive assessment of project processes.
  - Document lessons learned and necessary actions or follow-up to prevent reoccurrence of similar issues.

**Status:**

- **Status:** Open
- **Update:**
  - 08/21/20: DataHouse is currently conducting requirements gathering sessions and made improvements to the requirements management processes including timely sharing of requirements documentation and introducing org charts.
  - 09/28/20: DLIR and DataHouse held an initial meeting to discuss prior IV&V findings and risks. Recurring meetings were scheduled to continue discussions and to develop a plan to address all findings. DLIR also discovered prior IV&V findings at their weekly risk meetings, prioritized the top three project risks, and began developing remediation or mitigation plans.
  - 10/23/20: DLIR and DataHouse met again to discuss prior IV&V findings and open projects in address or close findings. The next meeting is scheduled for the last week of October 2020. Additional follow-up meetings were not yet scheduled.
  - 11/24/20: DLIR and DataHouse did not schedule any follow-up meetings specifically to discuss prior IV&V findings; however, some progress was made through the course of other project meetings.
  - 12/23/20 and 01/26/21: No updates to report.

- **Recommends:**
  - Improve processes to document and analyze the change and identify and mitigate risks associated to the AWS build.
  - Prioritize based on relevance to upcoming activities; consider focusing on requirements management and BPR processes to optimize effectiveness and efficiencies of upcoming requirements gathering sessions.

**Closures:**

- **Closures:**
  - 08/21/20: DataHouse is currently conducting requirements gathering sessions and made improvements to the requirements management processes including timely sharing of requirements documentation and introducing org charts.
  - 09/28/20: DLIR and DataHouse held an initial meeting to discuss prior IV&V findings and risks. Recurring meetings were scheduled to continue discussions and to develop a plan to address all findings. DLIR also discovered prior IV&V findings at their weekly risk meetings, prioritized the top three project risks, and began developing remediation or mitigation plans.
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  - 11/24/20: DLIR and DataHouse did not schedule any follow-up meetings specifically to discuss prior IV&V findings; however, some progress was made through the course of other project meetings.
  - 12/23/20 and 01/26/21: No updates to report.

- **Recommend:**
  - Increase the severity rating from Level 2 (Moderate) to Level 1 (High) as identified deficiencies continue to impact project performance.

- **Follow-up:**
  - Regularly review and address open findings.

- **Next Step:**
  - Discuss prior IV&V findings and address open findings.

### Future Steps

- **Future Steps:**
  - Continue to evaluate progress in address open findings.
ASSESSMENT CATEGORY | FINDING ID | TYPE
---|---|---
Organization and Management | 2020.03.PM01.R1 | Project

**FINDING**
The COVID-19 pandemic is impacting project execution although the extent of the impact to project costs and schedule is currently indeterminable.

**CURRENT SEVERITY**
High

**FINDING ANALYSIS**
The following is a summary of related events and data:

- **COVID-19 Project Meetings were canceled beginning March 17, 2020 following directives for non-essential state workers to stay home.**
- **Gathering data on the COVID-19 pandemic is impossible due to competing priorities.**
- **Findings are based on a project-focused perspective, with an understanding that higher DLIR department level priorities may limit the project’s ability to implement mitigation plans.**

**RECOMMENDATION**
Identify a path forward for responding to COVID-19 impacts to the project.

**PROJECT STATUS**
Open

**PROJECT STATUS UPDATE**
- **07/29/20:** COVID-19 continues to impact the availability of DLIR project resources. A few of the DLIR project resources, including the DLIR Project Manager, returned to the project for a limited time and additional DLIR project resources are expected to have some availability in the upcoming months as DLIR employees are slowly returning back from the COVID-19 leave. DLIR remains in a state of flux, uncertainly could potentially evolve rapidly, while the plan to move forward with Phase 2 work grows. Additional next steps include:
  - Keep the project moving forward, some level of DLIR project resources will always be needed.
  - Raising improvements for reduced staff on DLIR's 2020 IV&V project to a higher tier of importance.
  - Incorporating findings from 2020.07.PM01, 2019.07.PM09, and risk management (2019.07.PM10) into the project's plan to balance and adjust to changing going forward.
  - 08/21/20: DataHouse kicked-off Phase 2 requirements gathering sessions. Phase 1 activities scheduled to resume and concurrently with ongoing Phase 1 activities, additional changes have been made regarding the path forward (specifically the amount of COVID-19 impact to the project teams is a principal driver). Further, the understanding of intended project activities as well as contingency plans for the project resources and potential work-from-home arrangements are essential to recovering further delays.
  - 09/28/20, 10/23/20, 11/24/20, 12/23/20, and 01/26/21: No updates to report.
  - 02/23/21, 03/24/21, 04/27/21, and 05/27/21: DLIR and DataHouse should consider the continuing impacts the COVID-19 pandemic will have on the availability of DLIR project resources as a part of their upcoming Content Management analysis and direction and while reprioritizing project goals and priorities.

**RECOMMENDATION ID**
- **2020.07.PM01**
- **2019.07.PM09**
- **2019.07.PM10**
- **2019.07.PM14**
- **2020.07.PM01**
- **2019.07.PM09**
- **2019.07.PM01**

**RECOMMENDATION**
- Formulate a plan for how to respond to COVID-19 impacts to the project.
  - DataHouse and DLIR, with input from the ESC, must come together to decide on how to best proceed.
  - Carefully assess the situation and individually log all of the specific impacts to the project that are track, adjusting plans and redirecting resources.
  - Utilize alternative scenarios of action and contingency plans for each specific impact identified.

**PROJECT EXECUTION**
- 08/21/20: DataHouse kicked-off Phase 2 requirements gathering sessions.
- 08/07/20: Activities scheduled to resume and concurrently with ongoing Phase 1 activities, additional changes have been made regarding the path forward (specifically the amount of COVID-19 impact to the project teams is a principal driver). Further, the understanding of intended project activities as well as contingency plans for the project resources and potential work-from-home arrangements are essential to recovering further delays.
- 01/23/20: Phase 1 activities scheduled to resume and concurrently with ongoing Phase 1 activities, additional changes have been made regarding the path forward (specifically the amount of COVID-19 impact to the project teams is a principal driver). Further, the understanding of intended project activities as well as contingency plans for the project resources and potential work-from-home arrangements are essential to recovering further delays.

**PROJECT MANAGEMENT**
- 10/23/20, 11/24/20, 12/23/20, and 01/26/21: No updates to report.

**PROJECT RESOURCES**
- 02/23/21, 03/24/21, 04/27/21, and 05/27/21: DLIR and DataHouse should consider the continuing impacts the COVID-19 pandemic will have on the availability of DLIR project resources as a part of their upcoming Content Management analysis and direction and while reprioritizing project goals and priorities.

**PROJECT GOALS AND PRIORITIES**
- DLIR will continue to evaluate COVID-19 response and plans.
Consider a process for monitoring and reporting test status and results.

2020.02.IT01.R2 Develop adequate test management processes and procedures.

Evaluate the impact on operations and project success of different data conversion scanning approach options.

Estimate data conversion test resource needs and ensure adequate resources are identified, trained, and scheduled (refer to findings 2019.09.PM02 and 2019.07.PM14).

No updates to report.

12/23/20: DLIR encountered performance and other technical issues while performing Phase 1 Content Management UAT which prevented DLIR from bringing on additional testers (2020.12.IT01). These technical issues may impact the project's contract terms and conditions and could impact the project's success.

11/24/20: Accuity decreased the severity rating from Level 1 (High) to Level 2 (Moderate). DataHouse met with DLIR to clarify test plans and testing roles and responsibilities. DataHouse also made changes to the contents of the test plan and test documentation. Additional clarification and improvements of test processes is still needed as well as DLIR approval of the test plan. 12/23/20: DLIR encountered performance and other technical issues while performing Phase 1 Content Management UAT which prevented DLIR from bringing on additional testers (2020.12.IT01). These technical issues may impact the project's contract terms and conditions and could impact the project's success.

2019.11.IT01 Risk Moderate Unclear data conversion plans and processes may reduce DLIR’s ability to approve for proper data conversion.

The Content Management Conversion and Migration (version 1.2 pending DLIR approval) and Case Management Conversion and Migration (version 1.1 pending DLIR approval) describe the data conversion process and roles and responsibilities between DataHouse and DLIR. DLIR is responsible for performing UAT on the data and ultimately signing off on the final reconciliation reports but has not yet finalized plans for these activities. DLIR has not defined clearly what the test plan will include and does not plan to perform sufficient tests to ensure necessary data quality to support system use at go-live.

10/23/20: DataHouse distributed testing results to DLIR to allow them time to assess the testing results and feedback during data validation UAT and the Case Management taxonomy for the Epic 3 build. DLIR is still exploring options for paper file conversion.

Accuity is still exploring options for paper file conversion.

Accuity will continue to evaluate test plans and test processes.

Test scope, approach, and roles and responsibilities between DLIR and DataHouse is still needed.

12/23/20: DLIR encountered performance and other technical issues while performing Phase 1 Content Management UAT which prevented DLIR from bringing on additional testers (2020.12.IT01). These technical issues may impact the project’s contract terms and conditions and could impact the project’s success.

2019.11.IT01.R2 Formalize DLIR data conversion test plans.

The Content Management data conversion plan v1.2 was updated as part of the recent Content Management change requests. DLIR has not yet finalized plans for scanning current paper files to ensure necessary data quality to support system use at go-live. 2019.11.IT01.R3 Formalize DLIR Case Management data conversion plans.

DataHouse updated the Content Management Case Management data conversion plan v1.2 (pending DLIR approval) regarding DataHouse including DLIR in project activities and adjusting roles and resources in the project schedule for the next release of the system. DLIR and DataHouse are in the process of finalizing the next release of the system and data conversion deliverable and submitted questions and feedback to DataHouse. Accuity will evaluate data conversion plans as progress is made.

12/23/20: DataHouse updated the Content Management data conversion plan v1.2 regarding DataHouse including DLIR in project activities and adjusting roles and resources in the project schedule for the next release of the system. DLIR and DataHouse are in the process of finalizing the next release of the system and data conversion deliverable and submitted questions and feedback to DataHouse. Accuity will evaluate data conversion plans as progress is made.

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2019.11.IT01.R1 Improve DLIR understanding of the data conversion process.

DataHouse has an abandoned data conversion plan in progress that is not included in the DLIR test plan and test documentation. Additional clarification and improvements of test processes is still needed as well as DLIR approval of the test plan. 12/23/20: DLIR encountered performance and other technical issues while performing Phase 1 Content Management UAT which prevented DLIR from bringing on additional testers (2020.12.IT01). These technical issues may impact the project’s contract terms and conditions and could impact the project’s success.

11/24/20: Accuity decreased the severity rating from Level 1 (High) to Level 2 (Moderate). DataHouse met with DLIR to clarify test plans and testing roles and responsibilities. DataHouse also made changes to the contents of the test plan and test documentation. Additional clarification and improvements of test processes is still needed as well as DLIR approval of the test plan. 12/23/20: DLIR encountered performance and other technical issues while performing Phase 1 Content Management UAT which prevented DLIR from bringing on additional testers (2020.12.IT01). These technical issues may impact the project’s contract terms and conditions and could impact the project’s success.

2020.07.IT01.R2 Develop adequate test management processes and procedures.

Consider a process for authorisation of test data.
**Assessment Category:** Finding ID Type

**Original Severity:** High

**Current Severity:** High

**Finding Analysis:**
The current RTM documentation and tool may hinder traceability, which may impact the ability to ensure the overall eCMS solution fulfills all requirements. The RTM documentation may be overwhelming for non-reporting parties and is not easy to navigate, which may hinder traceability. The current RTM documentation is developed separately from the DataHouse contract requirements and some critical requirements were developed by the Content Management team in an ad hoc manner. There are no requirements traceability tools used by the Content Management development teams or user stories used by the Content Management development teams. Traceability requirements are not addressed in the Phase 2 or 3 requirements documents and may be an issue for future requirements to the project objectives and success metrics. The tool is not designed for traceability management and traceability is not part of any requirements management tool with greater functionality.

**Recommendation:**
- Improve requirements traceability.
  - Trace contract requirements to requirements subsets used by the development teams to ensure completeness.
  - Consider identifying high-level requirements that duplicate more detailed requirements and remove redundancy in traceability, as development teams may not be aware of or account for traceability.
  - Ensure requirements traceability to the RTM to ensure stakeholder satisfaction.
  - Consider use of a requirements management tool with greater functionality.

**Recommendation Status:**
- Open
  - Refer to the June 2020 IV&V Monthly Report for status updates prior to July 2020.

**Status Updates:**
- 07/29/20: IV&V did not observe or have access to information to verify any progress made in the current month.
- 08/21/20 and 09/28/20: DataHouse is reviewing contract requirements during the Phase 2 requirements gathering sessions. IV&V does not have access to an updated RTM.
- 10/23/20: DataHouse updated the RTM with the Phase 2 requirements and user stories. The significant improvements to traceability tools in Phase 2.
- 11/23/21: DataHouse provided some additional clarification regarding the completeness of Phase 1 requirements to other documents and milestone updates.
- 01/26/21, 02/23/21, 03/24/21, 04/27/21, and 05/27/21: No updates to report.

**Issue:**
- According to the Project Management Plan (version 1.3), the DataHouse test plan was scheduled for completion on September 3, 2019. Due to the need to focus resources on the AWS setup and network connectivity issues, the DataHouse test plan was delayed to October 2019.

**Relevance:**
- As DataHouse test activities are scheduled to begin in November 2019, DLIR needs to understand DataHouse’s test strategy and test needs. DLIR must evaluate that their test strategy is sound as well as identify, train, and standardize their test resources.

**Quality Management and Testing:**

**Finding ID Type:** High

**Finding Analysis:**
Lack of approved test plans may impact the execution and quality of test activities and documentation.

**Recommendation:**
- Finalize the test plan.
  - Identify applicable test standards and requirements.
  - Identify responsibilities between DataHouse and DLIR (refer to finding 2019.06.TM02).
  - Delineate roles and responsibilities between DataHouse and DLIR.
  - Estimate test resource needs and ensure adequate resources are identified, trained, and scheduled (refer to findings 2019.09.PM02 and 2019.10.PM14).

**Finding Status:**
- Open
  - Refer to the DataHouse Test Plan (Final) dated 2020.12.TM1.

**Status Updates:**
- 07/29/20 and 08/21/20: DLIR’s lite UAT review of Epic 2 and 3 builds is still ongoing. IV&V does not have adequate visibility of the DLIR SME review to report the progress or assess the quality of the testing as DLIR indicated that they will continue their review. IV&V does not have adequate visibility of any testing activities on documentation to fully evaluate completeness, correctness, and other requirements. DLIR plans to finalize their testing approach by January 2020 and to perform testing in phases with the end of November 2020, it is critical that DLIR finalize their testing approach and processes to ensure the success and quality of project goals are satisfied and verified prior to system acceptance and production.
- 10/23/20: DLIR made revisions to their draft test plan but the plan is still undergoing finalization. DLIR also drafted a preliminary testing and cutover checklist. With Phase 1 Content Management UAT scheduled to begin by the end of October 2020 and with a gap scheduled for the end of November 2020, it is critical that DLIR finalize their testing approach and processes.
- 11/24/20: DLIR made additional revisions to their test plan but is behind on drafting Phase 1 Content Management and Case Management test plans.
- 12/23/20: DLIR made additional revisions in their draft test plan but is behind on drafting Phase 1 Content Management and Case Management test plans.
- 01/26/21, 02/23/21, 03/24/21, 04/27/21, and 05/27/21: DLIR plans to procure additional testing resources to assist with planning, executing, and assessing testing.

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<table>
<thead>
<tr>
<th>FINDING ID</th>
<th>FINDING ANALYSIS</th>
<th>RECOMMENDATION</th>
<th>SUPPLEMENTAL RECOMMENDATION</th>
<th>RECOMMENDATION STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>2019.10.IT02.R1</td>
<td>Formalize security policies.  •Work with ETS to align DLIR policies with State policies and/or a standard security framework.  •Consider prioritizing security policies that are most relevant for use of cloud services and data protection (e.g., security logging and monitoring, MFA, secure access, encryption of data at rest and in transit).</td>
<td>Adopt and implement security policies.</td>
<td>Complete gaps in cloud services with cloud providers as part of policies. Consider prioritizing security policies that are most relevant for use of cloud services and data protection (e.g., security logging and monitoring, MFA, secure access, encryption of data at rest and in transit).</td>
<td>Open</td>
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<tr>
<td>2019.10.IT02.R2</td>
<td>Formalize and implement security procedures.  •Clarify roles and responsibilities for security controls between DLIR and ETS.  •Identify specific resources to perform security procedures.  •Consider prioritizing security procedures that are necessary for the operation of the AWS environments.</td>
<td>Establish roles and responsibilities for security controls between DLIR and ETS. Identify specific resources to perform security procedures. Consider prioritizing security procedures that are necessary for the operation of the AWS environments.</td>
<td>security policies and the resulting security requirements should be determined immediately to prevent further delay of the project.</td>
<td>Open</td>
</tr>
<tr>
<td>2019.09.PM01.R1</td>
<td>Document changes in Change Requests, with an impact assessment, and the Change Log in accordance with the Project Management Plan.</td>
<td>Document changes in Change Requests, with an impact assessment, and the Change Log in accordance with the Project Management Plan.</td>
<td>The documented change management process was not followed as prescribed.</td>
<td>Open</td>
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<tr>
<td>2019.09.PM01.R2</td>
<td>Refine the change management process for greater clarity and effectiveness.  •Consider setting thresholds or criteria for changes that go through different approval processes.  •Define the different approval processes (e.g., project manager, product owner, change management board).  •Establish a process for documenting change management process.</td>
<td>Maintain and update the change management plan to reflect the different approval processes. Define the different approval processes (e.g., project manager, product owner, change management board). Establish a process for documenting change management process.</td>
<td>The Project Management Plan (version 1.3) documents the change management process that includes Change Requests, impact assessments, and a Change Log. The change in AAS (refer to Finding 2019.07.IT02) to CMS (refer to Finding 2019.05.IT02, Appendix D) and the revision of the Content Management go-live date (refer to Finding 2019.05.01.PM01) is included in the Change Log. Additionally, the change management process is reviewed and updated to ensure that expected documents and update criteria for the change and changes are appropriately communicated to impacted stakeholders.</td>
<td>Open</td>
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<td>07/29/20: The review of the draft security policies is still on hold due to unavailability of DLIR project resources. 08/21/20 and 09/28/20: DLIR and ETS discussed security frameworks and possible options for formalizing security policies and procedures. 10/23/20: ETS plans to provide drafts of security policies and standards to DLIR in early November 2020. 11/05/20 and 12/23/20: ETS is still making revisions to draft standards. 01/26/21, 02/23/21, 03/24/21, and 04/27/21: No updates to report.</td>
<td>No updates to report.</td>
<td>No updates to report.</td>
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<td>11/24/20: DataHouse and DLIR finalized the AWS change request. Major revisions to the Content Management go-live date continue to be approved by DLIR but not in formal change requests with documented impact analyses. 12/23/20 and 01/26/21: No updates to report.</td>
<td>No updates to report.</td>
<td>No updates to report.</td>
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<td>03/24/21: DataHouse provided an overview and cost estimates associated with changes related to the Content Management solution but the related change request drafts are still pending. 04/27/21 and 05/27/21: No updates to report.</td>
<td>No updates to report.</td>
<td>No updates to report.</td>
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Risk Prelim High Undefined Resource Management processes and procedures may result in unidentified resource requirements, inadequate resources, or project resources that are not optimally utilized. (Updated)

2019.09.PM02 Develop processes to optimize

- Consider working with managers of project resources to reassign team utilization of DLIR project resources.
- Consider periodically reconfirming and renewing resource commitments to the project.
- Ensure timely reporting of both actual and labor charges using the project management tools.
- Explore use of tools for resource calendars and tracking of team member assignment progress and completion.

This was originally reported in the September 2019 IV&V Monthly Report as a preliminary concern but is upgraded to a risk in this report. The Project Management Plan (version 1.3) includes a Risk Management Plan that identifies high-level risks and responsibilities for managing risks, but specific actions for managing resources are not outlined. The updated Resource Management Plan will be managed. This will lead to a more effective allocation of project resources and improve project outcomes.

2019.09.PM02.R1 Develop procedures to estimate and refine DLIR resource requirements.

- Document and track necessary steps and information needed to estimate and refine DLIR resource requirements.
- Consult DataHouse for input on upcoming activities that require DLIR resources and clarify responsibilities.
- Establish target due dates to develop resources estimates for major project activities (e.g., data conversion, testing).

Ongoing

ASSESSMENT

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<tr>
<th>CATEGORY FINDING ID</th>
<th>TYPE</th>
<th>SEVERITY</th>
<th>FINDING ANALYSIS</th>
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<th>STATUS UPDATE</th>
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M&O roles and responsibilities may impact operational readiness after transition. (Updated)

Accuity will continue to evaluate M&O as roles and responsibilities are better defined and documented. Current observations are as follows:

10/23/20: No updates to report. 11/24/20: DLIR began to draft a RACI chart to outline roles and responsibilities for some security M&O tasks.
12/23/20, 01/26/21, 02/23/21, 03/24/21, 04/27/21, and 05/27/21: No updates to report. Accuity will continue to evaluate M&O as roles and responsibilities are better defined and documented.

HARDWARE, SOFTWARE, BACKUP, AND RECOVERY

<table>
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<td>2019.09.PM02.R1</td>
<td>Develop procedures to estimate and refine DLIR resource requirements.</td>
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<th>Finding Type</th>
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<th>Finding Analysis</th>
<th>Recommendation ID</th>
<th>Recommendation</th>
<th>Environmental Recommendation</th>
<th>Supplemental Recommendation</th>
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<tbody>
<tr>
<td>Data Conversion</td>
<td>2019.09.IT03</td>
<td>Closed</td>
<td>Preliminary</td>
<td>Low</td>
<td>Unsupported IBM Lotus Notes Domino</td>
<td>This was originally reported in the September 2019 IV&amp;V Monthly Report as a preliminary concern but is upgraded to a risk in this report. The current case management system, IBM Lotus Notes, is no longer supported. The product was sold by IBM to IBM Technologies, an independent company, and IBM Technologies in turn sold the product to someone else. The system is not currently available to clients at NYS. Technologies is not a state procurement office (NP0) compliant vendor. This vendor will be replaced by the NYS Case Management office which will likely be done by the end of November 2020 but this was being pushed back to June 2021. Any major update to the current system may impact the data conversion process leading up to the go-live date and potentially the overall system deployment.</td>
<td>2019.09.IT03.R1</td>
<td>Explore options for obtaining support.</td>
<td>2019.09.IT03.R2</td>
<td>Refer to the June 2020 IV&amp;V Monthly Report for status updates prior to July 2020.</td>
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<tr>
<td>Benefits Realization</td>
<td>2019.07.PG05</td>
<td>Open</td>
<td>Risk</td>
<td>High Moderate</td>
<td>Not defining, tracking, or using clear and measurable goals and success metrics to evaluate project and contractor performance may reduce benefits expected at project completion. The eCMS Project does not have a project charter that would have helped to formalize the project goals, target benefits, and success metrics at the start of the project. Based on informal recommendations made by Team Leaders, it was recommended to develop a project charter that includes clear goals and success metrics. The lack of clear and measurable goals and success metrics makes it difficult to determine if the project and technical solution will achieve the desired level of performance or benefits that justify the project’s financial investment. Goals and success metrics need to be defined before going any further in the project as they should be guiding all key decisions throughout the entire project.</td>
<td>2019.07.PG05.R1</td>
<td>Formalize measurable goals and success metrics in a project charter.</td>
<td>2019.07.PG05.R2 Collect baseline and project performance data.</td>
<td>2019.07.PG05.R3 Use performance data to monitor or evaluate project or contractor performance.</td>
<td>2019.07.PG05.R1 and 2019.07.PG05.R2: Progress on the success metrics stalled due to shifting priorities and changes in DLIR project resources. 12/23/20: DLIR presented the updated metrics at the monthly project managers meeting but did not share them and practically none of the metrics were used in the project. This tracking was not planned at the beginning of the project and should not be used until a new project charter is created. 10/23/20, 11/24/20, and 12/23/20: No updates to report. 12/23/20: dlir shifted a couple surveys to use for soliciting stakeholder feedback.</td>
</tr>
</tbody>
</table>
2019.07.PM02.R1 Clarify roles and responsibilities between DLIR and DataHouse.
- Consider revising project management plans to identify the person responsible and list specific responsibilities for each project management area.
- Consider the need to include an outline of DLIR and DataHouse roles and responsibilities in a contract modification (refer to finding 2019.07.PG03).

2019.07.PM02.R2 The DataHouse Project Manager should work onsite at DLIR through project completion to improve DLIR and DataHouse project team cohesion.

Open

Refer to the June 2020 IV&V Monthly Report for status updates prior to July 2020.

07/29/20: The DLIR Project Manager returned to the project on a part-time basis and is resuming weekly project status meetings.
08/21/20: The DLIR Project Manager returned to full-time status on the project and began resuming more standing DLIR meetings as well as scheduling additional meetings to make progress in critical areas of the project.
09/28/20: The weekly Scrum standup meetings for Phase 1 Case Management and internal DLIR weekly risk and test meetings resumed. Periodic Content Management check-in meetings are still held. DLIR, DataHouse, and STP made progress to clarify M&O roles and responsibilities. Further clarification of testing roles and responsibilities is still needed.
10/23/20: Regular meetings with electronic submission pilot group stakeholders continued; however, the planned Phase 1 Case Management daily hand-off meetings between DLIR and DataHouse were postponed to begin in December 2020 due to changes in the go-live timeline. DLIR and DataHouse made progress to clarify testing roles and responsibilities.
11/24/20: The additional recurring Content Management and Case Management meetings helped to improve collaboration between DLIR and DataHouse.
12/23/20: Weekly meetings with electronic submission pilot group stakeholders continued.
01/26/21: Recurring Content Management and Case Management meetings between DLIR and DataHouse during December 2020 did not continue regularly during the current month.
02/23/21: DLIR and DataHouse still work in a very siloed and disconnected manner. They need to work more collaboratively to tackle and overcome the challenges facing the project today.

Accuity will continue to evaluate the clarity of roles and responsibilities and observe the effectiveness of project organization.

Project Organization and Management
2019.07.PM02 Risk High Moderate The eCMS Project has failed to achieve team synergy between DLIR and DataHouse project team members and appear to work as separate teams instead of one. DataHouse works almost exclusively on design or development activities. The unclear contract terms regarding roles and responsibilities between DLIR and DataHouse (refer to finding 2019.07.PG03), physical separation of the project team, and limited collaboration or DLIR involvement have all contributed to the siloed environments. This has also led to verification communications from the project team (refer to finding 2019.07.PM06).
### ASSESSMENT CATEGORY
- **Organization and Management**

#### FINDING
- **FINDING**
  - **FINDING**: Establish deliverable acceptance criteria.
  - Consider including acceptance criteria in the quality management plan (refer to finding 2019.07.IT.05), in a contract amendment (refer to finding 2019.07.PG.03), or in Deliverable Expectation Documents (DED).

#### RECOMMENDATION
- **RECOMMENDATION**: Hold joint DLIR and DataHouse deliverable review meetings to walk through deliverables.

#### RECOMMENDATION
- **RECOMMENDATION**: Implement formal deliverable review and approval processes.
  - Include both the scope validation process for acceptance and the quality control process for correctness (refer to finding 2019.07.IT.05).
  - Include an evaluation of deliverables against acceptance criteria and requirements documented in the Case Management Requirements Specification Document, Deliverables, and DEDs.
  - Consider implementing a deliverable review and approval process as a project task. This process is designed to verify deliverables prior to submission for acceptance.

**FINDING STATUS**
- **FINDING STATUS**
  - **FINDING STATUS**: Refer to the June 2020 IV&V Monthly Report for status updates prior to July 2020.

- **FINDING STATUS**: 07/29/20: DLIR, with the assistance of ETS, timely reviewed and approved AWS vulnerability scan reports and results. Other critical DataHouse deliverables are still pending review.

- **FINDING STATUS**: 08/21/20: DLIR completed their review of DataHouse’s AWS Environment Design document.

- **FINDING STATUS**: 09/28/20: With several key Phase 1 Content Management deliverables scheduled to be delivered over the next two months, DLIR needs to establish acceptance criteria and review validation.
  - **FINDING STATUS**: 10/23/20: DLIR reviewed and approved the recent Phase 1 Content Management Training Guide deliverables.
  - DLIR requested that DataHouse hold deliverable walkthrough meetings for all new and revised deliverables.

- **FINDING STATUS**: 12/23/20: No updates to report.

- **FINDING STATUS**: 01/26/21: DLIR and DataHouse met to walk through the Phase 2 requirements deliverable. It is unclear what DLIR’s acceptance criteria and review process for this deliverable are.

- **FINDING STATUS**: 03/23/21: A number of DataHouse deliverables are pending ETS review and acceptance including requirements documentation, design documentation, data conversion plan, and test plan. DataHouse’s acceptance criteria and review processes for these deliverables are not clearly defined.

- **FINDING STATUS**: 03/30/21: DLIR and DataHouse met to walk through the Phase 2 requirements deliverable. It is unclear what ETS’s acceptance criteria and review process for this deliverable are.

- **FINDING STATUS**: 04/30/21: DLIR and DataHouse met to walk through the Phase 2 requirements deliverable. It is unclear what ETS’s acceptance criteria and review process for this deliverable are.

- **FINDING STATUS**: 05/30/21: DLIR and DataHouse met to walk through the Phase 2 requirements deliverable. It is unclear what ETS’s acceptance criteria and review process for this deliverable are.

- **FINDING STATUS**: 06/30/21: DLIR and DataHouse met to walk through the Phase 2 requirements deliverable. It is unclear what ETS’s acceptance criteria and review process for this deliverable are.

- **FINDING STATUS**: 07/30/21: DLIR and DataHouse met to walk through the Case Management data conversion requirements deliverable. Approval is still pending.

- **FINDING STATUS**: 08/30/21: DLIR completed the review of the Phase 3 Case Management data conversion deliverable and submitted feedback and feedback to DataHouse.

- **FINDING STATUS**: 09/30/21: DLIR and DataHouse met to walk through the Phase 3 Case Management data conversion deliverable. Approval is still pending.
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<tr>
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<th>CATEGORY</th>
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<td>Communication</td>
<td>Open</td>
<td>High</td>
<td>DataHouse's ineffective and untimely communications with the DLIR Project Team contributed to DLIR's incomplete understanding of the technical solution, potential risks, and upcoming project activities.</td>
<td>Moderate</td>
<td>07/29/20: The DLIR Project Manager returned to the project on a part-time basis and is resuming weekly project status meetings.</td>
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As of 08/21/20:
- The weekly Scrum standup meetings for Phase 1 Case Management resumed but periodic Content Management check-in meetings previously discussed are still on hold. With many of the Phase 1 Content Management activities scheduled over the next two months, effective and timely communications are needed for smooth project execution.
- The IV&V recommendations made at 2019.07.PM05.R2 and 2019.07.PM05.R3 regarding DataHouse working on-site and including DLIR in project activities will also address this finding. Below are additional recommendations to further improve project team communications:

**Recommendations:**

1. Implement daily touch point meetings between DataHouse and DLIR Project Managers.
2. Regular meetings to discuss project status and forthcoming activities.
3. Improve communication channels to ensure timely and effective exchanges of information.
4. Establish clear communication protocols and expectations for all project team members.
5. Ensure that all project team members are aware of their roles and responsibilities.
6. Conduct regular reviews to assess the effectiveness of communication strategies.

As of 02/23/21:
- Minimal meetings between DLIR and DataHouse are occurring.
- Accuity will continue to evaluate the effectiveness of these project communication channels.
Lack of tailored project communications for all impacted stakeholders may reduce user adoption and stakeholder buy-in.

Further refine communication:
- Segment stakeholders into groups by communication needs such as by management plans, department/unit (e.g., Hearings, Enforcement, or Records and Claims), by position (e.g., manager, supervisor), or internal and external (e.g., contractors, incident agents).
- Schedule regular communications management meetings (refer to finding 2019.07.PM01).
- Develop internal and external communication plans.
- Tailor communications matrix for all stakeholders.

Potential recommendation:
- Develop a formal project OCM plan that is aligned to the project schedule (refer to finding 2019.07.PM01). Although there is a formal OCM plan, the stakeholders are not aware of its existence and this may be an indirect result of other project communications and participation in ongoing project meetings.
- Increase OCM activities to prepare impacted stakeholders for business process changes resulting from the upcoming Phase 1 Content Management go-live (2020.12.PM01).
- Develop internal communication plans and activities.
- Conduct baseline change awareness and readiness assessments throughout the project to identify pockets of resistance or inadequate change management.
Formalize the Risk and Issue Management process.
• A formalized process should clearly define responsibilities and steps in identification, resolution, and action items tracking, and escalation procedures.
• The project team must encourage open, transparent discussion about risks and issues.

Conduct regular meetings to discuss project risks and issues.
• Include DataHouse and DLIR and, on occasion, the executive steering committee (refer to finding 2019.07.PG02).
• Perform a detailed review of new items, status of open items, risk/issue owners, and mitigation plans.

Moderate risks and issues have not been clearly identified, tracked, or reported resulting in the lack of understanding of potential impacts across project team members and there are no mitigation plans to adequately address them.

Only three risks and two issues have been identified by DataHouse on the project to date with no history of any risks being closed. DLIR project team was not tracking any of its own risks or issues related to the project. It is regretting the delay in the completion of the WSG agreement with DataHouse and the lack of an open and transparent discussion about risks and issues. Accuity needs to do a better job of managing risks and issues.

Accuity decreased the severity rating from Level 1 (High/Critical) to Level 2 (Moderate). DLIR resumed weekly risk meetings, prioritized the top three project risks, and began developing a mitigation plan. Additionally, DLIR and DataHouse began scheduling peer IV&V findings of risks and issues and scheduled recurring meetings to continue efforts.

DLIR and DataHouse continued regular discussions of risks as well as efforts to address previously identified IV&V risks and issues.

DLIR and DataHouse did not include in the risks and issues log, indicating an inefficient risk and issue management process. Based on information, IV&V recommendations made during the assessment period, both DLIR and DataHouse have communicated a plan to start identifying and tagging risks jointly and remove them together weekly. As identification and mitigation of risks and issues are critical to project success, a formal process should be implemented before moving forward on the project.
The requirements for both Content Management and Case Management have already been approved; however, the requirements are incomplete (e.g. do not incorporate all contract requirements and do not describe the implementation). The requirements are not comprehensive, including compliance with Hawaii Revised Statutes, Hawaii Administrative Rules, and security requirements.

Requirements management is part of the Project Management Plan developed by DataHouse. However, the plan is not comprehensive. The Project Management Plan version 1.2 was updated to include additional topics regarding requirements management. While the updated plan provides additional detail regarding the requirements prioritization process, traceability structure, and how requirements will be reported, requirements documentation is not complete and meets industry standards and practices. Requirements documentation should be revised and requirements management processes should be implemented to accurately reflect the project.

As requirements are the foundation for proper system design, development, and testing, it is essential that requirements documentation are complete and meet industry standards and practices. Requirements management is a part of the Project Management Plan and should be implemented to accurately reflect the project.

There is no formal cost management plan. A comprehensive total project budget is not created, tracked, or reported. Currently, payments are tracked for the two main eCMS Project contracts: Hawaii DHR Services and the Team Hawaii (WMS contract). Other costs for personnel and materials are tracked internally as these are often paid out-of-pocket and not regularly in current funds. With the award of eCMS development contracts, an overhead burden and subcontracts for the developer solution as well as the personnel cost can be capitalized (refer to finding 2019.07.IT07). Additionally, total project costs and funding obligations are not formally reported.

The DataHouse contract states that payments are contingent upon the receipt of services, deliverables, and reports in accordance to the milestones listed in the proposal. Payment is made quarterly, with the balance due upon successful completion of Performance Testing (PTT) and Acceptance Testing (AT). Payment is made via Direct Deposit (DD) to a bank account designated by DataHouse.

The Hawaii DHR Services Agreement states that payments are made on a monthly basis, with the balance due upon successful completion of Performance Testing (PTT) and Acceptance Testing (AT). Payment is made via Direct Deposit (DD) to a bank account designated by DataHouse.

As requirements are the foundation for proper system design, development, and testing, it is essential that requirements documentation are complete and meet industry standards and practices. Requirements management is a part of the Project Management Plan and should be implemented to accurately reflect the project.

2019.07.PM10 R1 Improve Content Management and Case Management requirements documentation and RTM.

- Ensure requirements follow SMART (specific, measurable, actionable, realistic, and time bound) guidelines.
- Ensure requirements documentation include all requirements listed in the DataHouse contract and are identified in the requirements documentation. Requirements documentation should include functional, performance, process, nontactical, security, and interface requirements.
- Ensure requirements are comprehensive and include all requirements listed in the DataHouse contract and are identified in the requirements documentation. Requirements documentation should include functional, performance, process, non-functional, security, and interface requirements.

2019.07.PM10 R2 Improve content management and case management requirements management processes.

- Develop and implement a process for prioritizing and reporting requirements.
- Develop and implement a process for tracing requirements to specific system design elements.

Issue

High

Refer to the June 2020 IV&V Monthly Report for status updates prior to July 2020.

07/29/20: IV&V did not observe or have access to information to verify any progress on the requirements. While the requirements documentation is scheduled for August 2020, the requirements processes, roles, and responsibilities should be reviewed and improved to increase efficiency and avoid the redundancies and delays experienced in Phase 1.

08/21/20: DataHouse made improvements to the requirements management processes including real-time review of updated workflows and drafted user stories during the Phase 2 requirements gathering sessions, as well as timely training of all and requirements documentation and tracking tools after the completion of workshops.

09/28/20: Due Phase 2 plans are 4-5 months behind the CII business process workflow more completely from start to finish and cannot be compared to Phase 1 workflow. A review of the requirements-related issues was conducted at the beginning of the requirements gathering sessions, and Phase 1 updates will be reviewed.

10/29/20: The Phase 2 requirements documents are scheduled for October 2020. DataHouse is now targeting completion by December 2020.

11/20/20: Improper requirements documentation is impacting Phase 1 Content Management UAT execution (2020.12.IT01). DataHouse UAT test plan is missing all contract requirements. Requirements management is not complete and does not meet industry standards and practices.

12/23/20: DataHouse has agreed to a 5% retainer amount to be withheld from DataHouse invoices until final acceptance.

01/26/21, 02/23/21, and 03/24/21: No updates to report.

04/27/21 and 05/27/21: DLIR is working on budgeting project and system costs. DLIR still needs to develop a comprehensive project budget to track and monitor all project costs. Accuity will continue to monitor project costs, AWS costs (from finding 2019.07.IT01), and cost management practices.

12/23/20: DLIR and DataHouse agreed to a 5% retainer amount to be withheld from DataHouse invoices until final acceptance.

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2019.07.PM13.R1 Document and approve revisions to project schedule deliverables, milestones, and go-live dates in accordance with the Project Management Plan.

2019.07.PM13.R2 Refine the project schedule with details of tasks, durations, phases, and assigned resources.

Refer to the June 2020 IV&V Monthly Report for status updates prior to July 2020.

07/29/20: DataHouse’s revisions to the project schedule for Phase 1 tasks were tentatively approved by DLIR; however, details of resource requirements for Phase 2 work were not provided. DataHouse is working to timely coordinate, make schedule adjustments, and minimize further delays within DLIR project resource constraints.

09/28/20: No updates to report.

10/23/20: DLIR project resources’ limited capacity to perform project tasks is preventing the timely completion of some tasks and recent technical issues postponed some Phase 1 Content Management tasks. DataHouse and DLIR are currently evaluating project schedule impacts. DataHouse has not yet finalized the task details for Phase 2 beyond the planning stage and phase completion dates have not yet been allocated. Customer provided project information (e.g., requirements) has not yet been received.

11/24/20: The Phase 1 Content Management go-live on November 25, 2020 was postponed. DLIR and DataHouse are currently evaluating options for a revised go-live date in early 2021. There are also delays in Phase 2 schedule requirements and revised Phase 1 Case Management tasks.

12/09/20: Accuity recommended the following items to improve schedule management in revising Phase 1 Content Management UAT execution (12/12/20). Format tasks and processes to include (i) create UAT testing resource’s schedule and tasks and (ii) to dedicate sufficient resources to perform testing.

12/02/21: The Phase 1 Content Management revised go-live on January 27, 2021 was postponed. Phase 1 Case Management tasks are to be revised and the revised Phase 1 Case Management schedule is needed to be set in a clear path forward. It is unclear for DLIR and DataHouse to set achievable go-live dates that allow sufficient time to perform critical project activities and factors in the variability of available resources.

01/26/21: The June 2021 Phase 1 Case Management go-live was extended to October 2021 but may be impacted by the uncertainty around Phase 1 Content Management go-live. Phase 2 schedule metrics are pending and detailed tasks are still unknown. Critical decisions are needed before the project schedule can be revised.

03/24/21: Some Phase 1 Case Management data conversion, training, and UAT tasks are delayed and Phase 2 is four months behind schedule. Additionally, the extended timeline of Phase 1 Content Management activities may impact the recently updated Phase 1 Case Management go live.

05/27/21: The prolonged Content Management solution implementation delay in the June 2021 project metrics was later performed by the Content Management solution analysis and testing (05/21/21). This is delaying Case Management data conversion and UAT activities that are critical for achieving the current Phase 1 go live schedule.

06/01/21: DLIR and DataHouse agreed on a timeline, plan and deliverables to be finalized to the Content Management decision but it is still unclear what the Content Management and Phase 2 go live dates will be given the lack of clear detail in the previously outlined timeline, milestones, and deliverables to be completed.

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### RISK HANDBOOK

**ASSESSMENT CATEGORY**: Business

**FINDING ID**: PM14.R1

**CURRENT SEVERITY**: Moderate

**RECOMMENDATION**

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<td>10%</td>
<td>02/20/21, 03/24/21, 04/27/21</td>
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<td>Prepare regular resource reports for management and the executive steering committee.</td>
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**POTENTIAL RECOMMENDATION**

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<td>10%</td>
<td>02/20/21, 03/24/21, 04/27/21</td>
<td>PM14.R1</td>
<td>Consider including DLIR resources needed and estimated hours for upcoming project activities (e.g., design sessions, user demonstrations, or user testing).</td>
</tr>
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</table>

**PROJECT STATUS UPDATE**

- 04/27/21: DLIR is in the process of procuring an additional business analyst resource expected to begin in June 2021.
- 05/27/21: DLIR procured an additional business analyst resource expected to begin in June 2021.
- 01/26/21, 02/23/21, and 03/24/21: DLIR plans to procure additional testing resources.
- 06/13/21: DLIR is the process of procuring an additional business analyst resource to assist with testing and requirements.
- 05/28/21: DLIR procured an additional business analyst resource expected to begin in June 2021.
- 06/17/21: DLIR resumed an additional business analyst resource expected to begin in June 2021.

**INTEGRATION REQUIREMENTS**

- The Content Management Design (version 1.0) document was approved by DLIR on May 6, 2019. Case Management is currently in the design phase and design documents have not been provided. DLIR will need to understand how the interface solutions and should be defined in design documents in accordance with industry standards.

- Due to the recent DHS development, the interface options will need to be reassessed and updated depending on the interface solution selected. DLIR will need to understand the interface solutions and should be defined in design documents in accordance with industry standards.

- The interface solutions should be clearly defined, understood, required for project requirements, and communicated to DLIR.

**PROJECT STATUS UPDATE**

- 04/27/21: DLIR is in the process of procuring an additional business analyst resource expected to begin in June 2021.
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### Configuration Management

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<tr>
<td>2019.07.IT05</td>
<td>515.R1</td>
<td>Quality Management and Testing</td>
<td>Low</td>
<td>Finalize the quality management plan and assigned quality assurance resources may impact the quality of project deliverables.</td>
<td>•DataHouse and DLIR should collaborate and agree on the quality management processes and metrics that will best serve this project.</td>
<td>•Include a quality standard of reference to specific criteria (before finding 2019.07.PM03).</td>
<td>Open</td>
<td>Refer to the June 2020 IV&amp;V Monthly Report for status updates prior to July 2020.</td>
<td>No updates to report.</td>
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<td>2019.07.IT06</td>
<td>516.R1</td>
<td>Configuration Management</td>
<td>Low</td>
<td>Develop a formal configuration management plan.</td>
<td>•Ensure the plan is in accordance with IEEE 828-2012 – Standard for Configuration Management in Systems and Software Engineering and includes the configuration management planning process, configuration identification process, configuration control process, configuration change control process, configuration data accounting process, configuration auditing process, configuration status accounting process, and configuration change control process.</td>
<td>Open</td>
<td>Refer to the June 2020 IV&amp;V Monthly Report for status updates prior to July 2020.</td>
<td>No updates to report.</td>
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**FINDING**

2019.07.IT07.R1 Ensure the security management plan meets specific standards.

- Consider the industry standards and best practices above.
- DataHouse and DLIR should collaborate and agree upon the specific standards that will best serve this project.

**SEVERITY**


**PROJECT**

Organization and Management

**FINDING STATUS**

Open

**FINDING UPDATE**

Closed 09/28/20: DataHouse updated the project management plan to include some additional details regarding Phase 2 deliverables and several project management processes. Additional clarification of the project management processes will be provided upon project completion.

---

**FINDING**

2020.08.PM01.R1 Complete Phase 2 planning.

- Ensure mutual understanding of Phase 2 plan and approach between DataHouse and DLIR.
- Provide adequate details of Phase 2 in the project schedule.
- Consider building contingency plans for COVID-19 into the project management plan and processes.

**SEVERITY**

Moderate

**PROJECT**

Organization and Management

**FINDING STATUS**

Closed 09/28/20: DataHouse updated the project management plan to include some additional details regarding Phase 2 deliverables and several project management processes. Additional clarification of the project management processes will be provided upon project completion.

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**FINDING**

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**PROJECT**

Information and Management

**FINDING STATUS**

Open

**FINDING**

Not having an approved security management plan in place may impact the security and privacy of the data.

**SEVERITY**

Moderate

**PROJECT**

Information and Management

**FINDING STATUS**

Closed

**FINDING**

Accuity decreased the severity rating from Level 1 (High) to Level 2 (Moderate) as DLIR completed a preliminary SRA and evaluated areas of risk. DLIR plans to develop a security risk assessment (SRA) with the assistance of ETS in October 2020 to determine any gaps in security.

---

**FINDING**

Accuity will continue to evaluate, select, and implement various security tools and controls as part of the security management plan. DLIR should continue to develop a high-level security plan that outlines roles and responsibilities for various security tasks.

**SEVERITY**

Moderate

**PROJECT**

Information and Management

**FINDING STATUS**

Open

**FINDING**

Although significant uncertainty due to the COVID-19 pandemic makes it difficult to forecast exact project timelines, project performance metrics are collected and monitored. Instead, DataHouse primarily uses the project schedule to manage project performance. DataHouse and DLIR discussed processes for reporting risks or changes in resource availability and priorities for tasks. DataHouse has not yet added the detailed tasks for Phase 2 beyond the planning stage as there are still more detailed tasks as specific project information becomes available. DataHouse is preparing to add more detailed tasks as specific project information becomes available. DataHouse will continue to evaluate the number of use cases completed and the phase of the testing.

---

**FINDING**

DataHouse's updated project management plan and project schedule was scheduled for completion in July 2020. The task is not yet completed and there is no estimated timeline for completion.

**SEVERITY**

Moderate

**PROJECT**

Information and Management

**FINDING STATUS**

Closed

**FINDING**

The Case Management development team also monitors progress with stats on the number of user stories completed in each sprint and the number of user stories in the backlog.

**SEVERITY**

Moderate

**PROJECT**

Information and Management

**FINDING STATUS**

Closed 09/28/20: DataHouse updated the project management plan to include some additional details regarding Phase 2 deliverables and several project management processes. Additional clarification of the project management processes will be provided upon project completion.

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**SEVERITY**

Moderate

**PROJECT**

Information and Management

**FINDING STATUS**

Closed

**FINDING**

Process and metrics for evaluating project progress and performance for timely detection of issues.

---

**FINDING**

Although significant uncertainty due to the COVID-19 pandemic makes it difficult to forecast exact project timelines, project performance metrics are collected and monitored. Instead, DataHouse primarily uses the project schedule to manage project performance. DataHouse and DLIR discussed processes for reporting risks or changes in resource availability and priorities for tasks. DataHouse has not yet added the detailed tasks for Phase 2 beyond the planning stage as there are still more detailed tasks as specific project information becomes available. DataHouse is preparing to add more detailed tasks as specific project information becomes available.

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The DataHouse team’s actions have helped to remove impediments and further delay the project schedule. They have also built positive momentum in moving the project forward.

The DataHouse team’s swift and adaptive response to issues and risks minimized impact and further delays to project development.

The DataHouse team’s swift and adaptive response to issues and risks minimized impact and further delays to project schedule. They have also built positive momentum in moving the project forward.

The DCD Executive Sponsor’s close involvement in the project has provided strong leadership that has, to an extent, compensated for the lack of formal governance (refer to finding 2019.07.PM10). However, as important as good sponsorship is, this factor alone cannot be relied upon to guarantee project success.

The DCD Executive Sponsor’s close involvement in the project has provided strong leadership that has, to an extent, compensated for the lack of formal governance (refer to finding 2019.07.PM10). However, as important as good sponsorship is, this factor alone cannot be relied upon to guarantee project success. The next meeting is scheduled for October 11, 2019.

The procurement of the System Integrator (SI) for the eCMS Project was performed by DLIR EDPSO and reviewed by ETS. The RFP and DataHouse contract does not clearly outline expected deliverables, roles and responsibilities for accepting deliverables, and clear delineation of roles and responsibilities. There has already been confusion or misunderstandings due to unclear contract terms in the areas of form design, risk and issue tracking (refer to finding 2019.07.IT01). Ongoing best practices to clarify contract terms and will assist DLIR to ensure that contractors fulfill obligations to the standard of quality that is required.

The DCD Executive Sponsor is highly engaged and plays an active and visible role in guiding, monitoring, and championing the eCMS Project. The DCD Executive Sponsor took the lead in establishing the eCMS Executive Steering Committee (ESC) as the project governance body. The thresholds for decisions that require committee attention were also established.

The DCD Executive Sponsor’s close involvement in the project has provided strong leadership that has, to an extent, compensated for the lack of formal governance (refer to finding 2019.07.PM10). However, as important as good sponsorship is, this factor alone cannot be relied upon to guarantee project success.


**DataHouse: MOU with DHS for Datacap and FileNet licenses**

The MOU with DHS for Datacap and FileNet licenses is close to being finalized.

**Accuity: Project severity rating**

Accuity has kept the severity rating as Level 2 (Moderate).

**DataHouse: Case Management sprint schedule**

DataHouse has incorporated the Case Management sprint schedule into the overall project schedule and provided a plan to manage the dependencies and risks of each sprint. However, roles and responsibilities still need to be clearly defined and communicated.

**DataHouse: Change management practices**

The DataHouse development team follows a classic Scrum model and plans to clarify roles and responsibilities of Product Owners, Scrum Masters, and Development Teams.

**Scrum methodology and training**

The Case Management development team held a training for the DLIR Product Owners to provide an overview of the Scrum methodology and the Product Owner role and responsibilities.

**Scrum methodology communication**

The recommendation to communicate the methodology to all impacted stakeholders will continue to be monitored under the 2019.07.PM07 Stakeholder Communications finding.

**DLIR statutory mandate**

DLIR plans to draft statutory changes to mandate electronic filing in FY2022 (effective July 1, 2023). This timeframe was decided on as it allows DLIR to proactively involve stakeholders in testing production and provide stakeholders the appropriate time to ready their systems for electronic filing.

**DataHouse Agile methodology**

DataHouse is using a modified Agile development methodology that is referred to as "Water-Scrum-Fall". This is a combination of the waterfall and Agile methods that defines the full set of project management tasks from project initiation to post-project closure.

**DataHouse training**

ETSI began sharing best practices and lessons learned with DLIR. The training will continue until a satisfactory level of project resources is achieved.

**ELIR Project Manager**

The DLIR Project Manager is hardworking and has continually demonstrated dedication to the project and an eagerness to learn. Additionally, the ETS Project Manager has a strong understanding of the technical development process and is able to work collaboratively with internal stakeholders.

**ELIR Project Manager performance**

The DLIR Project Manager is a dedicated and proactive individual who works collaboratively with internal stakeholders.

**ELIR Project Manager support**

ETSI is a member of the newly formed DLIR IT and project support needs and responsibilities.

**ELIR Project Manager training**

ETSI and the risk is adequately mitigated with the planned course of action.

**2019.07.PG04 Risk Low**

- **Task**: Initiate conversations with ETS to develop and implement an approach for executing Scrum phases.
- **Recommendation**:
  - Review project documentation and requirements.
  - Establish the backlog process and roles.
  - Define and communicate the project goals and milestones.
  - Establish the project timeline and deliverables.
  - Ensure that all stakeholders are aware of their roles and responsibilities.

**2019.07.PG05 Risk Moderate**

- **Task**: Formalize an approach for executing Scrum phases.
- **Recommendation**:
  - Review project documentation and requirements.
  - Establish the backlog process and roles.
  - Define and communicate the project goals and milestones.
  - Establish the project timeline and deliverables.
  - Ensure that all stakeholders are aware of their roles and responsibilities.

**2019.07.PM06 Risk Low**

- **Task**: Initiate conversations with ETS to develop and implement an approach for executing Scrum phases.
- **Recommendation**:
  - Review project documentation and requirements.
  - Establish the backlog process and roles.
  - Define and communicate the project goals and milestones.
  - Establish the project timeline and deliverables.
  - Ensure that all stakeholders are aware of their roles and responsibilities.

**2019.07.PM07 Risk Low**

- **Task**: Initiate conversations with ETS to develop and implement an approach for executing Scrum phases.
- **Recommendation**:
  - Review project documentation and requirements.
  - Establish the backlog process and roles.
  - Define and communicate the project goals and milestones.
  - Establish the project timeline and deliverables.
  - Ensure that all stakeholders are aware of their roles and responsibilities.
9/20/2019 Closed as a replacement solution for additional clarification regarding certain aspects of the replacement solution, Accuity will continue to investigate.

9/20/2019 Closed 09/20/19: In July 2019, DataHouse presented AWS as a potential alternative solution. The proposed AWS solution was compared to another cloud solution, Microsoft Azure, in respects to cost and system performance. The DataHouse recommendation was made based on reading of AWS whitepapers, the information provided by DataHouse, and discussions with ETS and EDPSO. However, the DataHouse recommendation was not based on a technical analysis of various solution options that includes a comparison of the alternatives on performance.

8/30/2019 Identified as High

8/20/2019 Identified as High

8/13/2019 Identified as High

7/7/2019 Identified as High

6/18/2019 Identified as High

6/18/2019 Identified as High

6/18/2019 Identified as High

5/30/2019 Identified as High

5/28/2019 Identified as High

5/16/2019 Identified as High

5/17/2019 Identified as High

5/16/2019 Identified as High

5/16/2019 Identified as High
## Appendix E: Prior IV&V Reports

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Appendix F: Comment Log on Draft Report
### Appendix F: Comment Log on Draft Report

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