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November 17, 2022

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

The Honorable Scott K. Saiki
Speaker and Members of the
House of Representatives
Thirty-First State Legislature
State Capitol, Room 431
Honolulu, Hawaii'i 96813

Aloha Senate 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 report the Office of Enterprise Technology Services received for the State of Hawaii'i, Department of Human Services, Systems Modernization Project.

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

Sincerely,


Douglas Murdock (Nov 17, 2022 10:53 HST)

Douglas Murdock
Chief Information Officer
State of Hawaii'i

Attachments (2)



Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: October 1 – 31, 2022

*Submitted: **November 15, 2022***

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
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 - [D – Background Information](#)



Solutions that Matter

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Executive Summary



The transition of the BES Project to the new ASI was the focus of the DHS and BES Project team in this reporting period. While completion of the transition by the November 10, 2022 target date is on-track, IV&V anticipates that the new ASI will gain a better understanding over time of the BES capabilities/functionality built by the previous ASI.

Since the BES project was officially placed 'on hold' to allow for the transition to occur, most of the IV&V findings do not have material updates this month. As the project re-starts, the IV&V findings will be updated. DHS and IV&V were pleased to hear the new ASI plans to conduct an assessment of the BES tools and architecture. IV&V would further suggest that this is a good time to step back and identify other actions that may benefit the BES project as it restarts, including:

- Proactive and comprehensive project management – The BES project has several open IV&V critical findings about the management of the BES Project and the lack of a realistic project schedule. The new ASI has the opportunity to apply lessons from the past four years and provide strong project management resources and tools that lead to a successful project.
- Project staffing – The lack of adequate ASI staffing levels and the level of experience of ASI staff has been a significant contributor to BES Project delays as reflected in several open IV&V findings. DHS and the new ASI should conduct a staffing assessment to ensure that the proper staff with the required skill sets for the BES architecture and solution are assigned to the BES project.
- BES solution usability – Ensuring that the BES solution is easy to use for clients and DHS users will allow services to be delivered effectively. DHS BES project team members have expressed, and IV&V has documented in our findings the concerns that the BES solution lacks an overall cohesive design to include ease of usability. To address this, the new ASI has begun work to develop a BES process model to identify areas that may be adjusted to align with the original BES vision.

Executive Summary



Aug	Sep	Oct	Category	IV&V Observations
			Project Management	DHS has replaced their contract Project Manager, and the former PM remains available to the BES Project as needed. The new ASI has added a new Project Manager with significant DHS experience. The new ASI and DHS are planning a new approach and methodology to complete the BES project, and IV&V waits to review the details.
			System Design	DHS management has communicated a high-level vision for completing the BES project that will deliver functionality to BESSD sooner. The new ASI is reassessing the BES design and architecture to best align with this vision. Additionally, DHS project team members have identified and documented design concerns they want addressed as the project resumes.
			Configuration and Development	The Project restart under the new ASI's leadership presents an opportunity to adjust/improve the development approach. IV&V concerns with the accuracy of development estimates and the resultant schedule delays that previously occurred will inform our review of the new ASI's planning.
			Integration and Interface Management	The timeline for integrating the BES project components and the various interfaces is included in the Project restart planning that the new ASI started.
			Testing	The approach, staffing, and tools used for testing the BES application are all under review by the new ASI and may change.
			Security and Privacy	The new ASI has not yet named a new Security Lead. IV&V remains concerned about the amount of security and privacy work outstanding.

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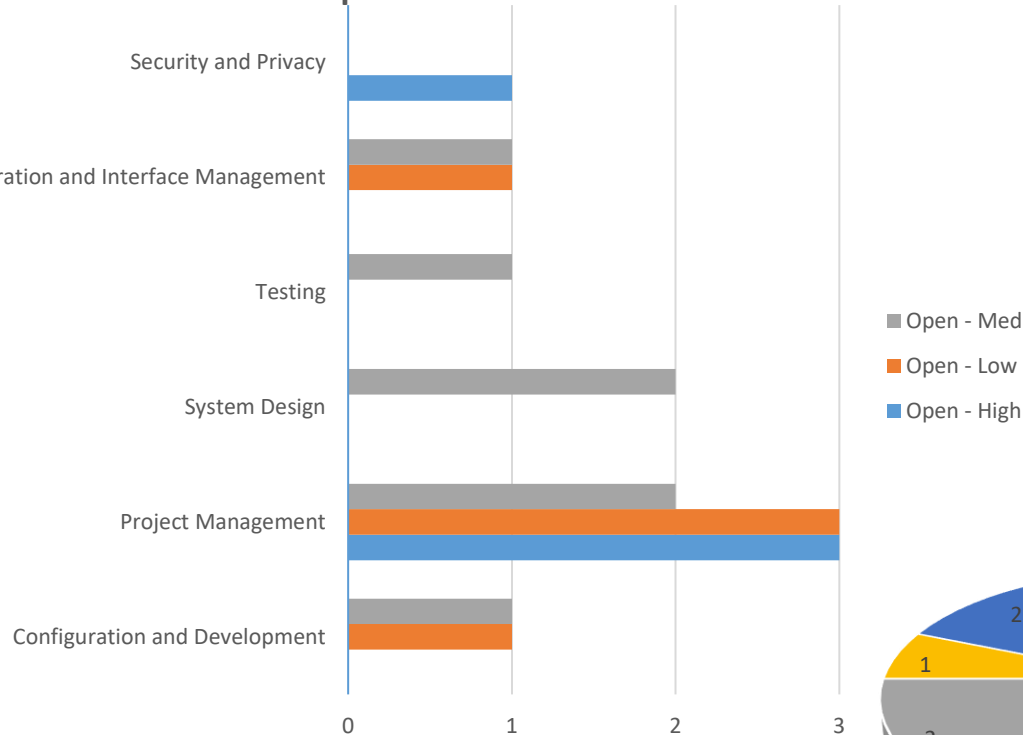
IV&V Findings and Recommendations

IV&V Findings and Recommendations

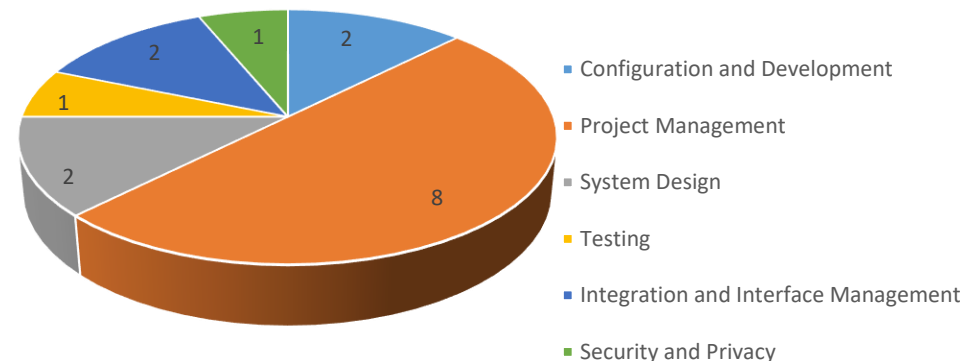


As of the October 2022 reporting period, PCG is tracking 16 open findings (8 risks, 8 issues) and has retired a total of 59 findings. Of the 16 open findings, 9 are related to Project Management, 2 in Integration and Interface Management, 1 in Testing, 2 in System Design, 2 in Configuration and Development, and 1 in Security and Privacy.

Open Risks & Issues



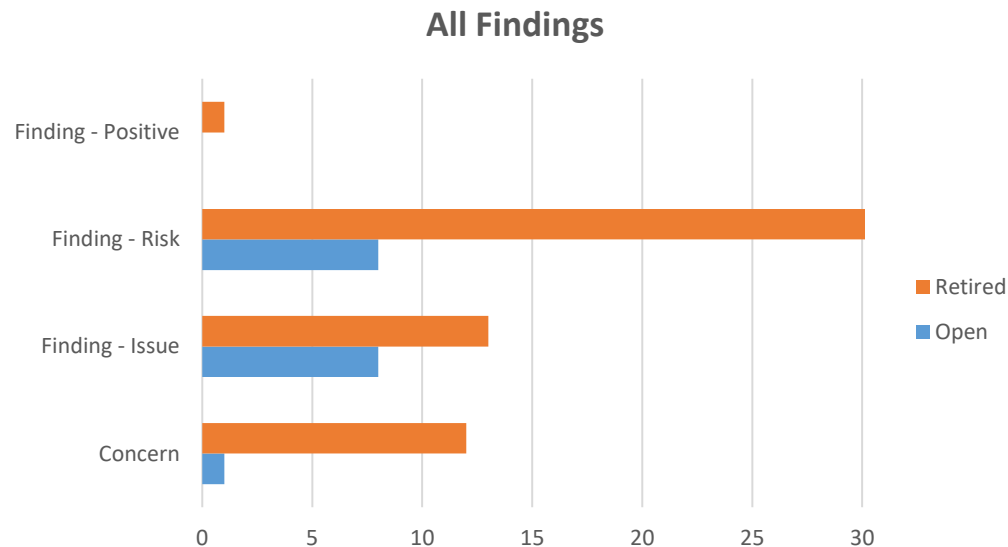
Open Risks & Issues by Category



IV&V Findings and Recommendations



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



IV&V Findings and Recommendations



Findings Retired During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
81	<p>Lack of the skilled ASI resources may reduce project productivity and quality of the BES design and lead to schedule delays.</p> <p>Observation: DHS stakeholders and IV&V have observed that working session productivity has been hindered by the lack of sufficient knowledge, capabilities, and expertise of some ASI team members. IV&V acknowledges that some ASI staff are skilled and knowledgeable. However, lack of skilled and experienced staff in all design sessions will likely have negative downstream impacts. Additionally, the ASI recently announced the departure of some of their most capable and experienced resources.</p> <p>This finding was raised in relation to the prime contractor and subcontractor staff. No work has been performed regarding this preliminary concern due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess this finding once the BES project restarts.</p>	Project Management


Findings Opened During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
2	<p>Issue – Late Delivery of project deliverables has caused schedule delays.</p> <p>The BES Project is being assigned to the new ASI and transition activities are underway therefore no work was performed on the BES deliverables in this reporting period. The ASI transition is planned to complete in November, IV&V will provide an update on this finding when the new ASI begins work on the project deliverables.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Despite not yet having a revised baseline schedule, continue monitoring and analyzing deliverables that may impact the critical path.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
29	<p>Issue – Uncertainty and/or a lack of communication around long-term architecture decisions could impact the project budget, schedule, system design, and planning decisions.</p> <p>Given that the project is transitioning to the new ASI, it remains unclear what changes the new ASI will make to the planned infrastructure and other technologies being utilized. IV&V will update the recommendations to include any infrastructure changes the new ASI may adopt, if any.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The Project should continue to vet possible architectural change impacts to the platform (e.g., ADA, Configuration Management tools), M&O, MQD, and BES systems before finalizing architectural decisions.	In process
<ul style="list-style-type: none">DHS continue to request ASI perform due diligence in any recommendation for foundational architecture change decisions and continue to review with appropriate DHS stakeholders to assure a common understanding of the implications of these decisions.	In process
<ul style="list-style-type: none">The Project should continue to ensure communication between development leads and architecture leads to assure optimal collaboration on possible architecture changes that could impact decisions in each area.	In process
<ul style="list-style-type: none">Maintain current communication processes to ensure regular communication between the architecture team and the rest of the project team to assess impacts of architecture decisions to the Project.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
43	<p>Issue – DHS PMO project team members have transitioned off the Project, which may cause gaps in knowledge transfer and leadership on the Project.</p> <p>No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions.	In process
<ul style="list-style-type: none">DHS consider other options (Contractors, State employees borrowed from other agencies) to fill these positions if there is ongoing difficulty in finding permanent hires.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
47	<p>Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.</p> <p>No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Suggest the Project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources.	In process
<ul style="list-style-type: none">Send broad communications to stakeholders to assure clear understanding of changes to the Project with this regard to impacts of COVID as well as clarifying communications as to what will remain the same.	In process
<ul style="list-style-type: none">Project leadership continue to encourage independent phone conversations to enhance and accelerate communications, and for team members not wait for meetings to converse.	In process
<ul style="list-style-type: none">Consider in-person meetings for critical design sessions if DHS and ASI COVID protocols allow.	Not Started

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
49	<p>Issue – Poor quality project deliverables may impact system design, testing artifacts and the project schedule.</p> <p>No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.</p>	

Recommendations	Progress
<ul style="list-style-type: none">ASI review the Quality Management Plan to ensure that the Project is working within the Quality guidelines. In particular, the ASI should evaluate and consider if it is in alignment with Section 3.1.2 Measure Project Quality, which states “ASI measures process and product quality by 1) selecting BES implementation process and product attributes to measure; 2) selecting component activities to measure; 3) defining value scales for each component activity; 4) recording observed activity values; and 5) combining the recorded attribute values into a single number called a process quality index.” IV&V has not seen evidence indicating the ASI is utilizing metrics to measure its process and product quality.	In Process
<ul style="list-style-type: none">When the project restarts, resources be allocated to create a Quality Management Plan to help address this finding.	Not Started

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
71	<p>Issue – The lack of the final agreement on the scope and costs of the GCP Change Request (CR) may lead to unanticipated DHS costs, schedule delays, and/or the need to reduce scope.</p> <p>DHS will now work with the new ASI to complete the GCP change request. IV&V waits to see the details included in the change request, and whether our recommendations are addressed.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI should document the current environment M&O activities to ensure all activities are known with a clear understanding of the “AS IS” and “TO BE” model for services beginning with the DDI, through Pilot/Implementation and M&O.	In process
<ul style="list-style-type: none">The ASI clearly document the scope of work and cost for the GCP CR during DDI and M&O and provide to DHS for approval.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
74	<p>Risk – The lack of a BES Project schedule based on accurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live.</p> <p>A project schedule documenting post-transition activities and project execution activities of the new ASI has not been developed. IV&V will provide an update on this finding when the new ASI begins work on the BES project schedule.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Using the available tools, review the current estimates to complete each activity compared to past actual hours.	In process
<ul style="list-style-type: none">Update as necessary and provide the DHS/ASI project managers with reports and data that accurately reflect the DHS/ASI resource needs along with over/under allocations of staff for the duration of the Project.	In process
<ul style="list-style-type: none">Develop mitigation and contingency plans that are tracked/managed by DHS/ASI for all tasks that are behind schedule or are at risk of being behind schedule which includes resource management.	In process
<ul style="list-style-type: none">Discuss, validate and address additional concerns within the project processes that may cause the project delays other than inaccurate estimates such as over reliance on POs, slow design sprints, and cadence of development teams.	In process
<ul style="list-style-type: none">DHS and the ASI agree to a revised schedule against which project deliverables can be managed.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
76	<p>Risk – Volunteer DHS resources leaving the Project may lead to schedule delays, lower morale, and burnout.</p> <p>DHS BES project team members are actively participating in the transition to the new ASI. They identify and communication possible gaps and are highly motivated to ensure the start-up with the new ASI is successful. DHS BES project team members have expressed a need to fully understand the future direction of the BES project and how known issues will be corrected. IV&V will monitor the project restart planning and the DHS BES project team members participation.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Allocate more time for the DHS team members to dedicate time to the Project.	In process
<ul style="list-style-type: none">Carefully plan for all project activities with reasonable hour allocations for the DHS resources and adjust dates in the BES Project schedule accordingly.	In process
<ul style="list-style-type: none">Add cushion time to the schedule for unexpected project delays.	In process
<ul style="list-style-type: none">Provide incentives for the DHS resources to help maintain the project team and possibly alleviate attrition or increase the number of volunteers to the team.	In process
<ul style="list-style-type: none">DHS keep all assigned Project resources informed of the transition progress and the timeline for when they will be asked to participate again, so resources can maintain their engagement with the Project.	Not Started

IV&V Findings and Recommendations



Integration and Interface Management

#	Key Findings	Criticality Rating
63	<p>Risk – The lack of early planning and coordination with interface partners may result in schedule delays.</p> <p>No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.</p>	A green circle with a white 'L' inside, indicating a low priority rating.

Recommendations	Progress
• Complete all MOAs and obtain approval.	In process
• Confirm testing dates with interface partners in writing.	In process

IV&V Findings and Recommendations



Integration and Interface Management

#	Key Findings	Criticality Rating
79	<p>Issue – External vendor delays in the development of the BES task management system (Current) interface have impacted the project schedule.</p> <p>No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.</p>	A yellow circle with the letter 'M' inside, indicating a Medium Criticality Rating.

Recommendations	Progress
<ul style="list-style-type: none">• Ensure that there is an agreement between DHS and CIA to address roles/responsibilities and outcomes.	In process
<ul style="list-style-type: none">• The ASI provide test results from the task management integration to ensure that the interface works.	Not Started

IV&V Findings and Recommendations



Configuration and Development


#	Key Findings	Criticality Rating
70	<p>Risk – Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution.</p> <p>No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.</p>	

Recommendations	Progress
<ul style="list-style-type: none">ASI adhere to plans for configuration management as documented in BI-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DHS.	In process
<ul style="list-style-type: none">ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track.	In process
<ul style="list-style-type: none">Project work to clarify/solidify plans for the potential use of configuration management tools and DHS work to fund and procure a CM tool, as required, to avoid any negative impacts to the project.	Not Started

IV&V Findings and Recommendations



Configuration and Development


#	Key Findings	Criticality Rating
80	Risk – Development delays could negatively impact the project schedule and delay go-live. No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.	

Recommendations	Progress
• Complete and execute remediation plan based on the result of a Root Cause Analysis (RCA).	In process
• ASI consider moving/adding/replacing project team resources strategically to effectively increase velocity.	In process
• ASI track and regularly provide DHS with an accurate velocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and consistently reflected in the project schedule.	In process

IV&V Findings and Recommendations



System Design


#	Key Findings	Criticality Rating
61	Issue – Poorly executed JAD and "design sessions" could lead to inaccurate design and rework. No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.	 M

Recommendations	Progress
• The facilitator should use their expertise to drive discussions through leading questions.	In process
• BAs should come to Day one of Design Sprint fully prepared to facilitate discussion on topic of sprint, with adequate knowledge about business process and approach for design based on JAD/JAR notes and other pertinent material.	In process
• The ASI to bring User Experience (UE) designers to engage with DHS and review the currently built BES solution.	Not Started

IV&V Findings and Recommendations



System Design


#	Key Findings	Criticality Rating
73	<p>Risk – The planned BES infrastructure is complex which could be difficult to implement and maintain and could lead to schedule/cost impacts.</p> <p>The previous ASI was largely responsible for the infrastructure design and build out, these responsibilities are now transitioned to the new ASI. The previous ASI is performing knowledge transfer (KT) to the new ASI; however, IV&V is concerned that KT will suffer given the complexity of the infrastructure and that some of the new ASI resources appear to lack significant experience with some of the tools and techniques used. IV&V will reassess our recommendations for this finding once more is known.</p>	

Recommendations	Progress
• ASI clearly communicate the potential costs and schedule impacts to implementing the planned infrastructure.	In process
• DHS work with the ASI to assess the potential challenges of maintaining a complex environment and consider scaled back options that could reduce this risk and reduce long-term support costs.	In process
• ASI develop a process to closely monitor cloud and other product changes (software updates/new releases), manage changes, and regression test once updates are applied.	In process
• The project team work to establish strong governance over the utilization and maintenance of various components to simplify their use and monitoring.	Not Started
• ASI development team identify infrastructure components and techniques that are new to them and take action to assure potential integration problems do not lead to unexpected delays.	Not Started

IV&V Findings and Recommendations



Testing


#	Key Findings	Criticality Rating
67	<p>Risk - The Americans With Disabilities Act (ADA) Section 508 compliance tool has not been installed for the Project, which may cause significant rework.</p> <p>No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IV&V will reassess our recommendations for this finding once more is known.</p>	

Recommendations	Progress
• The ADA tool meets contractual and project requirements.	In process
• The ASI communicates a plan for ADA test execution.	In process
• The ASI communicates how the tool will be used to report compliance and non-compliance and how non-compliance will be addressed/corrected	In process
• The ASI communicates how and when DHS/IV&V will be provided the reports from the ADA tool execution and how to interpret the results.	In process

IV&V Findings and Recommendations



Security and Privacy

#	Key Findings	Criticality Rating
68	<p>Risk - Insufficient planning/execution of the BES Security Plan activities may lead to delays in gaining Federal Partner approval for the BES Project to begin the Pilot Phase.</p> <p>With the transition to the new ASI, the key position of Security Lead will be filled by a new resource. As of the reporting period end, this position remains unfilled. As the new ASI assumes the responsibility for the Project security and privacy tasks it is appropriate to revisit the IV&V recommendations and the tools used to document and track security controls.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI continue to develop the BI-13 Security Plan in close collaboration with DHS.	In process
<ul style="list-style-type: none">DHS and the ASI agree upon the tools and process that will be used to document and track security control implementation, such as security governance, risk, and control (GRC software). The process should define the level of detail needed to track progress (estimates, target dates, risks, issues, evidence) along with the Requirement Traceability Matrix, and plans of actions and milestones (POAM).	In process
<ul style="list-style-type: none">ASI add a Security Architect to the Project ASAP to assist with the Security Plan activities.	In process
<ul style="list-style-type: none">ASI ensure that the ASI Security Lead has a depth of experience in NIST 800-53 and experience authoring implementation statements of System Security Plans (SSP).	Not Started

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IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Aug	Sep	Oct	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final September IV&V Monthly Status Report.
IV&V Staffing				
IV&V Scope				

Engagement Status Legend		
The engagement area is within acceptable parameters.	The engagement area is somewhat outside acceptable parameters.	The engagement area poses a significant risk to the IV&V project quality and requires immediate attention.



- IV&V activities in the October reporting period:
 - Completed – September Monthly Status Report
 - Ongoing – Review the BES Project Artifacts
 - Ongoing – Attend BES Project meetings, (see [Additional Inputs](#) pages for details)
 - Reviewed available ASI Original Contract and BES Optimization contract amendment documentation
 - Ongoing – Participate in DHS and IV&V Transition Planning meetings
- Planned IV&V activities for the November reporting period:
 - Ongoing – Participate in DHS and IV&V Transition Planning meetings
 - Starting – Attend BES Project Restart Planning meetings
 - Ongoing – Monthly IV&V Draft Report Review with DHS, ETS and ASI
 - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
 - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
No deliverables submitted in reporting period due to work stoppage		

Additional Inputs – Artifacts



Artifact Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
Unisys Contract Amendment 4	5/1/2021	N/A
FNS Handbook 901	01/2020	V2.4
NIST Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations	12/20/2020	Rev.5
One RTM (Aha)	N/A	V1
Conditionally Approved Deliverable Status (Confluence)	N/A	N/A
BES Transition Aha Board	N/A	N/A
MES Transition Plan v1.0.mpp	10/18/2022	Version 1



Meetings and/or Sessions Attended/Observed:

1. Weekly Platform Status Meeting – 10/4/2022, 10/18/2022, 10/25/2022
2. IV&V Team Meeting – 10/3/2022, 10/6/2022, 10/11/2022, 10/17/2022, 10/20/2022, 10/24/2022, 10/27/2022, 10/31/2022
3. HI DHS BES September Draft IV&V Report Review – 10/13/2022
4. Bi-Weekly DHS and IV&V Touch Base Meeting – 10/4/2022, 10/18/2022
5. DHS/IV&V Check-in – 10/4/2022, 10/6/2022, 10/11/2022, 10/13/2022, 10/20/2022, 10/24/2022, 10/28/2022, 10/31/2022
6. Daily Transition Status – 10/3/2022, 10/4/2022, 10/5/2022, 10/6/2022, 10/10/2022, 10/11/2022, 10/12/2022, 10/13/2022, 10/17/2022, 10/18/2022, 10/19/2022, 10/20/2022, 10/24/2022, 10/25/2022, 10/26/2022, 10/27/2022, 10/31/2022
7. Transition: Knowledge Transfer - Functional Demo of AH (Administrative Hearing) 10/10/2022
8. Transition: Knowledge Transfer - Functional Demo of SSP (Self Service Portal) 10/10/2022
9. BES Process Model Review 10/11/2022
10. Transition: Knowledge Transfer - FMM (Session 1) 10/12/2022, 10/13/2022, 10/14/2022, 10/17/2022, 10/18/2022, 10/19/2022, 10/20/2022
11. Transition: Knowledge Transfer - FMM (Session 2) 10/12/2022
12. PCG/HI Review Mtg – 10/13/2022
13. FW: Transition: Knowledge Transfer – OCM – 10/13/2022, 10/22/2022, 10/31/2022
14. Transition: Figma (Web App for UI design in SSP) – 10/13/2022
15. Transition: RTM Report Part 2 – 10/13/2022
16. Transition: Knowledge Transfer - SSP Architecture/Technical Discussion – 10/13/2022
17. Transition: FMM - Data Model Review – 10/14/2022
18. Transition: BES Software (Touch base) – 10/14/2022
19. Transition: Knowledge Transfer - Eligibility Discussion 4 – 10/14/2022
20. Transition: Oracle OPA/OIA – 10/18/2022
21. Transition: Knowledge Transfer - Technical Demo of AH (Administrative Hearing) – 10/18/2022
22. Transition: Knowledge Transfer - Walkthrough Completing BI-21 R0.7 Updated and Completed Detailed Functional and Technical RTM (final deliverable) 10/18/2022
23. Transition: Knowledge Transfer - Technical Demo of AH (Administrative Hearing) - Data Model Review 10/19/2022



Meetings and/or Sessions Attended/Observed:




- 24.Transition: Landing zone - General Automation 10/19/2022
- 25.Transition: Boomi connectivity 10/20/2022
- 26.Transition: RTM Report (Technical Discussion) 10/20/2022
- 27.Transition: Knowledge Transfer - Technical Demo of AH (Administrative Hearing) - Camunda/Integration/UI Code/Backend Code 10/20/2022
- 28.Transition: Knowledge Transfer - Figma web app tool 10/20/2022
- 29.Transition: Knowledge Transfer - Eligibility Discussion 5 10/20/2022
- 30.Transition: Knowledge Transfer - Requirements Management (Part I) Mtg Coverage 10/20/2022, 10/24/2022
- 31.Transition: Knowledge Transfer - Software Test Management (Part 1 of 10) – 10/21/2022, 10/24/2022,10/25/2022, 10/26/2022, 10/27/2022, 10/28/2022
- 32.Transition: Knowledge Transfer - SSP Architecture/Technical Discussion (Backend Code Walkthrough) – 10/24/2022
- 33.Transition: Knowledge Transfer - Configuration Management (Session 1) – 10/24/2022
- 34.Transition: Requirements Management - UI Requirements – 10/25/2022
- 35.Transition: Knowledge Transfer – Training 10/25/2022
- 36.Transition: Knowledge Transfer - Pilot Management – 10/25/2022
- 37.Transition: Knowledge Transfer - Release Management (Part II) – 10/25/2022, 10/27/2022
- 38.Knowledge Transfer on Configuration Management - Non-Tech Session – 10/26/2022
- 39.Transition: Security Management - Walkthrough of Security Plan – 10/26/2022
- 40.Transition: Knowledge Transfer - (usable.net) – 10/26/2022
- 41.Transition: Knowledge Transfer - SSP Architecture/Technical Discussion (How To Set up SSP and AH Dev Environment) – 10/26/2022
- 42.Transition: Knowledge Transfer - Walkthrough Project Management (Part I) 10/28/2022
- 43.Lucidchart migration – 10/28/2022
- 44.Transition: Lucidchart Migration - Your Help is Required – 10/31/2022
- 45.Transition: Knowledge Transfer - Deliverables Management (Part I) – 10/31/2022
- 46.Transition: Knowledge Transfer - SSP Functional Discussion (1 of 3) – 10/31/2022

The background is a solid blue gradient. It is decorated with various geometric shapes: squares and rectangles of different sizes and shades of blue. Some shapes are solid, while others are outlined in white. These shapes are scattered across the page, with a higher concentration on the left side and some on the right side, creating a modern, minimalist aesthetic.

Appendices



Appendix A – IV&V Criticality Ratings

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

Appendix B – Findings Log



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

Appendix C – Acronyms and Glossary



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



Appendix C – Acronyms and Glossary

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

Appendix C – Acronyms and Glossary



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

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

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

Ending Slide



Solutions that Matter

ID	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Status Update	Client Comments	Vendor Comments
81	Lack of the skilled ASI resources may reduce project productivity and quality of the BES design and lead to schedule delays.	Michael Fors	Finding - Project Concern	9/8/2022	Project Management	DHS stakeholders and IVV have observed that working session productivity has been hindered by some ASI team members who may lack sufficient software development and analysis expertise, knowledge, experience, skill levels, and/or capabilities to assure software quality and overall productivity to meet project milestones. ASI team members who may have sufficient capabilities appear to be working at capacity and often appear overwhelmed with maintaining quality and compensating for less experienced or less skilled team members. Further, the ASI recently announced the departure of some of their most capable and experienced resources who provided important guidance and leadership to their team.	A primary factor of project success is establishing a skilled, experienced, productive, and high-functioning team. If the ASI is not able to maintain this type of team, project schedule and other project risks could increase. The ASI recently determined that in order to meet the current projected go live date, they would need to add approximately 50 additional resources to their team. With the recent loss of some of the ASI's most capable and experienced resources, project delays could continue, productivity could be hindered, and software design quality could be reduced. Further, the lack of sufficiently capable ASI resources could weigh heavily on already constrained DHS SMEs as they attempt to compensate and expend additional efforts to assure software design quality and ensure that project milestones are met. If the ASI is unable to quickly replace these highly capable individuals, these risks could progressively increase and project morale could be negatively impacted. If software design quality cannot be effectively assured, it could lead to reduced user buy-in and unexpected rework that could impact the overall project budget.	<ul style="list-style-type: none">Request the ASI explore augmenting their team with highly capable resources that can provide expert level software development leadership that could potentially accelerate the project and reduce the burden on DHS SMEs.DHS work closely with the ASI in their staffing efforts and quickly, but thoroughly, vet additions to the ASI project team.Request the ASI make efforts to ensure solutions they have provided, and key design decisions are properly vetted by industry experts to ensure the best options are being presented to DHS SMEs.	ASAP	3	3 Med	Open	10/31/22 - This finding was raised in relation to the prime contractor and subcontractor staff. No work has been performed regarding this preliminary concern due to the work stoppage and ongoing transition to the new ASI. IVV will reassess this finding once the BES project restarts. 10/12/22 - No material update in the reporting period.			
80	Development delays could negatively impact the project schedule and delay go-live.	mfor	Finding - Risk	6/30/2022	Configuration and Development	ASI reported development activities have been slowed as they have been unable to achieve and/or maintain their expected development velocity. The ASI is working to produce a root cause analysis and remediation plan to address these delays, however, both have been delayed. Previously, the development team was challenged with accurately estimating development task level of effort (i.e., story points) in the past and the ASI has been challenged with producing a project schedule that accurately reflects realistic timelines (see Finding #76). The ASI continues to be challenged with finding qualified resources in a timely manner.	If the ASI is unable to achieve a velocity that enables them to meet planned milestones, schedule delays may lead to a delayed system go-live date. Failure to achieve a level of accuracy in estimating development tasks could lead to a project schedule that is flawed and unrealistic. DHS has indicated, and IVV agrees, that some of these delays could be due to some ASI BAs lacking the expertise required to create system designs and specifications that developers could consume without having to get extensive clarification from the ASI BA/SA team. DHS and IVV observed instances where ASI BA/SA have presented less than optimal designs and left it to DHS (who may lack software or UI design expertise) to improve, which has contributed to unproductive design sessions (see Finding #61). It remains unclear if scope creep has contributed to these delays.	<p>OPEN</p> <ul style="list-style-type: none">Complete and execute remediation plan based on the result of a Root Cause Analysis (RCA).ASI consider moving/adding/replacing project team resources strategically to effectively increase velocity. Note that adding additional junior resources may not be as effective as staffing additional expert level development, analysis, and other resources.Request the ASI effectively track and regularly provide DHS (potentially via the weekly DCS status meeting) with an accurate velocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and consistently reflected in the project schedule.	Immediate	3	3 Med	Open	10/31/22 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVV will reassess our recommendations for this finding once more is known. 09/29/22 - The ASI has announced the departure of key resources that have provided leadership and design quality assurance to the project, which could further hinder development productivity. With the recent work stoppage, it remains unclear if factors that created development delays will be fully addressed to mitigate this risk. 08/30/22 - The ASI continues to onboard additional development resources, stating they added 2 on-shore and 2 off-shore developers to their team. Though an updated schedule has yet to be completed by the ASI, they estimate they will need approximately 50 additional resources to assure adequate velocity and cadence to complete the project in the proposed timeframe. However, until a revised schedule is available the actual number of additional resources needed is not known. The ASI is delaying full recruitment for these positions until the project schedule is approved but have not submitted the revised schedule to DHS. 07/27/22 - The ASI has a severe shortage of development resources and is struggling to fill the open positions, but the current job market presents challenges. The ASI plans to update the schedule to account for the current lack of resources and intends to submit a re-baselined schedule on 8/12/22. The ASI is currently assessing the level of effort to address changes to Federal security control requirements (revision 5 of NIST), which may increase development efforts. The ASI recently hired 2 additional developers and is working to increase the accuracy and validity of the tracking of development velocity. Accurate velocity tracking may improve the accuracy of development estimates, allowing the ASI to more accurately determine resource levels required to meet development milestones and planning.			
79	External vendor delays in development of the BES task management system (Current) interface have impacted the project schedule.	AI Pangalnan	Finding - Issue	6/3/2022	Integration and Interface Management	The BES Project expected the CIA developed Current interface (aka, webhook) to be completed by 04/07/2022. CIA reported that the webhook development work would be done by 05/27/2022. As of 05/25/2022, the ASI has not received any status from CIA. The webhook is currently holding up the design of the CH4 – Manage CIA Data use case for Release 0.8.	Current (previously known as ePathos) is a task management system developed by the Change and Innovation Agency (CIA). The Department of Human Services (DHS) uses the Current system to manage and create case related tasks. The Benefits Eligibility Solution (BES) will interface with the Current system to manage tasks. The BES system will create tasks and will send them to Current. BES does not have the capabilities to manage or close the tasks. Eligibility Workers will claim tasks, and the Supervisors will manage tasks from within the Current system. The webhook is being designed by CIA that will provide task details for cases that have been tagged as "No Contact." This is a requirement to meet the design of the CH4 – Manage CIA Data use case. The ASI has stated that webhook is required before some critical path development tasks can commence.	<ol style="list-style-type: none">Ensure that there is an agreement between DHS and CIA to address roles/responsibilities and outcomes. Not applicable and completed.Schedule recurring meetings with CIA to ensure consistent communication between DHS, the ASI, IVV, and CIA. Completed.The ASI provide test results from the task management integration to ensure that the interface works.	Q3	5	1 Med	Open	10/31/22 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new ASI. IVV will reassess our recommendations for this finding once more is known. 09/30/22 - No material update in the reporting period. 08/30/22 - No material update in the reporting period. 08/01/2022 - DHS has decided not to establish an agreement with CIA (the task management vendor) because DHS currently has a subscription that includes the BES requirements. In addition, DHS and the ASI have established biweekly meetings with the task management vendor. 06/30/2022 - The task management system vendor provided details regarding the webhook at a recent meeting with DHS, allowing for related BES development to commence. DHS is determining the type of agreement required with this interface vendor. Based upon receiving the needed information, IVV is reducing the criticality rating to "Medium". 06/02/2022 - Issue created.			
76	Volunteer DHS resources leaving the Project may lead to schedule delays, lowered morale, and burnout.	Brad Molina	Finding - Risk	3/3/2022	Project Management	The DHS resources assigned to work with the ASI on the BES Project are all volunteers except one. Resources are not in dedicated roles within the team and have the option of returning to their previous operational roles at any time.	The replacement of DHS resources in project roles (e.g., testers and product owners) is not guaranteed and DHS already stated that no additional resources will be assigned to the test team. It is a risk to the Project that the remaining DHS resources will be overallocated, risking burnout, and creating a cycle of more DHS resources leaving the Project. If additional DHS staff are provided, their training will add to the workloads of current DHS project resources.	<ul style="list-style-type: none">Consider adding DHS resources as needed. 6/30/2022 CompleteAllocate more time for the DHS team members to dedicate time to the Project.Carefully plan for all project activities with reasonable hour allocations for the DHS resources and adjust dates in the BES Project schedule accordingly.Add cushion time to the schedule for unexpected project delays.Provide incentives for the DHS resources to help maintain the project team and possibly alleviate attrition or increase the number of volunteers to the team.DHS keep all assigned Project resources informed of the transition progress and the timeline for when they will be asked to participate again, so resources can maintain their engagement with the Project.	Immediate	4	2 Med	Open	10/31/22 - DHS BES project team members are actively participating in the transition to the new ASI. They identify and communication possible gaps and are highly motivated to ensure the start-up with the new ASI is successful. DHS BES project team members have expressed a need to fully understand the future direction of the BES project and how known issues will be corrected. IVV will monitor the project restart planning and the DHS BES project team members participation. 9/30/2022 - With the BES project work stoppage, some of the DHS resources assigned to the project are helping with transition work. The work stoppage is a significant event for the project team and the impact to overall morale (positive or negative) is uncertain. 8/30/2022 - No material update for this reporting period. IVV continue to monitor. 7/27/2022 - No material update for this reporting period. 7/16/2022 - In June, DHS added the following five staff to the BES Project: - An Interface Product Owner - A CAMA Product Owner - Two SME resources joined the team to support the Returned Mail Use Cases. - One SME to support the Reporting function. DHS stated they plan on adjusting staff as needed and proactively review the project schedule to identify future staffing needs. IVV will evaluate the impact of these staff additions to determine if the criticality rating can be lowered. 5/31/2022 - IVV updated this finding from a preliminary concern to a risk in this reporting period. The draft schedule plans for multiple releases in the testing phase which may stretch the DHS test team to the point where they request to return to their operations positions. DHS is actively working to mitigate this risk by identifying and instituting retention/incentive policies/practices. 4/26/2022 - A new DHS tester has joined the testing team and is being trained. Two additional testers are needed on the ASI team, and it is understood that more ASI testers will be added to support full acceptance testing. These factors help mitigate this finding, but it is unclear if this will. 10/31/2022 - A project schedule documenting post-transition activities and project execution activities of the new ASI has not been developed. Without a realistic project schedule based on accurate estimates, it is difficult for the Project to plan future activities, estimate staffing needs, and uncover possible gaps in knowledge transfer. 9/30/2022 - The ASI did not deliver a revised BES Project Schedule prior to DHS issuing the work stoppage on September 9, 2022. Regardless of the BES move forward strategy, a schedule that is based on estimates provided by staff performing the work is critical to ensure the schedule is realistic. 8/31/2022 - The ASI indicated that substantial changes and improvements were made to the schedule but did not deliver the revised draft to DHS by the August 12th deadline nor has the ASI provided DHS with a new target date for delivery. Without a project schedule, it is difficult for the Project to plan future activities such as hiring required resources to staff the Project. 7/29/2022 - The ASI delivered a draft schedule that did not meet DHS's expectations as it was developed with inaccurate estimates. In their CAP, the ASI plans to deliver a new draft of the schedule by August 12, 2022. Despite many late activities, the ASI originally planned to update the schedule without impacting the existing go-live and pilot dates. After further analysis, the ASI anticipates updates to the existing go-live and pilot dates. Since the Project has not accurately estimated/planned resources, further delays and disruptions to the BES Project may occur. 4/30/2022 DHS has not approved the May 18, 2022 draft project schedule and the project continues to work without an approved version. DHS stated the draft schedule contained late tasks and they lack confidence in the ASI's ability to perform to the schedule. An updated draft was published on June 24, 2022 to reflect changes and progress for DHS approval. 5/31/2022 - A draft project schedule was submitted for DHS approval. It incorporated additional DHS resources into			
74	The lack of a BES Project schedule based on accurate estimates diminishes effective planning and resource management, which could result in late deliveries, cost increases, and a late go-live.	Ryan Tan	Finding - Issue	11/29/2021	Project Management	DHS and the ASI have tried multiple times to rework the schedule with results that have not yielded improvement. Concerns with the structure, estimating practices, and ability to manage to the schedule persist. The use of multiple tools to track resources obfuscate resource management. Previous IVV findings focused on specific schedule components such as resource management and critical path analysis, all of which were addressed and closed.	If estimates for project schedule activities are not accurate, this can lead to constant schedule changes, resources not being available when needed, rushed activities, and general frustration which can lead to schedule delays, low quality output, scope changes, and budget issues.	<ul style="list-style-type: none">Using the available tools, review the current estimates to complete each activity compared to past actual hoursUpdate as necessary and provide the DHS/ASI Project Managers with reports and data that accurately reflect the DHS/ASI resource needs along with over/under allocations of staff for the duration of the ProjectDiscuss, validate and address additional concerns within the project processes that may cause the project delays other than inaccurate estimates such as over reliance on PO's, slow design sprints, and cadence of development teams.DHS and the ASI agree to a revised schedule against which project deliverables can be managed.	Immediate	4	4 High	Open				

ID	Title	Reporters	Finding Type	Identified Date	Category	Description	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst	Finding Status	Status Update	Client Comments	Vendor Comments
47	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	Michael Fors	Finding - Risk	3/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced state departments' ability to be fully functional as the large majority of state workers will be required to work from home/remotely at least until the end of May and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date.	DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until this crisis passes. The DHS project team will soon lose some key members of the PMO, the PMO lead will retire on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. If the state/DHS institutes a hiring freeze, DHS PMO may not be able to replace these key resources. Additionally, if the state institutes furloughs, DHS project team resources could be further constrained. Unclear if the state budget challenges will impact overall project funding.	OPEN - Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts. - Send broad communications to stakeholders to assure clear understanding of changes to the Project with regard to impacts of COVID, as well as clarifying communications as to what will remain the same. - Project leadership continue to encourage independent phone conversations to enhance and accelerate communications, and for team members to not wait for meetings to converse. - Consider in-person meetings for critical design sessions if DHS and/or COVID protocols allow. Continue to make efforts to setup, train, and assist new stakeholders on remote work devices and tools and continue to assist stakeholders with becoming highly functional with remote access technology (e.g. MS Teams/Skype). - Complete - Update the OCM Plan to include any new activities or updates to planned activities to address this COVID-19 pandemic in the short and long term. - Complete - Explore options for freeing up key BES20 SME's to work on the project. - Complete	ASAP	2	Low	Open	10/31/22 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new AS. IVV will reassess our recommendations for this finding once more is known. 09/29/22 - IVV remains concerned that the lack of in-person interactions may lead to a reduced project team productivity. 08/30/22 - No material update for this reporting period. 07/31/22 - No material update for this reporting period. 06/30/22 - The AS has stated they have removed the vaccination requirement for working in person and are encouraging staff to spend time in the office. DHS team members are still not required to work in the office but DHS is also encouraging office time. Three DHS team members are currently working out of the AS's downtown Honolulu offices. 05/31/22 - The AS and their subcontractors are making efforts to increase the availability of person work which could help to increase productivity and communication as well as overall quality of project work. 04/29/22 - No material update for this reporting period. 03/31/22 - State leadership has lifted back most COVID mandates this month, however, most individual State departments have been given the option of not requiring their staff to work in-person. DHS will likely maintain remote work policies for the foreseeable future. IVV recommends DHS consider strategically requesting in-person meetings for discussions that can be significantly more productive in person. 2/28/22 - The State of Hawaii is planning on eliminating most COVID mandates as of 3/5/22. In-person meetings could improve collaboration for design and other sessions, if the Project elects to increase in-person meetings. 1/31/22 - The AS has reaffirmed that remote meetings are a less effective form of communication than in-person meetings and therefore, COVID continues to have a negative impact on the quality of some project activities, albeit difficult to quantify. 12/31/21 - Though Omicron COVID cases are surging, the project has indicated they do not plan to make changes to current	02/08/2021 - Brian Donohoe does not agree with IVV's high-criticality rating on this finding (#43) and DHS rolled out the DHS Product Owner Roles and Responsibilities to the DHS team on January 28, 2021. (Gary provided the final DHS Product Owner Roles and Responsibilities document to IVV on 02/08/2021). 04/30/2020 - Mark Choi is becoming more involved in the project. Involved in Arch decisions and PM decisions around tool sets, future vision, etc. Day to day PM working closely w/ Gary and Emerald. We have no insight into other DHS staffing.	7/30/21 RAP - The ASi agrees that COVID at the time of the project posed a new risk to both schedule and budget for the project despite some increases related to the data variant. The AS team continues to maintain social distancing in the office in line with State mandates. However, the team has essentially reached the new normal in Honolulu. This includes fewer resources traveling and more conference calls; however, the project has adjusted to the lack of in-person meetings. In our off-site meetings, we still have staff working from home. We expect	
43	DHS PMO project team members have transitioned off the Project, which may cause gaps in knowledge transfer and leadership on the Project.	Ryan Tan	Finding - Issue	1/10/2020	Project Management	As reported in various project meetings, several key DHS PMO, BES and AS project team members are planning to retire or leave the project within the next few months or have already transitioned off the project. While there are plans and actions being taken, a formal transition/succession plan has not been documented. In January, the AS did an interview and interview an interim Project Manager, but a plan for a permanent replacement is not currently known.	The key resources leaving the BES Project provide knowledge and history of DHS and its software, solutions, and business processes, along with a level of consistency and continuity to the extended project team. This experience and knowledge is critical for the BES OOD and KOLEA Modifications, and planning efforts for BES Maintenance and Operations activities. Additionally, as per the budget, DHS stated if they are unable to fill these positions timely, DHS may fall out of federal funding compliance and lose the \$17 million needed matching funds for continued development of BES.	2/28/2022 - DHS consider other options (Contractors, State employees borrowed from other agencies) to fill these positions if there is ongoing difficulty in finding permanent hires. 5/31/2021 - DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions. - In progress. The state should document a transition plan for the project and PMO resources as identified in the RFP (reference RFP section 3.4.3 DHS Staffing). The plan should include the possible COVID-19 economic impact to the state budget, directly in relation to the project resources. - Closed The AS should document a transition plan for each key resource as required by the RFP (reference RFP section 3.5.3.2 Benefits Eligibility Solution Project Staffing 1). - Closed	ASAP	3	5 High	Open	10/31/2022 - No work has been performed regarding this finding due to the work stoppage and ongoing transition to the new AS. IVV will reassess our recommendations for this finding once more is known. 9/30/2022 - No material update in the reporting period. 8/31/2022 - DHS continues to seek applicants for the three PMO positions. These positions remain unfilled as of 7/29/2022 - DHS has received minimal applications for the open PMO positions therefore, they may fill the positions with contractors. IVV does not have visibility to the full impact of the delay in filling these positions. However, some of the administrative and contract management activities are significant and DHS assigned these activities to internal staff on an interim basis. 6/30/2022 - DHS continues to recruit for PMO resources. No other material updates for this reporting period. 5/31/2022 - DHS continues to recruit for PMO resources, but the three positions remain unfilled. However, some PMO responsibilities are being addressed through existing resources. For example, the contracted DHS PM has filled in leadership gaps and has positively impacted the Project. 4/29/2022 - No material updates for this reporting period. 3/31/2022 - DHS continues to recruit for these positions but received minimal interest to date. 2/28/2022 - DHS posted the PMO positions but are having difficulty identifying candidates. While online metrics show there is interest and the positions are being viewed, as of this date, there has only been one application. 1/28/2022 - No material updates in this reporting period. 12/30/2021 - No material updates in this reporting period. 11/26/2021 - No material updates in this reporting period. 10/31/2021 - No material updates in this reporting period. 9/30/2021 - The BES20 Administrator, serving as the interim DHS BES Project Manager resigned from DHS. To mitigate the knowledge and leadership gaps, DHS backfilled the DHS BES Project Manager with a contractor associate external BES project experience. The Assistant BES20 Administrator is transitioning to the new AS. It remains unclear what changes the new AS will make to the planned infrastructure and other technologies being implemented. IVV will continue to monitor the transition to include any infrastructure changes the new AS may adopt, if any. 9/29/22 - No material update for this reporting period. 8/30/22 - No material update for this reporting period. 7/31/22 - IVV remains concerned with the lack of clear communication around the planned configuration management tool and its intended use. DHS prefers Service Now but it is currently not funded, and IVV is unaware of contingency plans in the event Service Now funding is not approved. The project is currently assessing the additional level of effort that will be required to comply with the latest revision (Revision 3) of federally required security controls. IVV is concerned that the move to Revision 3 and potential impact to the project architecture have not been broadly communicated to stakeholders. 6/30/22 - The AS has stated that their cloud infrastructure will continue to evolve as the technology improves (or the cloud provider(s) make changes) and that some architecture decisions have yet to be finalized (e.g., use of Splunk vs. Dynatrace). IVV has little to no visibility into whether these changes are being effectively communicated to, or vetted by, the right stakeholders. Further, the Project has previously stated their intention to utilize ServiceNow (SM) for Configuration Management (CM), however, it remains unclear if progress has been made on finalizing this decision, how it will be used, how it will be licensed, division of responsibility between the AS/OOD/AS, and the status of funding for licenses. 5/31/22 - The AS's addition of resources including backfilling of key positions may help to increase communication of architecture changes. The AS stated they are evaluating the benefits of moving the BES personal (SP) off Oracle DBMS. 4/29/22 - The AS OCM team is developing a communication plan for 10/31/2022 - The BES Project is being assigned to the new AS and transition activities are underway therefore no work was performed on the BES deliverables in this reporting period. 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Schedule impacts from late deliverables are minimal during this stage of the Project as opposed to the planning/initiation stages where deliverables directly impacted subsequent activities. Given the reduced impact this finding has on the Project, IVV is lowering the criticality rating to 'Medium'. IVV has separate findings for the BES Project Schedule and BES-13 Security Plan deliverables. 6/30/2022 - The AS continues to monitor project activities that may impact the critical path and conduct meetings to address late activities. Although some late activities may not impact the critical path, they may impact ASi and DHS staffing since they need additional time to do the unplanned work. The Project reported development activities are coming behind in Release 8, 9 and 10, but only 10 is impacting the critical path. The ASi is reviewing remediation actions. Additionally, based on late activities in the schedule, the Project is updating the schedule further. 5/31/2022 - The Project continues to refine SDLC processes to improve.	02/08/2021 - Brian Donohoe does not agree with IVV's high-criticality rating on this finding (#43) and DHS rolled out the DHS Product Owner Roles and Responsibilities to the DHS team on January 28, 2021. (Gary provided the final DHS Product Owner Roles and Responsibilities document to IVV on 02/08/2021). 04/30/2020 - Mark Choi is becoming more involved in the project. Involved in Arch decisions and PM decisions around tool sets, future vision, etc. Day to day PM working closely w/ Gary and Emerald. We have no insight into other DHS staffing.	4/23/21 RAP - From the AS perspective, the changes to the project management coordination request have provided little impact on the overall project. At this point, the knowledge transfer gaps have been closed and the leadership of the project remains strong hands from DHS. We recommend that the IVV reassess the probability of impact and severity of impact and lower the overall rating for this risk. 3/3/2020 - The ASi PM stated the Project Coordinator position is filled and they will begin work on 3/9/2020, transition request activities from Donna will begin next month.	
29	Uncertainty and/or a lack of communication around long term architecture decisions could impact the project budget, schedule, system design, and planning decisions.	Michael Fors	Finding - Issue	5/28/2019	Project Management	Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASi and DHS have stated that they have reached agreement that the project will move forward with implementing two SaaS instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post-go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud.	The current project architecture and design should be as representative and inclusive of all known future solution plans as possible. As an example, if KOLEA and BES are to move to a single instance of SaaS in the future, planning for that integration should be incorporated into the project now. If such significant future changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.	The ASi continue to make updates to the BI-12 System Architecture Deliverable with additional details as they become available and with any architectural changes are finalized. Complete - The ASi should finalize the planning for that integration should be incorporated into the project now. - Stakeholders and project teams. Complete 3/31 - The Project should continue to vet possible architectural change impacts to the platform (e.g., AOA, Configuration Management tool(s), M and O, MQO, and BES systems) before finalizing architectural decisions. - DHS continue to request ASi perform due diligence in any recommendation for foundational architecture change decisions and continue to review with appropriate DHS stakeholders to assure a common understanding of the implications of these decisions. - The Project should continue to ensure communication between development leads and architecture leads to assure optimal collaboration on possible architecture changes that could impact decisions in each area. - Maintain current communication processes to ensure regular communication between the architecture team and the rest of the project team to assess impacts of architecture decisions to the Project.	ASAP	2	2 Low	Open	10/31/22 - Given that the project is transitioning to the new AS, it remains unclear what changes the new AS will make to the planned infrastructure and other technologies being implemented. IVV will continue to monitor the transition to include any infrastructure changes the new AS may adopt, if any. 9/29/22 - No material update for this reporting period. 8/30/22 - No material update for this reporting period. 7/31/22 - IVV remains concerned with the lack of clear communication around the planned configuration management tool and its intended use. DHS prefers Service Now but it is currently not funded, and IVV is unaware of contingency plans in the event Service Now funding is not approved. The project is currently assessing the additional level of effort that will be required to comply with the latest revision (Revision 3) of federally required security controls. 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Additionally, based on late activities in the schedule, the Project is updating the schedule further. 5/31/2022 - The Project continues to refine SDLC processes to improve.	06/30/2020 - Combined application is still planned. App still not finalized by DHS. From AR perspective, we are building a Library. Future integration of the portals is still to be determined, but is not more complex than originally planned for data sharing. If change is made to Adobe, this would require a CR.	4/23/21 RAP - The ASi will continue to refine the published schedule based on feedback from DHS and the IVV while we work through the final change request for the ATC which is nearing completion. Regarding the recommendations: Recommendation #1: Based on progress made to date, the ASi is hopeful, that we can agree in principle on the ATC change request in July and have a final schedule published by the end of the month. Recommendation #2: The team has reinitiated every other week status meetings and is tracking actions being taken on late work items.	
2	Late delivery of project deliverables has caused schedule delays.	Ryan Tan	Finding - Issue	11/28/2018	Project Management	Based upon the project schedule dated 11/26/18 (refer to schedule for specific), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Acceptance Documents (DEAs) requiring approval and acceptance from the State.	Late deliverables can lead to schedule impacts and too many late deliverables may cause significant disruption to schedules or delays. ****OLD****Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences in scope, schedule, cost, and quality parameters. Without a schedule that provides the required level of detail to manage the work, the project is at risk to be successful.	IN PROGRESS Despite not yet having a revised baseline schedule, continue monitoring and analyzing deliverables that may impact the critical path. COMPLETE 5/31/2021 - When the revised schedule is published the project team should restart the weekly practice of reporting actions being taken for late tasks and develop mitigation plans for those tasks that may be late. - Complete 4/30/2021, 7/29/2021, 12/30/2021 - DHS and the ASi agree to a revised schedule against which project deliverables can be managed. 9/30/2020 Recommendation - IVV recommends the project team evaluate the estimating process to determine if changes should be made to reduce the number of late tasks and/or conduct a root cause analysis to determine and address the root cause(s). - Closed 8/31/2020 Recommendations - Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASi, and IVV to include the Release 0.3 lessons learned. - Closed - Establish the process for DHS and the ASi to mutually agree to the revised project schedule baseline. - Complete - Establish the process for on-going schedule management and weekly updates, utilizing the Schedule Management sub-plan of the Project Management Plan (B1-04). - Complete 5/31/2020 - Finalize the updates to the project schedule to address the outstanding items/issues identified by DHS and IVV. - Closed 5/31/2020 - Establish the process for DHS and the ASi to mutually agree to the revised project schedule baseline. - Complete 5/15/2020 - The ASi is no longer maintaining the interim schedule. IVV recommends the ASi complete the Project Management Plan deliverable, work with DHS and IVV for review and edit as needed, and attain approval of the PMP. This will help ensure that all processes within the project management entity are thoroughly and	TBD	3	3 Med	Open	10/31/2022 - The BES Project is being assigned to the new AS and transition activities are underway therefore no work was performed on the BES deliverables in this reporting period. The AS transition is planned to complete in November, IVV will provide an update on this finding when the new AS begins work on the project deliverables. 9/30/2022 - The DHS work stoppage halted all efforts on project deliverables. IVV will continue to monitor this finding once the BES Project resumes. 8/30/2022 - The ASi is behind schedule with development activities which will impact the critical path. 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