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January 23, 2023

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

The Honorable Scott K. Saiki  
Speaker and Members of the  
House of Representatives  
Thirty-Second State Legislature  
State Capitol, Room 431  
Honolulu, Hawai'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 initial assessment received by the Office of Enterprise Technology Services for the State of Hawai'i, Department of Accounting and General Services, Enterprise Financial System Project.

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

Sincerely,

  
Douglas Murdock (Jan 23, 2023 13:35 HST)

Douglas Murdock  
Chief Information Officer  
State of Hawai'i

Attachment



# Monthly IV&V Status Report

OF THE

## Hawaii Department of Accounting and General Services

### Enterprise Financial System Project

December 15, 2022 – For the month of  
November 2022

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**Table i: Version History of the Plan**

Version	Delivered Date	Update Reason
DED1	August 22, 2022	Delivery of Deliverable Expectation Document (DED) by BerryDunn to State of Hawaii for review and feedback
DRAFT	December 7, 2022	Delivery of Draft report by BerryDunn to State of Hawaii for review and feedback
FINAL	December 15, 2022	Delivery of finalize report by BerryDunn to State of Hawaii

## 1.0 Executive Summary

In this section, BerryDunn has provided an overview of the Enterprise Financial System (EFS) Project (EFS Project) and current EFS Project Health Status.

### 1.1 EFS Project Overview

The EFS Project is designed to modernize and replace many of the State of Hawaii's (State's) financial management systems for executive branch departments. The State is executing a targeted approach to modernizing systems in core enterprise resource planning (ERP) areas. The State separated the large strategic ERP project originally envisioned into transactional pieces to improve the chance of success with each system. To date, the State has modernized human resources, gross-to-net payroll administration and processing, and time and leave management. The EFS Project, representing the finance dimension of ERP, will be the fourth component under this modernization effort.

On November 21, 2021, the State Office of Enterprise Technology Services (ETS) awarded Labyrinth Solutions, Inc. (invenioLSI) the contract for Solicitation RFP-ERP-2020, to implement the proposed system—SAP S/4HANA ERP cloud suite of applications—via a hosted managed service delivery model. The EFS is anticipated to include the following areas:

- Budget/finance
- Accounts payable and purchasing
- Travel and expenses
- Fixed assets
- Project accounting

The State has selected BerryDunn to perform Independent Verification and Validation (IV&V) services, to assist in the State's efforts to identify and reduce risks and issues and implement best practices to help ensure successful implementation of the EFS.

### 1.2 EFS Project Health Status

Table 1-1 below illustrates the individual health ratings BerryDunn used to rate the EFS Project Critical Components (i.e., key areas of the EFS Project that BerryDunn assessed) and Table 1-2 below illustrates the overall ratings for the EFS Project that BerryDunn used to determine the health of the EFS Project, and their corresponding rating definitions. The overall rating of the EFS Project is reflective of the calculated average of the individual EFS Project Critical Component ratings.

**Table 1-1: EFS Project Critical Components Rating Definitions**

Rating	Definition
<b>5 – Excellent</b>	No findings were identified by BerryDunn.
<b>4 – Good</b>	One or a few low-severity risk(s)/issue(s), one medium-severity risk/issue, and/or watch list items and/or observations were identified by BerryDunn.
<b>3 – Average</b>	Many low-severity risks/issues, a few medium-severity risks/issues, and/or one high-severity risk/issue was/were identified by BerryDunn and not logged in the EFS Project's risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.
<b>2 – Fair</b>	Many medium-severity risks/issues and/or a few high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project's risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.
<b>1 – Poor</b>	Many medium-severity risks/issues and/or many high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project's risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.

**Table 1-2: EFS Project Overall Monthly Status Definition**

Rating	Definition
<b>5.0 – 4.5</b>	Excellent health
<b>&lt;4.5 – 4.0</b>	Good health
<b>&lt;4.0 – 3.0</b>	Average health
<b>&lt;3.0 – 2.0</b>	Fair health
<b>&lt;2.0 – 1.0</b>	Poor health

Table 1-3 below shows the health ratings BerryDunn determined for the individual EFS Project Critical Components and overall EFS Project for its initial assessment and all monthly status reports. BerryDunn was unable to assess several EFS Project Critical Components because the efforts to be assessed for the correlating Task Items (i.e., specific evaluation criteria for each EFS Project Critical Component—see Appendix A) are not yet underway. As a result, these EFS Project Critical Components are marked with a “N/A” in Table 1-3 below.

**Table 1-3: Executive Summary of Health Ratings**

<b>EFS Project Critical Components</b>	<b>Initial Rating</b>	<b>First Monthly Rating</b>	<b>Second Monthly Rating</b>
EFS Project Management	1	1	1
Quality Management	3	3	3
Training	N/A	2	2
Requirements Management	2	2	2
Operating Environment	N/A	N/A	N/A
Development Environment	N/A	N/A	N/A
Software Development	3	3	3
System and Acceptance Testing	N/A	N/A	N/A
Data Management	N/A	N/A	N/A
Operations Oversight	N/A	N/A	N/A
<b>Overall EFS Project Health Rating (Average of EFS Project Critical Component Ratings):</b>	<b>2.25</b>	<b>2.20</b>	<b>2.20</b>



## 2.0 EFS Project IV&V Methodology

In this section, BerryDunn has provided details on our EFS Project IV&V Methodology (i.e., EFS Project Critical Components, EFS Project Rating Methodology, and Fact-Finding Process).

### 2.1 EFS Project Critical Components

BerryDunn has listed the EFS Project Critical Components below:

- EFS Project Management
- Quality Management
- Training
- Requirements Management
- Operating Environment
- Development Environment
- Software Development
- System and Acceptance Testing
- Data Management
- Operations Oversight

These EFS Project Critical Components, as well as their corresponding Task Items and Task Numbers, can be found in Appendix A.

### 2.2 EFS Project Rating Methodology

In Appendix B, BerryDunn has provided definitions for risk, issue, watch list item, observation, lessons learned perspective, and risk-/issue-related definitions (i.e., impact, probability, and severity), as well as tables defining the:

- Individual health ratings for the EFS Project Critical Components
- Overall health ratings for the EFS Project
- Levels of risk impact
- Levels of risk probability
- Levels of risk severity

- Common attributes for the levels of risk severity
- Common attributes for the levels of issue severity.

## 2.3 Fact-Finding Process

The subsections below contain descriptions of the fact-finding activities BerryDunn performed as a part of the Monthly Status Report.

### 2.3.1 Document Review

At the start of this engagement, the State's IV&V Contract Manager granted BerryDunn access to the EFS Project's SharePoint site for viewing EFS Project documentation. BerryDunn reviews EFS Project documents on an ongoing basis to better understand the EFS Project's status and to further inform potential findings and recommendations.

### 2.3.2 Direct Observation of EFS Project Meetings

BerryDunn attended several of the EFS Project's key recurring meetings to identify findings and potential recommendations for the EFS Project. BerryDunn worked with the EFS Project leadership and BerryDunn's State IV&V Contract Manager to determine the meetings BerryDunn would observe. Below in Table 2-1 is a list of EFS Project meetings BerryDunn observed.

**Table 2-1: BerryDunn's Observed Meetings and Related Information**

Meeting Date	Meeting Name/Purpose	IV&V Attendee(s)
11/01/2022	EFS Project – Targeted Discussions	Denise Lang
11/02/2022	OCM (Communications) Meeting	Denise Lang
11/02/2022	PMO Weekly Meeting	Denise Lang
11/03/2022	Technical Meeting	Jack Kreiser
11/04/2022	EFS Project – Targeted Discussions	Jack Kreiser
11/07/2022	Project Management Office (PMO) Work Plan Review	Denise Lang
11/09/2022	Risks, Issues, Opportunities, Decisions (RIO-D)	Jack Kreiser
11/09/2022	PMO Weekly Meeting	Denise Lang
11/10/2022	Development Meeting	Denise Lang
11/10/2022	EFS Project – Targeted Discussions	Jack Kreiser
11/14/2022	PMO Work Plan Review	Denise Lang
11/15/2022	EFS Project – Targeted Discussions	Denise Lang
11/16/2022	OCM (Communications) Meeting	Denise Lang



Meeting Date	Meeting Name/Purpose	IV&V Attendee(s)
11/16/2022	PMO Weekly Meeting	Jack Kreiser
11/17/2022	Data and Development Meeting	Denise Lang
11/17/2022	System Administration Meeting	Jack Kreiser
11/18/2022	EFS Project – Targeted Discussions	Jack Kreiser
11/21/2022	PMO Work Plan Review	Jack Kreiser
11/22/2022	EFS Project – Targeted Discussions	Jack Kreiser
11/23/2022	RIO-D	Denise Lang
11/23/2022	PMO Weekly Meeting	Jack Kreiser
11/28/2022	PMO Work Plan Review	Denise Lang
11/29/2022	EFS Project – Targeted Discussions	Denise Lang
11/30/2022	OCM (Communications) Meeting	Jack Kreiser

### 3.0 Detailed Findings and Recommendations

In this section, BerryDunn has included the findings and recommendations for the risks, issues, observations, watch list items, and lessons learned perspectives (including previously reported findings that remain open) we identified through this month's observed meetings and document review. For each risk and issue identified, BerryDunn provided a severity rating. Please note that observations, watch list items, and lessons learned perspectives do not have correlating severity ratings (see Appendix B for the definitions of these finding terms).

#### 3.1 Updated Risk and Issue Findings and Recommendations

BerryDunn revisited findings from the Initial Assessment Report to determine if risks/issues previously identified by BerryDunn:

- Were closed as resolved by the EFS Project and should be reopened—because their severity has worsened, or impact has manifested in a different way than when BerryDunn first identified them—or if BerryDunn agrees with the State's decision to close the respective risk/issue as resolved
- Were/are being mitigated/remediated by the EFS Project and now have an increased severity or have an impact that has manifested in a different way than when BerryDunn first identified them
- Were and/or are not being mitigated/remediated sufficiently by the EFS Project and are persisting and/or manifesting in a different way

Table 3-1 below details:

- Risks and issues that the State closed, and that BerryDunn agrees with as being resolved
- Risks and issues that the State closed, and that BerryDunn is recommending the State reopen
- Risk and issue refresh findings and correlating recommendations for all open risks/issues

**Table 3-1: Updated Risk and Issue Findings and Recommendations**

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
<u>Risks/Issues That Are or Are Recommended (by BerryDunn) to be Closed</u>			
(None identified at this time)			
<u>Risks/Issues That Are Open or Are Recommended (by BerryDunn) to be Reopened</u>			
<b>EFS Project Management</b>	<p><b>Original Finding:</b> Key initial EFS Project deliverables have either not been delivered by LSI or have been delivered and not been approved by the State on time.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 28 (IV&amp;V finding added into existing issue)</p> <p><b>Status:</b> In Process - <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn observed that the Project Standards deliverables (e.g., Project Charter, Scope Management Plan, Quality Management Plan) invenioLSI submitted to the EFS Project for review on October 31, 2022, have not been approved or sent to the Executive Steering Committee for final approval. BerryDunn understands the EFS Project team has decided to cancel regularly occurring meetings the week of December 5, 2022, to make availability for the deliverable reviewers and invenioLSI to hold deliverable review working sessions to discuss deliverable feedback. These sessions will result in the deliverable review period going beyond the 20-day EFS Project review period and delay the Executive Steering Committee's review period. BerryDunn continues to rate the severity of this issue as high because not having these Project Standards deliverables approved continues to delay the EFS Project from reviewing the direction and guidance these deliverables provide.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend conducting working sessions with invenioLSI to provide timely and verbal input on the key initial project deliverables and to make edits to them in real time where appropriate. BerryDunn</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>recommends that future deliverable review sessions be held during the 20-day EFS Project review period.</p> <p>BerryDunn also continues to recommend assigning a single deliverable owner to each deliverable to coordinate their review and approval. The EFS Project may also wish to consider the following techniques for improving the timeliness of finalizing future deliverables:</p> <ul style="list-style-type: none"> <li>• The deliverable owner conducts pre-review sessions of work-in-progress deliverables with invenioLSI prior to their formal submission for approval, to help reduce the amount of time the EFS Project and Executive Steering Committee need for review.</li> <li>• The deliverable owner schedules working sessions immediately upon receipt of deliverables to help ensure deliverable reviewers are able to attend the deliverable review working sessions without cancelling regularly occurring EFS Project meetings.</li> </ul> <p>BerryDunn recommends the EFS Project consider modifying and adopting the following deliverable review schedule for the EFS Project deliverable review period:</p> <ul style="list-style-type: none"> <li>• Week 1: <ul style="list-style-type: none"> <li>○ State deliverable review owner conducts initial review and provides feedback.</li> </ul> <p><i>Please consider this as a point in the review period in which the deliverable owner should reject low-quality deliverables (i.e., substantial gaps in meeting contractual obligations, DDD expectations, and/or EFS Project needs). Granting the deliverable owner this authority</i></p> </li> </ul>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>would help save the deliverable reviewers from needing to provide feedback on deliverables that are unlikely to be approved and allow for invenioLSI to rework their deliverables for resubmission sooner.</p> <ul style="list-style-type: none"> <li>○ InvenioLSI addresses/corrects formatting and minor quality issues.</li> <li>• Week 2: <ul style="list-style-type: none"> <li>○ Deliverable reviewers provide written feedback in a shared document.</li> </ul> </li> <li>• Week 3: <ul style="list-style-type: none"> <li>○ All deliverable reviewers who submitted comments attend working session(s) to review and reach consensus on approving, or steps for approving (if additional edits are needed), the deliverable.</li> <li>○ If additional edits are needed before approving the deliverable, invenioLSI makes updates to the deliverable based on feedback from deliverable reviewers.</li> </ul> </li> <li>• Week 4: <ul style="list-style-type: none"> <li>○ If additional edits are needed before approving the deliverable, InvenioLSI and deliverable reviewers conduct additional deliverable review sessions led by the deliverable owner to review invenioLSI's deliverable updates (based on feedback) and either approve the deliverable or reject the deliverable and provide invenioLSI with reasons for the rejection.</li> </ul> </li> </ul>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<ul style="list-style-type: none"> <li>InvenioLSI and EFS Project provide the deliverable to the Executive Steering Committee for their deliverable review and approval period.</li> </ul>
EFS Project Management	<p><b>Original Finding:</b> invenioLSI's deliverables and implementation phases/tasks (and related deadlines/durations) have not yet been confirmed and agreed upon with the State.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 18 (IV&amp;V finding added into existing issue)</p> <p><b>Status:</b> In Process - <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn understands invenioLSI has provided a draft Scope Management Plan, Deliverable Description Document, and Revised EFS Project Work Plan. BerryDunn believes reviewing, updating, and finalizing these deliverables will support the EFS Project in confirming expected deliverables and implementation phases/tasks. The Scope Management Plan, Deliverable Description Document, and Revised EFS Project Work Plan deliverables have been reviewed by the EFS Project and are scheduled to be revised in working sessions between invenioLSI and the EFS Project.</p> <p>BerryDunn also understands that invenioLSI and the EFS Project have submitted a proposed contract supplement to the State to adjust the timeline, deliverable due dates, and departments included so that additional State departments can be more involved and the timeline is more achievable.</p> <p><b>Updated Recommendation:</b> BerryDunn believes the EFS Project is taking an effective approach in providing the State with a contract supplement to make the planned delivery dates more achievable as well as conducting working sessions to complete the Project Standards deliverables, which will help ensure agreement between invenioLSI and the State on deliverables and implementation phases/tasks.</p> <p>If the contract supplement is not approved by the State, BerryDunn recommends the EFS Project and invenioLSI discuss increasing the number of resources dedicated to the EFS Project</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			and implement measures to monitor the on-time completion of critical path tasks, as the scale of tasks that are currently late or behind schedule indicate a November 2023 go-live date is likely not achievable with the current resources and approach.
EFS Project Management	<b>Original Finding:</b> The EFS Project's deliverable review and approval process in not effectively moving deliverables through the approval process. <b>Severity: High</b>	<b>Reference Number:</b> Issue 29 (IV&V finding added into existing issue) <b>Status:</b> In Process - <b>High</b>	<b>Updated Finding:</b> BerryDunn observed that the EFS Project has scheduled review sessions with invenioLSI to discuss feedback on Project Standards deliverables. These sessions will result in the deliverable review period going beyond the 20-day EFS Project review period and delay the Executive Steering Committee's review period. <b>Updated Recommendation:</b> <i>Please see BerryDunn's recommendation on Reference # Issue 28 in regard to timely completion and approval of Prepare Phase deliverables.</i>
EFS Project Management	<b>Original Finding:</b> There appears to be misunderstanding in regard to invenioLSI's Organizational Change Management (OCM) approach. <b>Severity: Medium</b>	<b>Reference Number:</b> Issue 30 <b>Status:</b> In Process - <b>Medium</b>	<b>Updated Finding:</b> BerryDunn understands the EFS Project has replaced its invenioLSI OCM lead. The new invenioLSI OCM Lead started on December 2 and is new to invenioLSI and its OCM approach. <b>Updated Recommendation:</b> BerryDunn recommends invenioLSI's Project Director conduct extensive onboarding with invenioLSI's OCM Lead, which should include initial training on invenioLSI's proposed OCM approach, activities, and deliverables for the EFS Project as well as the current status of the EFS Project and OCM tasks/deliverables. BerryDunn also recommends invenioLSI's Project Director consider including the State OCM Lead in some of these onboarding sessions to learn more about invenioLSI's OCM approach and to provide context on the current status of related tasks/deliverables.



EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<i>Please see BerryDunn's recommendation on Reference # Issue 31 in regard to aligning expectations and priorities with the new invenioLSI OCM Lead.</i>
<b>EFS Project Management</b>	<p><b>Original Finding:</b> Initial OCM deliverables and related efforts have not been completed on time.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 31</p> <p><b>Status:</b> In Process - <b>High</b></p>	<p><b>Updated Finding:</b></p> <p>BerryDunn has continued to observe that the OCM workstream has not conducted change management engagement and communication activities (e.g., town hall meetings, stakeholder awareness memos, project website, and outreach memos from the EFS Project) that were originally proposed as part of invenioLSI's approach. These activities were originally intended to engage potential stakeholders and generate awareness at the start of the EFS Project.</p> <p>BerryDunn understands that the EFS Project experienced difficulties in effectively conducting some of the explore sessions in part due to EFS Project stakeholders having limited understanding of:</p> <ul style="list-style-type: none"> <li>• The EFS Project implementation process</li> <li>• Their expected level of involvement in the EFS Project</li> <li>• State requirements for use of the EFS</li> <li>• The EFS Project's goal to align business processes with best practices and minimize customizations</li> <li>• The EFS Project's intended benefits</li> </ul> <p>BerryDunn understands the EFS Project is awaiting onboarding of a new invenioLSI OCM Lead and a State Communications Manager. However, BerryDunn remains concerned that the EFS Project is engaging with stakeholders during explore sessions who have received little or no outreach from the EFS Project (including the OCM workstream) regarding the EFS Project to-date.</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p><b>Updated Recommendation:</b></p> <p>BerryDunn recommends invenioLSI and EFS Project Leadership help ensure that OCM efforts align with the critical needs of the EFS Project by working with the new invenioLSI OCM Lead to:</p> <ul style="list-style-type: none"> <li>• Identify priorities and to direct OCM efforts to tasks that focus on stakeholder engagement, leadership alignment, and user readiness assessment.</li> <li>• Identify key OCM efforts that can begin or be planned while the contract supplement is being reviewed.</li> <li>• Draft and distribute messaging to stakeholders identified and involved in the current EFS Project scope to provide them with an understanding of the goals of the EFS Project and the intended benefits of the EFS (both for the State and their specific agency). This message, once established by the OCM workstream, can be retailored and distributed to new group of stakeholders if/when the contract supplement is approved.</li> </ul> <p>BerryDunn also recommends the invenioLSI's Project Manager and OCM Lead present to the EFS Enterprise Program Manager with additional steps that might need to be taken to address negative impacts that have occurred as a result of not having completed the Prepare Phase OCM activities on time.</p> <p>BerryDunn recommends the EFS Project postpone further explore sessions and other efforts that involve input from EFS Project stakeholders until the OCM workstream can complete the Prepare Phase OCM activities proposed in invenioLSI's proposal.</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<i>Please see BerryDunn's recommendation on Reference # Issue 30 in regard to onboarding the new invenioLSI OCM Lead.</i>
<b>EFS Project Management</b>	<p><b>Original Finding:</b> There appears to be a misalignment between the EFS Project and Spire Hawaii in regard to EFS Project stakeholder engagement efforts.</p> <p><b>Severity:</b> Low</p>	<p><b>Reference Number:</b> Issue 32</p> <p><b>Status:</b> In Process - Low</p>	<p><b>Updated Finding:</b> BerryDunn observed another example of this issue negatively impacting the EFS Project when Spire Hawaii extended explore session invitations to resources beyond those originally identified by the EFS Project. This limited the effectiveness of the explore sessions conducted to-date, as many of these additional attendees had not received communications regarding the purpose, plan, and status of the EFS Project. As a result, these additional attendees raised concerns during the explore sessions that were not pertinent to and detracted from accomplishing the intended meeting purpose.</p> <p>BerryDunn understands the DAGS Accounting Division (which holds the contract that includes Spire Hawaii's involvement on the EFS Project, among other duties) has published an RFP for a vendor to provide similar services, given Spire Hawaii's contract ended on December 5.</p> <p><b>Updated Recommendation:</b> BerryDunn recommends the EFS Project change the status of this issue to Addressed given Spire Hawaii is no longer on the EFS Project. If Spire Hawaii is not awarded the upcoming contract, BerryDunn expects to recommend this risk be closed.</p> <p><i>Please Note: BerryDunn has added a new finding in this report (Risk 1) relating to a similar risk that might negatively impact the EFS Project once DAGS Accounting Division has awarded the contract.</i></p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
EFS Project Management	<p><b>Original Finding:</b> There appears to be misalignment between the EFS Project, Spire Hawaii, and GFOA in regard to efforts on the EFS Project.</p> <p><b>Severity:</b> Medium</p>	<p><b>Reference Number:</b> Issue 33</p> <p><b>Status:</b> In Process - Medium</p>	<p><b>Updated Finding:</b> BerryDunn understands that Spire Hawaii's contract is set to expire on December 5, 2022, and that an RFP has been issued for a new contract for similar services. BerryDunn notes that the alignment of efforts between the EFS Project and Spire Hawaii has improved since Spire Hawaii has been included in EFS Project meetings and initiatives.</p> <p>BerryDunn also observed that, while GFOA is still working with B&amp;F and continues to have a role in the EFS Project, GFOA is not always included in all EFS Project discussions related to their area of focus on the EFS Project and at times is reliant upon update from B&amp;F regarding the approach of and updates on the EFS Project.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend EFS Project hold discussions with Executive Sponsors and leadership from DAGS and B&amp;F to clarify and further document the expected role of outside consulting groups contracted by DAGS and B&amp;F. If outside consulting groups continue to act on behalf of agencies on the EFS Project, the EFS Project would benefit from helping to ensure these outside consulting groups are aware of the status, priorities, and direction of the EFS Project.</p>
EFS Project Management	<p><b>Original Finding:</b> The planned go-live date of November 2023 for the Core Phase might not be achieved.</p> <p><b>Severity:</b> High</p>	<p><b>Reference Number:</b> Risk 45</p> <p><b>Status:</b> Implement Mitigation - High</p>	<p><b>Updated Finding:</b> BerryDunn understands invenioLSI and the EFS Project have submitted a contract supplement request to the State which, if approved, would modify the implementation approach (so that additional State departments can be more involved in the EFS Project) and timeline (so that the go-live date is more achievable.)</p> <p>BerryDunn has continued to observe the EFS Project conducting explore sessions prior to the completion of all Prepare Phase</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>activities (i.e., initial identification of stakeholders and requirements and completion of OCM kickoff activities, Project Standards deliverables, and a resource-loaded workplan).</p> <p><b>Updated Recommendation:</b> BerryDunn agrees with the State's efforts to modify the EFS Project's implementation approach and timeline. BerryDunn continues to recommends the EFS Project work to complete outstanding Prepare Phase tasks prior to proceeding with explore sessions.</p>
EFS Project Management	<p><b>Original Finding:</b> invenioLSI Deputy Project Directors might not be able to efficiently execute invenioLSI's EFS Project approach.</p> <p><b>Severity:</b> <b>Medium</b></p>	<p><b>Reference Number:</b> Risk 46</p> <p><b>Status:</b> Monitor - <b>Medium</b></p>	<p><b>Updated Finding:</b> BerryDunn observed that invenioLSI Deputy Project Directors are continuing to complete key EFS Project planning deliverables, with minimal delays in the invenioLSI Deputy Directors engaging with the invenioLSI Project Director for key decisions and approvals.</p> <p><b>Updated Recommendation:</b> BerryDunn recommends the EFS Project continue to monitor this risk while the contract supplement is under review.</p>
EFS Project Management	<p><b>Original Finding:</b> Functional Primaries are now unable to validate the EFS requirements because they were not involved in requirements gathering and had minimal involvement in reviewing the requirements prior to</p>	<p><b>Reference Number:</b> Risk 48</p> <p><b>Status:</b> New - <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn understands invenioLSI and the EFS Project have submitted a contract supplement that, if approved, would increase the number of State agencies engaged in the EFS Project to introduce departments to the EFS and identify gaps between the GovOne functionality and department needs. Therefore, BerryDunn understands that the EFS Project has not yet conducted stakeholder engagement activities with EFS Project stakeholders outside of DAGS Accounting Division and B&amp;F.</p> <p>BerryDunn observed the EFS Project is experiencing challenges with explore sessions with DAGS Accounting Division and B&amp;F. Both Spire Hawaii and leadership from DAGS and B&amp;F forwarded</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
	<p>their posting in the State's EFS RFP.</p> <p><b>Severity: High</b></p>		<p>explore session invitations to a broader group of attendees beyond what was planned by the EFS Project. This limited the effectiveness of the explore sessions conducted to-date, as many of these additional attendees had not received communications regarding the purpose, plan, and status of the EFS Project. As a result, these additional attendees raised topics during the explore sessions that were not pertinent to and detracted from accomplishing the intended meeting purpose, such as:</p> <ul style="list-style-type: none"> <li>• How DAGS and B&amp;F process flows will relate to their specific department's business needs.</li> <li>• The State's goal to modernize and standardize and whether changes could be made to the GovOne system to work like their current system.</li> <li>• Basic system functionality.</li> </ul> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend pausing explore sessions until Prepare Phase tasks and deliverables have been completed, including identifying and engaging with all EFS Project stakeholders. BerryDunn believes completing all Prepare Phase tasks and deliverables will help ensure EFS Project stakeholders are well informed and prepared to provide insights to the EFS Project on how to meet their departments' needs.</p> <p>Once the EFS Project has completed all Prepare Phase activities and is ready to resume explore sessions, BerryDunn recommends limiting the attendance at future explore sessions to a smaller group of subject matter experts (SMEs) tasked with representing their departments, focusing on how fully the process flow addresses their requirements, and explaining the gaps (if any).</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			BerryDunn recommends future explore session meeting invites use settings that prevent the meeting from be forwarded.
EFS Project Management	<p><b>Original Finding:</b> Functional Primaries are minimally available to provide input to the EFS Project due to high vacancy rates.</p> <p><b>Severity:</b> High</p>	<p><b>Reference Number:</b> Issue 26 (IV&amp;V finding added into existing issue)</p> <p><b>Status:</b> Open - High</p>	<p><b>Updated Finding:</b> BerryDunn continues to observe that Functional Primaries are minimally available to provide input to the EFS Project due to high vacancy rates.</p> <p>BerryDunn understands GFOA has filled the role of EFS Project representative for B&amp;F. BerryDunn also understands Spire Hawaii's contract, which in part allowed for Spire Hawaii to fill the role of EFS Project representative for DAGS Accounting Division, expired on December 5, 2022. While DAGS Accounting Division is currently working to select a new vendor to provide similar services, there currently is a gap between the end of Spire Hawaii's current contract and the beginning of any new vendor contract for supporting DAGS Accounting Division. BerryDunn observed that, while this gap have been escalated to the Executive Steering Committee, it remains to be determined how tasks DAGS Accounting Division is responsible for executing during this gap period will be completed.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS Project develop a resourcing plan that includes estimates on how many hours will be required from each EFS Project resource to complete tasks and does not exceed EFS Project resource availability (i.e., identifying and leveling periods where resources are overallocated). Developing a resource-loaded workplan will help ensure the EFS Project's workplan is feasible in</p>



EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>regard to the planned go-live date and minimally available State resources.</p> <p>BerryDunn recommends the EFS Project review its task expectations of DAGS Accounting Division during this gap period and adjust the EFS Project workplan accordingly if DAGS Accounting Division is unable to meet the task expectations.</p>
<b>EFS Project Management</b>	<p><b>Original Finding:</b> The EFS Project has developed a Core Phase schedule prior to allocating the expected State resource hours into the EFS Project Work Plan, confirming these expectations with the State, and ensuring State resources are available as agreed upon.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Risk 47</p> <p><b>Status:</b> New - <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn understands the EFS Project has revised the EFS Project workplan to include resources that are planned to complete each task. However, BerryDunn observed the EFS Project has not calculated the anticipated number of hours required for each resource to complete these tasks to help ensure the workplan is feasible. While the EFS Project has stated it plans to review the alignment of resources and tasks at the start of each phase, BerryDunn has not observed this despite explore sessions already occurring. BerryDunn has also not observed the EFS Project communicating expectations to allocated resources the anticipated number of hours required for each resource to complete these tasks.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS Project develop a resourcing plan that includes estimates on how many hours will be required from each EFS Project resource to complete tasks and does not exceed EFS Project resource availability (i.e., identifying and leveling periods where resources are overallocated). Developing a resource-loaded workplan will help ensure the EFS Project's workplan is feasible in regard to the planned go-live date and available resources. Furthermore, as the EFS Project engages with more stakeholder groups, it will become increasingly important to have accurate and</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			clearly communicated estimates for their expected level of involvement.
Quality Management	<p><b>Original Finding:</b> The Executive Sponsors and State EFS Project Leadership feel deliverables provided by invenioLSI to date have not met the State's quality expectations.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 34</p> <p><b>Status:</b> In Process - <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn observed the State EFS Project team has identified quality issues in the Project Standards deliverables submitted by invenioLSI. These issues included:</p> <ul style="list-style-type: none"> <li>• Broken hyperlinks</li> <li>• Missing table of contents</li> <li>• Acronyms not identified</li> <li>• Illegible diagrams</li> <li>• Use of screenshots for tables that could require modification</li> <li>• Not providing enough detail regarding or misidentifying what steps are required for each task/process, who is responsible for executing it, and when it will be done</li> <li>• Not clearly defining key phrases or metrics</li> </ul> <p>BerryDunn also notes that the Deliverable Description Document (DDD) was created to encompass all 26 paid deliverables and was submitted at the same time as the Project Standard deliverables, leaving not opportunity to review and approve in advance and to set expectations for the deliverables themselves.</p> <p><b>Updated Recommendation:</b> <i>Please see BerryDunn's recommendation on Reference # Issue 28 in regard to timely feedback loops for EFS Project deliverables.</i></p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
Requirements Management	<p><b>Original Finding:</b> The EFS Project has not yet identified and documented a comprehensive list of EFS end users and system interfaces, and invenioLSI and the State are not aligned on expectations for who will identify them.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 35</p> <p><b>Status:</b> In Process - <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn understands that if the contract supplement is approved, the EFS Project and invenioLSI will be aligned on and be able to increase the scope of State agencies that will use the EFS and proceed with identifying which specific end users outside of DAGS and B&amp;F that will need to be engaged during the EFS Project. Identifying State agencies that will use the EFS will also help allow the EFS Project to inventory the systems that will interface with the EFS.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend that, during the Prepare Phase, the EFS Project inventory all systems that will need to interface with the EFS and all end users that will interact with the EFS to better understand the scope/complexity of the EFS Project and help inform its approach.</p>
Requirements Management	<p><b>Original Finding:</b> Not all the specific needs of departments will be met by standard GovOne functionality and will not be identified or addressed during the Explore and Realize phases.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Risk 16</p> <p><b>Status:</b> New - <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn understands invenioLSI and the EFS Project have submitted a contract supplement that, if approved, would increase the number of State agencies engaged in the EFS Project to introduce departments to the EFS and identify gaps between the GovOne functionality and department needs. Therefore, BerryDunn understands that the EFS Project has not yet conducted stakeholder engagement activities with EFS Project stakeholders outside of DAGS Accounting Division and B&amp;F.</p> <p>BerryDunn also understands the EFS Project has worked to conduct explore sessions with DAGS Accounting Division and B&amp;F resources to determine whether the GovOne functionality will meet their needs, but has experienced challenges with conducting these sessions in part due to Spire Hawaii and B&amp;F forwarding of explore session meeting invites to stakeholders not identified by the EFS Project as planned attendees. Many of these additional</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>invitees have received no stakeholder outreach messaging from the EFS Project or introduction to the EFS, which in part detracted from achieving the purpose of the explore sessions.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend pausing explore sessions until Prepare Phase tasks and deliverables have been completed, including identifying and engaging with all EFS Project stakeholders. BerryDunn believes completing all Prepare Phase tasks and deliverables will help ensure EFS Project stakeholders are well informed and prepared to provide insights to the EFS Project on how to meet their departments' needs.</p>
Requirements Management	<p><b>Original Finding:</b> The SAP configuration for user security currently planned for the State's implementation might not have the capabilities to meet the State's needs for managing user roles and privileges.</p> <p><b>Severity:</b> Medium</p>	<p><b>Reference Number:</b> Risk 49</p> <p><b>Status:</b> New - Medium</p>	<p><b>Updated Finding:</b> BerryDunn understands the EFS Project will be using SAP Cloud Identity Services to manage user roles and privileges, which will provide technical capabilities to better meet the State's needs. However, if the contract supplement is approved and the number of agencies involved increases, the EFS Project might not have the capabilities to meet the unique needs for managing user roles and privileges of each agency.</p> <p><b>Updated Recommendation:</b> BerryDunn recommends continuing to monitor this risk as the EFS Project works to identify stakeholders and their requirements.</p>
Software Development	<p><b>Original Finding:</b> The EFS Project does not have a clear "Definition of Done"</p>	<p><b>Reference Number:</b> Risk 50</p> <p><b>Status:</b> Implement Mitigation - High</p>	<p><b>Updated Finding:</b> BerryDunn observed that, while invenioLSI had delivered draft Quality Management Plan for the EFS Project to review, a Definition of Done for the configuration of the EFS was not included.</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
	for configuration of the EFS. <b>Severity: High</b>		<p><b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS Project develop a Definition of Done during the Prepare Phase to help ensure the EFS Project has a consistent and measurable standard for quality and completeness for configuration of the EFS before moving into the Explore Phase. The EFS Project might consider incorporating this into a revised version of the Quality Management Plan. The Definition of Done should:</p> <ul style="list-style-type: none"> <li>Specify the criteria and standards that determine that the implemented EFS completely and correctly meets the technical and functional requirements.</li> <li>Provide an overview on how invenioLSI and the EFS Project will work together to help ensure State usability and behavior requirements are met.</li> </ul>
<b>Software Development</b>	<p><b>Original Finding:</b> Some invenioLSI EFS Project resources might not be able to efficiently execute invenioLSI's EFS Project approach.</p> <p><b>Severity: Medium</b></p>	<p><b>Reference Number:</b> Risk 46</p> <p><b>Status:</b> Monitor - <b>Medium</b></p>	<p><b>Updated Finding:</b> BerryDunn has not been able to observe a demonstrated understanding of testing, training, OCM, and stakeholder outreach from the invenioLSI EFS Project resources as these activities have largely not occurred at the current stage of the EFS Project.</p> <p>BerryDunn observed that invenioLSI has identified a new OCM Lead without previous experience with invenioLSI or their OCM approach.</p> <p><b>Updated Recommendation:</b> BerryDunn recommends continuing to monitor this risk as the EFS Project continues to define and propose modifications to its approach via the contract supplement and finalizing the EFS Project Standards. If the EFS Project's contract supplement is approved, BerryDunn recommends the invenioLSI's Project Director connect individually with each invenioLSI workstream lead to confirm their understating of how</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>the changes will impact invenioLSI's approach and responsibilities.</p> <p>BerryDunn recommends invenioLSI's Project Director conduct extensive onboarding with invenioLSI's OCM Lead, which should include initial training on invenioLSI's proposed OCM approach, activities, and deliverables for the EFS Project as well as the current status of the EFS Project and OCM tasks/deliverables. BerryDunn also recommends invenioLSI's Project Director consider including the State OCM Lead in some of these onboarding sessions to learn more about invenioLSI's OCM approach and to provide context on the current status of related tasks/deliverables.</p>
Training	<p><b>Original Finding:</b> State EFS Project team members do not have access to an environment in which they are able gain hands-on experience with the system to supplement their web-based training.</p> <p><b>Severity: High</b></p>	(Not Logged in the EFS Project's Issue Log or Risk Register)	<p><b>BerryDunn's Findings:</b> BerryDunn observed that invenioLSI made progress in creating an environment (Environment 500) for State resources to train in, although this environment is still not available to the State. BerryDunn continues to note invenioLSI's Best and Final Offer indicates the State would have access from "day one" to a prototype system for hands-on experience. While invenioLSI previously delivered a prototype of the GovOne system, this environment did not have data that could be used for training. The State therefore continues to not have a usable training environment.</p> <p><b>BerryDunn's Recommendation:</b> BerryDunn continues to recommend the EFS Project make it a priority during the Prepare Phase to provide users with a training environment populated with usable data. BerryDunn recommends the EFS Project pause explore sessions until invenioLSI has provided end users with the tools needed to train on the EFS. BerryDunn believes providing a</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			training environment will help enable the EFS Project to build desire to adopt and knowledge of the EFS among end-users.
Training	<p><b>Original Finding:</b> State EFS Project team members have not been provided with role-based learning plans.</p> <p><b>Severity: High</b></p>	(Not Logged in the EFS Project's Issue Log or Risk Register)	<p><b>BerryDunn Findings:</b> BerryDunn understands invenioLSI and State workstream leads have identified sample role-based learning plans from invenioLSI and that the plans are under review by invenioLSI and State workstream leads. However, learning plans have not yet been tailored/finalized or communicated to end-users. BerryDunn also understands that development and assigning of learning plans continues to be delayed until the EFS Project team identifies post-go live roles and responsibilities.</p> <p><b>BerryDunn Recommendations:</b> BerryDunn continues to recommend:</p> <ul style="list-style-type: none"> <li>• invenioLSI complete the development of learning plans during the Prepare Phase based on expected post implementation roles.</li> <li>• The State EFS Project team assign those learning plans to State team members based on their key focus areas.</li> <li>• The State EFS Project team prioritize defining post implementation roles for team members.</li> </ul> <p><i>Please see BerryDunn's recommendation on Reference # Issue 31 in regard to postponing further explore sessions.</i></p>
<b>Risks/Issues That Have Manifested From Previous Finding</b>			
(None identified at this time)			



### 3.2 Updated Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations

In Table 3-2 below, BerryDunn has included updated findings and recommendations for the previously reported observations, watch list items, and lessons learned perspectives that remain open.

**Table 3.2: Updated Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations**

EFS Project Critical Component	BerryDunn's Finding(s)	BerryDunn's Recommendation
<b>EFS Project Management</b>	<b>Original Watch List Finding:</b> The EFS Project has not documented or communicated its Software Development Life Cycle (SDLC) approach.	<b>Updated Finding:</b> No new findings. <b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS project define, document, and socialize the EFS Project's SDLC approach.
<b>EFS Project Management</b>	<b>Original Observation:</b> BerryDunn observed that many—but not all—of the EFS Project Workstreams have demonstrated effective project communication by adhering to an increased schedule of team meetings and implementing meeting best practices including providing agendas, recording, distributing meeting notes, and tracking action items in an Action Item Log.	<b>Updated Finding:</b> No new findings. <b>Updated Recommendation:</b> BerryDunn continues to note that there are opportunities for further improvement within the OCM and Functional workstreams to fully adopt these practices. BerryDunn continues to recommend the EFS Project PMO communicate the importance of consistently applying these practices across the EFS Project and working toward 100% compliance across all EFS Project workstreams. BerryDunn recommends the PMO for the EFS Project also consider using the recent and upcoming changes of key EFS Project resources. (e.g., invenioLSI OCM Lead and State Project Manager) as an opportunity to reset expectations for meeting best practices across the EFS Project.

### 3.3 New Risk and Issue Findings and Recommendations

In Table 3-3, BerryDunn has listed its new risk and issue findings and recommendations for the Monthly IV&V Status Report. For this review of the EFS Project, BerryDunn identified two new issue findings. For these new findings, BerryDunn determined two to be of high-level severity and one to be of medium-level severity.

**Table 3-3: New Risk and Issue Findings and Recommendations**

EFS Project Critical Component	BerryDunn's Finding(s)	BerryDunn's Detailed Findings and Recommendation
EFS Project Management	<p><b>Issue 1:</b> The recently hired EFS Project Manager has resigned</p> <p><b>Severity: High</b></p>	<p><b>BerryDunn's Findings:</b> BerryDunn observed the recently hired State Project Manager resigned and the position remains open. This is a critical position on the EFS Project team and the absence of a project manager is:</p> <ul style="list-style-type: none"> <li>• Resulting in assigned Action items and workplan tasks being delayed.</li> <li>• Increase workloads for EFS Project resources, particularly the State's Enterprise Program Manager.</li> </ul> <p>BerryDunn also observed that the State Enterprise Program Manager is working on a request to secure approval for a contractor to provide project management services to close this gap as quickly as possible. Without approval of this request, BerryDunn believes the Project Manager role will go unfilled for an extended period of time while the State works through the standard State hiring process which will likely continue to result in negative impacts to the EFS Project.</p> <p><b>BerryDunn's Recommendation:</b> BerryDunn recommends that the Enterprise Program Manager and EFS Project team put a plan in place to cover the responsibilities of the project manager position in the interim and communicate that plan to the broader EFS Project team and stakeholders while the State work to determine how this position will be filled. If the State Project Manager cannot hire a EFS Project Manager, BerryDunn recommends the EFS Project adjust the timeline, deliverable due dates, and resources included so the timeline is more achievable.</p>

EFS Project Critical Component	BerryDunn's Finding(s)	BerryDunn's Detailed Findings and Recommendation
EFS Project Management	<p><b>Risk 1:</b> The EFS Project does not appear to have a clear plan for how Spire Hawaii's role on the EFS Project will be covered between the time when their contract with DAGS' Accounting division ends and a new RFP for similar services is awarded to a selected vendor.</p> <p><b>Severity: High</b></p>	<p><b>BerryDunn Findings:</b> BerryDunn understands the DAGS Accounting Division (which holds the contract that includes Spire Hawaii's involvement on the EFS Project, among other duties) has published an RFP for a vendor to provide similar services given Spire Hawaii's contract ended on December 5. Given that the vendor has not yet been selected to perform this work, BerryDunn believes the EFS Project might experience challenges relating to completing Prepare and Explore phase tasks.</p> <p><b>BerryDunn Recommendations:</b> BerryDunn recommends the EFS Project review the workplan and identify all open tasks for the period preceding the anticipated date DAGS Accounting Division will award a contract to the selected vendor and start working on the EFS Project. BerryDunn recommends the EFS Project then connect with DAGS Accounting Division to discuss these tasks and identify specific DAGS Accounting Division resources who will complete these tasks. BerryDunn recommends the PMO add these identified DAGS Accounting Division resources to regularly occurring EFS Project meeting related to their assigned tasks.</p>

EFS Project Critical Component	BerryDunn's Finding(s)	BerryDunn's Detailed Findings and Recommendation
<b>EFS Project Management</b>	<p><b>Risk 2:</b> The EFS Project might experience misalignment with the vendor that DAGS Accounting Department selects regarding EFS Project efforts.</p> <p><b>Severity: Medium</b></p>	<p><b>BerryDunn's Findings:</b> BerryDunn understands Spire Hawaii's contract with DAGS Accounting Division—which included efforts to support the DAGS in fulfilling their role within the EFS Project—ended on December 5. BerryDunn's believes that the misalignment of stakeholder engagement efforts experienced with Spire Hawaii (see Issue 32 above) were due, in part, to Spire Hawaii's contract being held by DAGS Accounting Department (not the EFS Project). Given this same approach will be used for contracting with the selected vendor to support the EFS Project, BerryDunn believes there is potential for future misalignment with the EFS Project.</p> <p><b>BerryDunn's Recommendation:</b> BerryDunn recommends, once a contract is in place for the selected vendor, the EFS Project conduct an onboarding meeting with representatives from both the vendor and DAGS Accounting Department to discuss roles and responsibilities of the vendor within the EFS Project and align them with the EFS Project.</p>

### 3.4 New Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations

In Table 3-4, BerryDunn has listed its new observation, watch list item, and lessons learned perspective findings and recommendations for the Monthly IV&V Status Report. For this review of the EFS Project, BerryDunn identified one new observation finding and two watch list items.

**Table 3-4: New Observations, Watch List Items, and Lessons Learned Perspective Findings and Recommendations**

EFS Project Critical Component	BerryDunn's Finding(s)	BerryDunn's Recommendation
<b>EFS Project Management</b>	<p><b>Observation Item 1:</b> The EFS Project is effectively distinguishing between planned tasks in the EFS Project workplan and unanticipated work in the Action Log, with workstreams increasing ownership of monitoring and escalating Action Log items.</p>	<p><b>BerryDunn's Recommendation:</b> BerryDunn agrees with the EFS Project's approach and recommends the EFS Project workstream leads continue to take on increased responsibilities in addressing and/or escalating Action Log items.</p>

EFS Project Critical Component	BerryDunn's Finding(s)	BerryDunn's Recommendation
Data Management	<b>Watchlist Item 1:</b> Currently, no agreement exists between invenioLSI and the State on how much, and which, legacy data to move over to the new EFS.	<b>BerryDunn's Recommendation:</b> BerryDunn recommends the EFS Project team conduct an initial conversation with all relevant State resources—including agency and department leaders and ETS staff—and invenioLSI to begin discussions on the State expectations and best practices for data migration.
Operations Oversight	<b>Watchlist Item 2:</b> Currently, there is no plan for who will update existing State accounting manuals (i.e., process job aids) in State departments, who will identify and track required changes, and how those required changes will be communicated to relevant parties.	<b>BerryDunn's Recommendation:</b> BerryDunn recommends that the EFS Project include tasks for and assign resources to these activities when replanning and developing a new resource loaded project schedule.

## 4.0 BerryDunn

BerryDunn is a national consulting and certified public accounting firm with a Government Consulting Group dedicated to serving state and local government agencies. BerryDunn was formed in 1974 and has experienced sustained growth throughout its 48-year history. Today, BerryDunn employs 800+ personnel with headquarters in Portland, Maine—and office locations in Arizona, Connecticut, Massachusetts, New Hampshire, Puerto Rico, and West Virginia. The firm has experienced professionals who provide a full range of services, including IT consulting; management consulting; and audit, accounting, and tax services.

BerryDunn's State Government Practice Group provides a variety of independent services to state agencies in need of understanding the health and effectiveness of their programs and processes. To assist in these efforts, BerryDunn provides an independent and proven audit methodology—in conjunction with state-established processes, tools, and templates—which includes a clear and actionable mitigation strategy.

BerryDunn regularly performs audits of IT and business organizations and their processes, as well as the interactions they have with other agencies and departments. Independent audits and project assessments are core to our consulting practice, and our project teams have conducted enterprise-wide strategic risk assessments, project audits, and project health assessments for public-sector clients for more than 32 years.

**Figure 4-1: BerryDunn Overview**



## 5.0 Appendix A: EFS Project Critical Components

Below in Table 5-1 is a list of all EFS Project Critical Components, and their related task numbers and descriptions, that BerryDunn used to assess the EFS Project during the Monthly IV&V Status Report period.

**Table 5-1: EFS Project Critical Components, and Related Task Numbers and Descriptions**

EFS Project Critical Component	Task #	Task Description
<b>EFS Project Management</b>		
EFS Project Sponsorship	PM-1	Assess and recommend improvement, as needed, to assure continuous executive stakeholder buy-in, participation, support and commitment, and that open pathways of communication exist among all stakeholders.
EFS Project Sponsorship	PM-2	Verify that executive sponsorship has bought-in to all changes which impact EFS Project objectives, cost, or schedule.
Management Assessment	PM-3	Verify and assess EFS Project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the EFS Project.
Management Assessment	PM-4	Evaluate EFS Project progress, resources, budget, schedules, workflow, and reporting.
Management Assessment	PM-5	Assess coordination, communication, and management to verify agencies and departments are not working independently of one another and following the communication plan.
EFS Project Management	PM-6	Verify that an EFS Project Management Plan is created, has been accepted, and is being followed. Evaluate the EFS Project management plans and procedures to verify that they are developed, communicated, implemented, monitored, and complete.
EFS Project Management	PM-7	Evaluate EFS Project reporting plan and actual EFS Project reports to verify EFS Project status is accurately traced using EFS Project metrics.
EFS Project Management	PM-8	Verify milestones and completion dates are planned, monitored, and met.
EFS Project Management	PM-9	Verify the existence and institutionalization of an appropriate EFS Project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents a mitigation strategy as appropriate, and tracks the issue to closure. This should include but is not limited to technical and development efforts.
EFS Project Management	PM-10	Evaluate the system's planned life-cycle development methodology or methodologies (waterfall, evolutionary spiral, rapid prototyping,



EFS Project Critical Component	Task #	Task Description
		incremental, etc.) to see if they are appropriate for the system being developed.
Business Process Reengineering	PM-11	Evaluate the EFS Project's ability and plans to redesign business systems to achieve improvements in critical measures of performance, such as cost, quality, service, and speed.
Business Process Reengineering	PM-12	Verify that there engineering plan has the strategy, management backing, resources, skills, and incentives necessary for effective change.
Business Process Reengineering	PM-13	Verify that resistance to change is anticipated and prepared for by using principles of change management at each step (such as excellent communication, participation, incentives) and having the appropriate leadership (executive pressure, vision, and actions) throughout their engineering process.
Risk Management	PM-14	Verify that an EFS Project Risk Management Plan is created and being followed. Evaluate the EFS Projects risk management plans and procedures to verify that risks are identified and quantified and that mitigation plans are developed, communicated, implemented, monitored, and complete.
Change Management	PM-15	Verify that a Change Management Plan is created and being followed. Evaluate the change management plans and procedures to verify they are developed and communicated,
Communication Management	PM-16	Verify that a Communication Plan is created and being followed. Evaluate the communication plans and strategies to verify they support communications and work product sharing between all EFS Project stakeholders; and assess if communication plans and strategies are effective, implemented, monitored, and complete.
Configuration Management	PM-17	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.
Configuration Management	PM-18	Verify that all critical development documents, including but not limited to requirements, design, code, and JCL are maintained under an appropriate level of control.
Configuration Management	PM-19	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.
Configuration Management	PM-20	Verify that appropriate source and object libraries are maintained for training, test, and production and that formal sign-off procedures are in place for evaluating acceptability of and approving deliverables.

EFS Project Critical Component	Task #	Task Description
Configuration Management	PM-21	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization, and timely scheduling of maintenance actions.
Configuration Management	PM-22	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.
Configuration Management	PM-23	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in EFS Project management.
EFS Project Estimating and Scheduling	PM-24	Evaluate and make recommendations on the estimating and scheduling process of the EFS Project to ensure that the EFS Project budget and resources are adequate for the work- breakdown structure and schedule.
EFS Project Estimating and Scheduling	PM-25	Verify the schedules to assure that adequate time and resources are assigned for planning, development, review, testing, and rework.
EFS Project Estimating and Scheduling	PM-26	Examine historical data to determine if the EFS Project/department has been able to accurately estimate the time, labor, and cost of software development efforts.
EFS Project Personnel	PM-27	Examine the job assignments, skills, training, and experience of the personnel involved in program development to verify that they are adequate for the development task.
EFS Project Personnel	PM-28	Evaluate the staffing plan for the EFS Project to verify that adequate human resources will be available for development and maintenance.
EFS Project Personnel	PM-29	Evaluate the State's personnel policies to verify that staff turnover will be minimized.
EFS Project Organization	PM-30	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the EFS Project.
EFS Project Organization	PM-31	Verify that the EFS Project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, and any other functions critical for the EFS Project's success.
Subcontractors and External Staff	PM-32	Evaluate the use of sub-contractors or other external sources of EFS Project staff (such as IS staff from another State organization) in EFS Project development.
Subcontractors and External Staff	PM-33	Verify that the obligations of sub-contractors and external staff (terms, conditions, statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.) are clearly defined.

EFS Project Critical Component	Task #	Task Description
Subcontractors and External Staff	PM-34	Verify that the subcontractors' software development methodology and product standards are compatible with the system's standards and environment.
Subcontractors and External Staff	PM-35	Verify that each subcontractor has and maintains the required skills, personnel, plans, resources, procedures, and standards to meet their commitment. This will include examining the feasibility of any offsite support of the EFS Project.
Subcontractors and External Staff	PM-36	Verify that any proprietary tools used by subcontractors do not restrict the future maintainability, portability, and reusability of the system.
State Oversight	PM-37	Verify that State oversight is provided in the form of periodic status reviews and technical interchanges.
State Oversight	PM-38	Verify that the State has defined the technical and managerial inputs the subcontractor needs (reviews, approvals, requirements, and interface clarifications, etc.) and has the resources to supply them on schedule.
State Oversight	PM-39	Verify that State staff has the ultimate responsibility for monitoring EFS Project cost and schedule.
<b>Quality Management</b>		
Quality Assurance	QA-1	Evaluate and make recommendations on the EFS Project's Quality Assurance plans, procedures, and organization.
Quality Assurance	QA-2	Verify that QA has an appropriate level of independence from EFS Project management.
Quality Assurance	QA-3	Verify that the QA organization monitors the fidelity of all defined processes in all phases of the EFS Project.
Quality Assurance	QA-4	Verify that the quality of all products produced by the EFS Project is monitored by formal reviews and signoffs.
Quality Assurance	QA-5	Verify that EFS Project self-evaluations are performed and that measures are continually taken to improve the process.
Quality Assurance	QA-6	Verify that QA has an appropriate level of independence; evaluate and make recommendations on the EFS Project's Quality Assurance plans, procedures, and organization.
Quality Assurance	QA-7	Evaluate if appropriate mechanisms are in place for EFS Project self-evaluation and process improvement.
Process Definition and	QA-8	Review and make recommendations on all defined processes and product standards associated with the system development.

EFS Project Critical Component	Task #	Task Description
Product Standards		
Process	QA-9	Verify that all major development processes are defined and that the defined and approved processes and standards are followed in development.
Process Definition and Product Standards	QA-10	Verify that the processes and standards are compatible with each other and with the system development methodology.
Process Definition and Product Standards	QA-11	Verify that all process definitions and standards are complete, clear, up-to-date, consistent in format, and easily available to EFS Project personnel.
<b>Training</b>		
User Training and Documentation	TR-1	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.
User Training and Documentation	TR-2	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.
User Training and Documentation	TR-3	Verify that user-friendly training materials and help desk services are easily available to all users.
User Training and Documentation	TR-4	Verify that all necessary policy and process and documentation is easily available to users.
User Training and Documentation	TR-5	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.
Developer Training and Documentation	TR-6	Review and make recommendations on the training provided to system developers.
Developer Training and Documentation	TR-7	Verify that developer training is technically adequate, appropriate for the development phase, and available at appropriate times.

EFS Project Critical Component	Task #	Task Description
Developer Training and Documentation	TR-8	Verify that all necessary policy, process and standards documentation is easily available to developers.
Developer Training and Documentation	TR-9	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.
<b>Requirements Management</b>		
Requirements Management	RM-1	Evaluate and make recommendations on the EFS Project's process and procedures for managing requirements.
Requirements Management	RM-2	Verify that system requirements are well-defined, understood and documented.
Requirements Management	RM-3	Evaluate the allocation of system requirements to hardware and software requirements.
Requirements Management	RM-4	Verify that software requirements can be traced through design, configuration and test phases to verify that the system performs as intended and contains no unnecessary software elements.
Requirements Management	RM-5	Verify that requirements are under formal configuration control.
Security Requirements	RM-6	Evaluate and make recommendations on EFS Project policies and procedures for ensuring that the system is secure and that the privacy of client data is maintained.
Security Requirements	RM-7	Evaluate the EFS Project's restrictions on system and data access.
Security Requirements	RM-8	Evaluate the EFS Project's security and risk analysis.
Security Requirements	RM-9	Verify that processes and equipment are in place to back up client and EFS Project data and files and archive them safely at appropriate intervals.
Requirements Analysis	RM-10	Verify that an analysis of client, State and federal needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal regulations.
Requirements Analysis	RM-11	Verify that all stakeholders have been consulted to the desired functionality of the system, and that users have been involved in prototyping of the user interface.

EFS Project Critical Component	Task #	Task Description
Requirements Analysis	RM-12	Verify that all stakeholders have bought-in to all changes which impact EFS Project objectives, cost, or schedule.
Requirements Analysis	RM-13	Verify that performance requirements (e.g. timing, response time and throughput) satisfy user needs.
Requirements Analysis	RM-14	Verify that user's maintenance requirements for the system are completely specified.
Interface Requirements	RM-15	Verify that all system interfaces are exactly described, by medium and by function, including input/output control codes. data format, polarity, range, units, and frequency.
Requirements Analysis	RM-16	Verify those approved interface documents are available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.
Requirements Allocation and Specification	RM-17	Verify that all system requirements have been allocated to either a software or hardware subsystem.
Requirements Allocation and Specification	RM-18	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.
Reverse Engineering	RM-19	If a legacy system or a transfer system is or will be used in development, verify that a well-defined plan and process for reengineering the system is in place and is followed. The process, depending on the goals of the reuse/transfer, may include reverse engineering, code translation, re-documentation, restructuring, normalization, and re-targeting.
<b>Operating Environment</b>		
System Hardware	OE-1	Evaluate new and existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements.
System Hardware	OE-2	Determine if hardware is compatible with the State's existing processing environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers, and storage devices.
System Hardware	OE-3	Evaluate current and EFS Projected vendor support of the hardware, as well as the State's hardware configuration management plans and procedures.

EFS Project Critical Component	Task #	Task Description
System Software	OE-4	Evaluate new and existing system software to determine if its capabilities are adequate to meet existing and proposed system requirements.
System Software	OE-5	Determine if the software is compatible with the State's existing hardware and software environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, operating systems, middleware, and network software including communications and file-sharing protocols.
System Software	OE-6	Current and EFS Projected vendor support of the software will also be evaluated, as well as the State's software acquisition plans and procedures.
Database Software	OE-7	Evaluate new and existing database products to determine if their capabilities are adequate to meet existing and proposed system requirements.
Database Software	OE-8	Determine if the database's data format is easily convertible to other formats, if it supports the addition of new data items, if it is scalable, if it is easily refreshable and if it is compatible with the State's existing hardware and software, including any on-line transaction processing (OLTP) environment.
Database Software	OE-9	Evaluate any current and EFS Projected vendor support of the software, as well as the State's software acquisition plans and procedures.
System Capacity	OE-10	Evaluate the existing processing capacity of the system and verify that it is adequate for current statewide needs for both batch and on-line processing.
System Capacity	OE-11	Evaluate the historic availability and reliability of the system including the frequency and criticality of system failure.
System Capacity	OE-12	Evaluate the results of any volume testing or stress testing.
System Capacity	OE-13	Evaluate any existing measurement and capacity planning program and evaluate the system's capacity to support future growth.
System Capacity	OE-14	Make recommendations on changes in processing hardware, storage, network systems, operating systems, COTS software, and software design to meet future growth and improve system performance.
<b>Development Environment</b>		
Development Hardware	DE-1	Evaluate new and existing development hardware configurations to determine if their performance is adequate to meet the needs of system development.



EFS Project Critical Component	Task #	Task Description
Development Hardware	DE-2	Determine if hardware is maintainable, easily upgradeable, and compatible with the State's existing development and processing environment. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
Development Hardware	DE-3	Current and EFS Projected vendor support of the hardware will also be evaluated, as well as the State's hardware configuration management plans and procedures.
Development Software	DE-4	Evaluate new and existing development software to determine if its capabilities are adequate to meet system development requirements.
Development Software	DE-5	Determine if the software is maintainable, easily upgradeable, and compatible with the State's existing hardware and software environment.
Development Software	DE-6	Evaluate the environment as a whole to see if it shows a degree of integration compatible with good development. This evaluation will include, but is not limited to, operating systems, network software, CASE tools, EFS Project management software, configuration management software, compilers, cross-compilers, linkers, loaders, debuggers, editors, and reporting software.
Development Software	DE-7	Language and compiler selection will be evaluated with regard to portability and reusability (ANSI standard language, non-standard extensions, etc.).
Development Software	DE-8	Current and EFS Projected vendor support of the software will also be evaluated.
<b>Software Development</b>		
High-Level Design	SD-1	Evaluate and make recommendations on existing high-level design products to verify the design is workable, efficient, and satisfies all system and system interface requirements.
High-Level Design	SD-2	Evaluate the design products for adherence to the EFS Project design methodology and standards.
High-Level Design	SD-3	Evaluate the design and analysis process used to develop the design and make recommendations for improvements. Design standards, methodology and CASE tools used will be evaluated and recommendations for improvements made.
High-Level Design	SD-4	Verify that design requirements can be traced back to system requirements.



EFS Project Critical Component	Task #	Task Description
High-Level Design	SD-5	Verify that all design products are under configuration control and formally approved before detailed design begins.
Detailed Design	SD-6	Evaluate and make recommendations on existing detailed design products to verify that the design is workable, efficient, and satisfies all high-level design requirements.
Detailed Design	SD-7	The design products will also be evaluated for adherence to the EFS Project design methodology and standards.
Detailed Design	SD-8	The design and analysis process used to develop the design will be evaluated and recommendations for improvements made.
Detailed Design	SD-9	Design standards, methodology and CASE tools used will be evaluated and recommendations made.
Detailed Design	SD-10	Verify that design requirements can be traced back to system requirements and high-level design.
Detailed Design	SD-11	Verify that all design products are under configuration control and formally approved before coding begins.
Job Control	SD-12	Perform an evaluation and make recommendations on existing job control and on the process for designing job control.
Job Control	SD-13	Evaluate the system's division between batch and on-line processing with regard to system performance and data integrity.
Job Control	SD-14	Evaluate batch jobs for appropriate scheduling, timing and internal and external dependencies.
Job Control	SD-15	Evaluate the appropriate use of OS scheduling software.
Job Control	SD-16	Verify that job control language scripts are under an appropriate level of configuration control.
Code	SD-17	Evaluate and make recommendations on the standards and processes currently in place for code development.
Code	SD-18	Evaluate the existing code base for portability and maintainability, taking software metrics including but not limited to modularity, complexity, and source and object size.
Code	SD-19	Code documentation will be evaluated for quality, completeness (including maintenance history) and accessibility.
Code	SD-20	Evaluate the coding standards and guidelines and the EFS Project's compliance with these standards and guidelines. This evaluation will include, but is not limited to, structure, documentation, modularity, naming conventions and format.

EFS Project Critical Component	Task #	Task Description
Code	SD-21	Verify that developed code is kept under appropriate configuration control and is easily accessible by developers.
Code	SD-22	Evaluate the EFS Project's use of software metrics in management and quality assurance.
Unit Test	SD-23	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.
Unit Test	SD-24	Evaluate the level of test automation, interactive testing and interactive debugging available in the test environment.
Unit Test	SD-25	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented.
<b>System and Acceptance Testing</b>		
System Integration Test	ST-1	Evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system modules.
System Integration Test	ST-2	Evaluate the level of automation and the availability of the system test environment.
System Integration Test	ST-3	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented, including formal logging of errors found in testing.
System Integration Test	ST-4	Verify that the test organization has an appropriate level of independence from the development organization.
Pilot Test	ST-5	Evaluate the plans, requirements, environment, tools, and procedures for pilot testing the system.
Pilot Test	ST-6	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, real-time environment.
Pilot Test	ST-7	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.
Pilot Test	ST-8	Verify that test results are verified, that the correct code configuration has been used, and that the tests runs are appropriately documented, including formal logging of errors found in testing.
Pilot Test	ST-9	Verify that the test organization has an appropriate level of independence from the development organization.

EFS Project Critical Component	Task #	Task Description
Interface Testing	ST-10	Evaluate interface testing plans and procedures for compliance with industry standards.
Acceptance and Turnover	ST-11	Acceptance procedures and acceptance criteria for each product must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.
Acceptance and Testing	ST-12	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.
Acceptance and Turnover	ST-13	Verify that the acceptance test organization has an appropriate level of independence from the subcontractor.
Acceptance and Turnover	ST-14	Verify that training in using the contractor-supplied software will be on-going throughout the development process, especially if the software is to be turned over to State staff for operation.
Acceptance and Turnover	ST-15	Review and evaluate implementation plan.
<b>Data Management</b>		
Data Conversion	DM-1	Evaluate the State's existing and proposed plans, procedures and software for data conversion.
Data Conversion	DM-2	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.
Data Conversion	DM-3	Determine conversion error rates and if the error rates are manageable.
Data Conversion	DM-4	Make recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.
Database Design	DM-5	Evaluate new and existing database designs to determine if they meet existing and proposed system requirements.
Database Design	DM-6	Recommend improvements to existing designs to improve data integrity and system performance.
Database Design	DM-7	Evaluate the design for maintainability, scalability, upgradable, concurrence, normalization (where appropriate) and any other factors affecting performance and data integrity.

EFS Project Critical Component	Task #	Task Description
Database Design	DM-8	Evaluate the EFS Project's process for administering the database, including backup, recovery, performance analysis and control of data item creation.
<b>Operations Oversight</b>		
Operational Change Tracking	OO-1	Evaluate system's change requests and defect tracking processes.
Operational Change Tracking	OO-2	Evaluate implementation of the process activities and request volumes to determine if processes are effective and are being followed.
Customer and User Operational Satisfaction	OO-3	Evaluate user satisfaction with system to determine areas for improvement.
Operational Goal	OO-4	Evaluate impact of system on program goals and performance standards.
Operational Documentation	OO-5	Evaluate operational plans and processes.
Operational Processes and Activity	OO-6	Evaluate implementation of the process activities including backup, disaster recovery and day-to-day operations to verify the processes are being followed.

## 6.0 Appendix B

Table 6-1 illustrates the individual ratings for the EFS Project Critical Components that BerryDunn used to determine the health of the EFS Project, and their corresponding rating definitions, for each Monthly IV&V Status Report.

**Table 6-1: EFS Project Critical Components Rating Definitions**

Rating	Definition
<b>5 – Excellent</b>	No findings were identified by BerryDunn.
<b>4 – Good</b>	Watch List Items and/or Observations were identified that may or may not result in risks and/or issues.
<b>3 – Average</b>	Many low-severity risks/issues, a few medium-severity risks/issues, and/or one high-severity risk/issue was/were identified by BerryDunn and not logged in the EFS Project's risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.
<b>2 – Fair</b>	Many medium-severity risks/issues and/or a few high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project's risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.
<b>1 – Poor</b>	Many medium-severity risks/issues and/or many high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project's risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.

Table 6-2 below illustrates the overall ratings for the EFS Project that BerryDunn used to determine the overall health of the EFS Project, and the corresponding rating definitions, for each Monthly IV&V Status Report. The overall health rating of the EFS Project reflects the average of the individual ratings for all the EFS Project Critical Components ratings.

**Table 6-2: EFS Project Overall Health Ratings and Related Definitions**

Rating	Definition
<b>5.0 – 4.5</b>	Excellent health
<b>4.5 – 4.0</b>	Good health
<b>4.0 – 3.0</b>	Average health
<b>3.0 – 2.0</b>	Fair health
<b>2.0 – 1.0</b>	Poor health

Table 6-3, below, provides definitions for risk and issue (and all risk/issue-related definitions—i.e., impact, probability, and severity), watch list item, observation, and lessons learned

perspectives that BerryDunn used to identify and rate findings for each Monthly IV&V Status Report.

**Table 6-3: Finding-Related Definitions**

Term	Definition
<b>Risk</b>	An uncertain event or condition that, if it occurs, has a positive or negative effect on one or more EFS Project objectives. A risk is therefore an event or condition that might occur in the future.
<b>Issue</b>	An event or condition that is occurring in the EFS Project and having a negative effect on its objectives, standards, and/or requirements. An issue is therefore an event or condition that is currently occurring.
<b>Impact</b>	The effect that a risk will have on the EFS Project if it occurs or the effect that an issue is having on the EFS Project.
<b>Probability</b>	The likelihood of risk impact occurring on the EFS Project.
<b>Severity</b>	A measurement of an EFS Project risk (that considers the impact and probability) or issue that demonstrates the potential or actual effect on the EFS Project.
<b>Observation</b>	An event or situation in the EFS Project that might be noteworthy. Should the event or situation continue to occur, the observation might then be escalated and recorded as a watch list item.
<b>Watch List Item</b>	An event or situation in the EFS Project that might warrant monitoring to determine its potential impact (if any). These events or situations should be scrutinized and analyzed to determine if the item might need escalation to a risk or an issue, or if the watch list item resolves on its own.
<b>Lessons Learned Perspective</b>	Additional perspective(s) from BerryDunn on the EFS Project's lessons learned, including recommendations/guidance/considerations.

Table 6-4 below provides definitions for the different levels of risk impact ratings that BerryDunn used for each Monthly IV&V Status Report.

**Table 6-4: Risk Impact Rating Definitions**

Risk Impact Rating	Definition
<b>5 – Severe</b>	Very significant impact on the EFS Project.
<b>4 – Significant</b>	Significant impact on the EFS Project.
<b>3 – Moderate</b>	Some impact in key areas of the EFS Project.
<b>2 – Minor</b>	Minor impact overall on the EFS Project.
<b>1 – Slight</b>	Minor impact on secondary areas of the EFS Project.

Table 6-5 provides definitions for the different levels of risk probability ratings that BerryDunn used for each Monthly IV&V Status Report.

**Table 6-5: Risk Probability Rating Definitions**

Risk Probability Rating	Definition
5	Near Certainty (80% – 100%)
4	Highly Likely (60% – 80%)
3	Likely (40% – 60%)
2	Unlikely (20% – 40%)
1	Remote (0% – 20%)

The Risk Severity Matrix in Table 6-6 illustrates the method BerryDunn used to determine risk severity (i.e., probability rating multiplied by impact rating), for any risks BerryDunn identified for each Monthly IV&V Status Report.

**Table 6-6: Risk Severity Matrix**

Risk Severity Level (Probability x Impact)					
Probability	Impact				
—	1 – Slight:	2 – Minor:	3 – Moderate:	4 – Significant:	5 – Severe:
1 – Remote:	1 – Low	2 – Low	3 – Low	4 – Low	5 – Medium
2 – Unlikely:	2 – Low	4 – Low	6 – Medium	8 – Medium	10 – Medium
3 – Likely:	3 – Low	6 – Medium	9 – Medium	12 – Medium	15 – High
4 – Highly Likely:	4 – Low	8 – Medium	12 – Medium	16 – High	20 – High
5 – Near Certainty:	5 – Medium	10 – Medium	15 – High	20 – High	25 – High

Table 6-7 on the following page provides common attributes for the different levels of risk severity ratings (from Table 6-6 above) that BerryDunn used for each Monthly IV&V Status Report.

**Table 6-7: Risk Severity Rating Common Attributes**

Risk Severity Value	Risk Severity Rating	Common Attributes
15 – 25	High	<ul style="list-style-type: none"> <li>Major disruption to EFS Project likely</li> <li>Change in EFS Project approach required</li> <li>Mitigation to EFS Project risk required</li> <li>Management attention toward EFS Project risk required</li> </ul>
5 – 12	Medium	<ul style="list-style-type: none"> <li>Some disruption in EFS Project</li> <li>Consider an alternative EFS Project approach</li> <li>Mitigation to EFS Project risk recommended</li> <li>Management attention toward EFS Project risk recommended</li> </ul>
1 – 4	Low	<ul style="list-style-type: none"> <li>Minimal disruption to EFS Project likely</li> <li>Oversight required to help ensure EFS Project risk remains Low</li> <li>Mitigation to EFS Project risk may not be necessary</li> <li>Monitor the EFS Project risk</li> </ul>

Table 6-8, below, provides common attributes for the different levels of issue severity ratings that BerryDunn used for each Monthly IV&V Status Report.

**Table 6-8: Issue Severity Rating Common Attributes**

Issue Severity Rating	Common Attributes
High	<ul style="list-style-type: none"> <li>Major disruption to EFS Project occurring</li> <li>Change in EFS Project approach required</li> </ul>
Medium	<ul style="list-style-type: none"> <li>Medium disruption to EFS Project occurring</li> <li>Consider an alternative approach in remediating EFS Project issue</li> </ul>
Low	<ul style="list-style-type: none"> <li>Minimal disruption to EFS Project occurring</li> <li>Oversight required of EFS Project issue</li> <li>Remediation tasks recommended to help ensure EFS Project issue impact remains Low</li> </ul>