

DAVID Y. IGE
GOVERNOR



DEPT. COMM. NO. 12
DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

P.O. BOX 119, HONOLULU, HAWAII 96810-0119
Ph: (808) 586-6000 | Fax: (808) 586-1922
ETS.HAWAII.GOV

October 26, 2020

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

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

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

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

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

Sincerely,


Douglas Murdock (Oct 26, 2020 07:44 HST)

Douglas Murdock
Chief Information Officer
State of Hawai'i

Attachment (2)



Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: September 1 - 30, 2020

Submitted: October 13, 2020

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
- [IV&V Engagement Status](#)
- [Appendices](#)
 - [A – IV&V Criticality Ratings](#)
 - [B – Risk Identification Report](#)
 - [C – Acronyms and Glossary](#)
 - [D – Background Information](#)



Solutions that Matter

The background is a solid blue color. It features several abstract geometric elements: a cluster of overlapping squares and rectangles in various shades of blue (light, medium, and dark) in the upper-left quadrant; a single light blue square with a thin white border in the center-left, partially overlapping the text; and a few more squares and rectangles in the lower-right quadrant, some with thin white lines extending from them.

Executive Summary







Executive Summary



In September, the activity level of the BES project increased in multiple areas, including requirements validation, system development and testing. Challenges continue in communications, schedule management and the project approach, where a schism between methodologies (Agile, as it relates to code development and Waterfall, specific to contractual milestones and deliverables) exists.










The project team is taking steps to remedy these challenges but the ASI stated progress will not happen quickly. While changes to the deliverable review/approval process are being executed and the final results are pending, discussions during the draft review sessions have proactively identified potential issues and provided DHS with a better understanding of the functionality under development in each release. Further, the State has asked the ASI to develop a proposal to improve the alignment of the Agile and Waterfall activities.

IV&V continues to be concerned about DHS' staffing levels, the persistent communication issues between DHS Leadership/BESSD/ASI, the teams' knowledge to effectively use the Solution Optimization tool set and its ability to meet project deadlines. IV&V recommends the project team collaboratively review the DDI approach, milestones, and specific functionality planned to be developed in each release so that there is a shared understanding, minimizing churn.

Jul	Aug	Sept	Category	IV&V Observations
			Project Management	The Project Management category continues to represent most (over 60%) of the IV&V findings, which consist of risks and issues specific to the project schedule, solution architecture, quality of project artifacts, communications, roles and responsibilities and DHS staffing.
			Configuration and Development	The project team is still attempting to understand the ASI's development approach. DHS will gain more insight as the ASI further defines the architecture, completes and delivers the remainder of the Release 0.1 and Release 2.0 deliverables, and UAT testing in October.

Executive Summary



Jul	Aug	Sept	Category	IV&V Observations
			System Design	This month, the criticality rating for this category was changed from high to medium based on: The draft architecture deliverables were available this month to the project team and the weekly architecture project meetings was expanded to include IV&V team members. Both of which are providing visibility to the planned BES architecture.
			Deployment	There are no material changes to this category in this reporting period. Several Release Management improvements were identified during early M&O and Release 0.1, which the ASI is planning to apply to future releases.
			Requirements Analysis & Management	DHS and the ASI continued to 'break down' the project's functional requirements to eliminate the instance of 'partially met' requirements. The initial set of requirements is planned for completion in October; further validation will be incorporated into the schedule for each of the releases.

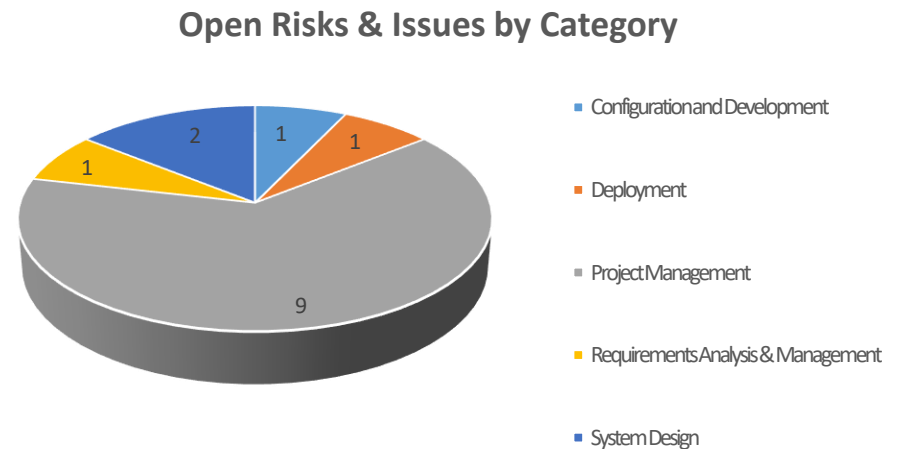
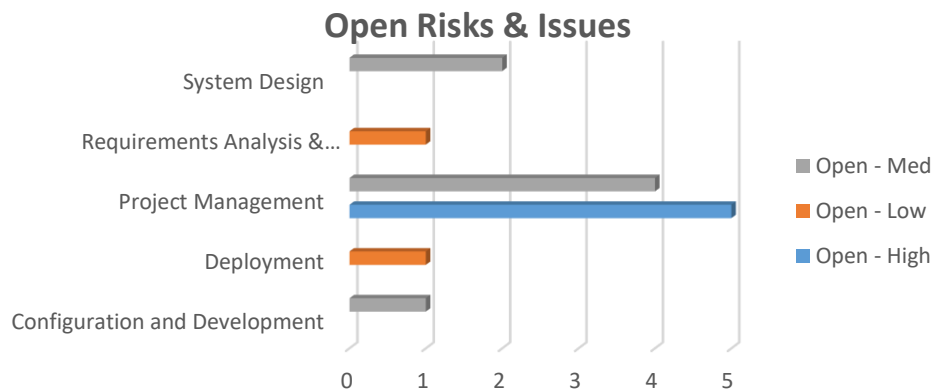
The background is a solid blue gradient. Overlaid on this are several abstract geometric elements: squares of various sizes and shades of blue, some with white outlines, and thin white lines that connect some of the squares, creating a network-like structure. These elements are primarily located in the upper left and lower right corners, leaving the center area clear for the text.

IV&V Findings and Recommendations

IV&V Findings and Recommendations



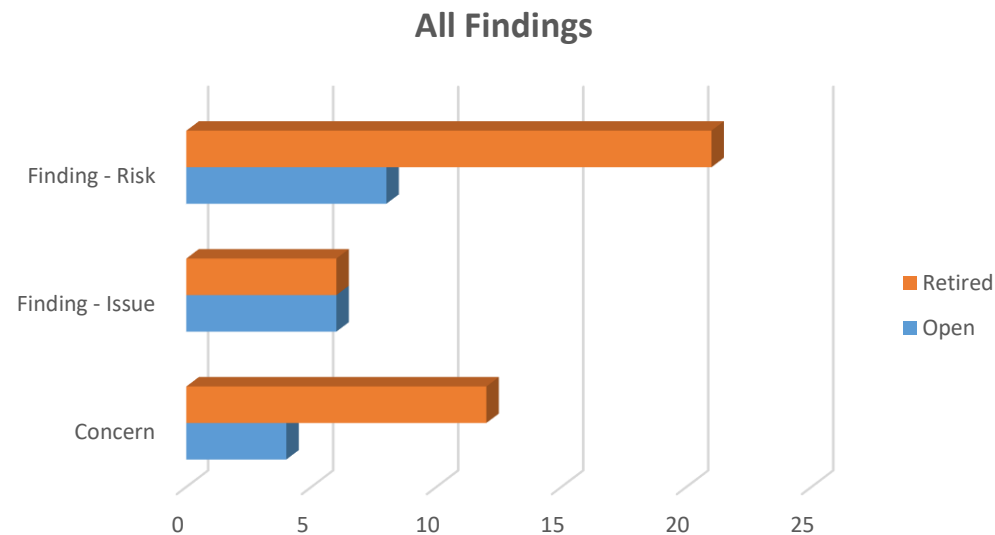
As of the September 2020 reporting period, PCG is tracking 14 open findings (8 risks and 6 issues) and has retired a total of 39 findings. Of the 14 open findings, 9 are related to Project Management, 2 in System Design and 1 each in Requirements Analysis and Management, Configuration and Development, and Deployment.



IV&V Findings and Recommendations



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



IV&V Findings and Recommendations



Findings Opened During the Reporting Period

#	Finding	Category
	No new risks or issues were opened during this reporting period.	

IV&V Findings and Recommendations



Findings Retired During the Reporting Period

#	Finding	Category
12	<p>Issue - Changes in direction regarding the preferred platform [Liferay vs. Adobe] for portal development may impact project schedule and cost.</p> <p>MQD recently kicked off their Liferay to Adobe portal migration project with Pacxa as the systems integrator. The BESSD portal will be developed in Liferay. Although the costs to develop and maintain 2 separate portals for benefit applications in 2 different technologies (Liferay for BES, Adobe for MQD) may be higher, DHS decided to move forward with both portals due to the timing of the projects and planned go-live dates. DHS may re-evaluate this and possibly merge the portals at some point in the future. Although IV&V cautions the State that this approach may impact enhanced federal funding, this finding is being retired during this reporting period.</p>	Configuration and Development

IV&V Findings and Recommendations




Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
55	Test Case creation without functionality acceptance from JAD/JAR sessions. IV&V is researching how the JAD results, including acceptance criteria, are carried over or linked to the use cases and testing processes.	Project Management
58	New - The Data Conversion effort lacks Leadership, consistency in Data Governance, and effective communications. Data Conversion is often considered as one of the longest and most complex tasks in a DDI project. The lack of a DHS Conversion Lead, coupled with communication challenges on tasks, activities, and decisions lead to schedule delays.	Project Management
59	New - The Project's Critical Path does not include release / functionality dependencies. Most of the tasks and activities in the current Project Schedule are not on the critical path until Release 0.6. The intent of the critical path is to provide early warning of possible schedule delays. As it exists today, the value of the critical path to the project team is minimal.	Project Management
60	New - System Integration of the BES Modules (CMM, FMM, SSP) is planned to be developed in the later releases vs. continuous integration model within each release. The planned integration strategy may result in rushed and incomplete system testing and a system that focuses on individual components rather than overall system capabilities.	Integration and Interface Management

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
2	<p>Issue – Late Delivery of project deliverables may result in schedule delays.</p> <p>This month some deliverables and work products were completed on-time, yet several were delivered late. IV&V acknowledges the project team adopted a revised pilot process for the Release 0.2 deliverables, causing multiple deliverables in the review process concurrently. DHS approved the SOAP BI-5 Project Schedule deliverable. However, the BI-5 Project Schedule has not been re-baselined and outstanding action items are expected to adjust some dates within the schedule along with additional new tasks. IV&V maintains this is a high-criticality finding to the project.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASI, and IV&V.	In process
<ul style="list-style-type: none">IV&V recommends the project team evaluate the estimating process to determine if changes should be made to reduce the number of late tasks and/or conduct a root cause analysis to determine and address the root cause(s).	Not started

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
29	<p>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.</p> <p>IV&V has been invited to attend the weekly Project Architecture meetings, led by the ASI Solutions Architect. The stated purpose of this meeting is to provide technical stakeholders with a forum to gain insight into and discuss project-related technical architecture decisions and activities. The discussions appear to be productive and the topics are relevant to the project. Additionally, the BI-12 documents are being drafted and reviewed by the project team. Therefore, IV&V is lowering the finding criticality to Medium.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI should continue to document the architectural details in the BI-12 System Architecture Deliverable and if possible, review draft content with DHS and IV&V.	In process
<ul style="list-style-type: none">DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.	Complete
<ul style="list-style-type: none">The project should vet possible architectural change impacts to the platform, M&O, MQD, and BES systems before finalizing architectural decisions.	In process
<ul style="list-style-type: none">Efforts should be made to increase communication to create an awareness of possible architecture changes so that they can prepare for the possibility of a change. For example, if there is a possibility that the platform could change then analysis/design could focus on platform agnostic design and avoid extensive efforts in refining a platform specific design.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
42	<p>Risk – Project delays and disruption in DHS operations may occur if ASI communications with DHS regarding key (urgent/time sensitive) project information does not improve.</p> <p>The project continues to experience communication issues. Examples that occurred during this reporting period include:</p> <ul style="list-style-type: none">• DHS was surprised to learn that data conversion was not going to be performed as part of Release 0.2 and that it would only be done on paper.• DHS leadership was surprised to learn that the requirement to allow the public to perform a preliminary eligibility assessment without logging into the portal was removed from scope.• DHS learned during the Release 0.2 UAT go/no go decision meeting that Liferay is not installed, meaning the full functionality it is not undergoing SIT or UAT. <p>IV&V does not support any of the above approaches. Considering the project is now into development and these communication issues continue to happen, we changed the criticality from Medium to High.</p>	

Recommendations	Progress
• Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule. For example, notifications in preparation for release activities.	In process
• DHS work with the ASI to remove barriers of communication between the DHS stakeholders and the development team.	Not started
• ASI increase dialog with the DHS project team individuals instead of relying on formal meetings to inform and discuss project topics. Update the project communications plan with enhanced communication processes.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
43	<p>Issue - Due to key DHS and BES Project Team members departing and/or transitioning from the project, succession planning and knowledge transfer is needed to ensure there are no gaps in knowledge and leadership on the project.</p> <p>The lack of DHS staff to support the BES project is negatively impacting the project. The last DHS PMO member retired at the end of this month. The initiation of the Pilot Deliverable review and approval process along with all other project work is straining the DHS project team. It is critical that additional staff be made available to work on the project to include managing the ASI contractual requirements. IV&V changed this finding from a risk to an issue in this reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The state should develop a transition plan for the project and PMO resources as identified in the RFP, which includes DHS PMO and DHS DDI resources (reference RFP section 3.4.3 'DHS Staffing'). It should also include possible project resource impacts considering the COVID-19 economic impacts to the State.	In process

IV&V Findings and Recommendations




Project Management

#	Key Findings	Criticality Rating
47	<p>Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.</p> <p>Effective October 15, 2020 the 14-day quarantine for transpacific travelers will no longer be required if travelers provide proof of a negative COVID-19 test. BESSD resources continue to be severely constrained due to an increase of people needing public assistance while maintaining the Federal performance metrics to include application processing times. As a result, BESSD has not been able to provide staff to fully support project tasks.</p>	
Recommendations		Progress
• Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype).		In process
• Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources.		In process
• Update the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 pandemic in the short and long term.		In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
48	Risk – The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding. No material update this month, IV&V will continue to monitor.	 M

Recommendations	Progress
<ul style="list-style-type: none">DHS to continue dialogue with CMS regarding the project's approach to OBC and MITA alignment to ensure all CMS requirements are met by the BES Project.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
49	<p>Issue – Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.</p> <p>The ASI submitted multiple deliverables during September. While most were for Release 0.2, several were also submitted for Release 0.1. The ASI and DHS agreed to a revised 'Pilot Process' for deliverable reviews starting with Release 0.2 to increase quality and reduce review timeframes. In the Pilot Process, draft deliverables are submitted by the ASI to DHS prior to having ASI quality assurance reviews performed. This is followed by a walkthrough of the draft deliverable, and finally delivery of a deliverable for final review that is expected to meet the needs of the project. Since the Release 0.2 deliverables are still in Draft and the ASI QA activities have not been completed, it is too early to determine if quality will be improved.</p> <p>The ASI and DHS will review the outcome of the Pilot Process after the Release 0.2 deliverables are complete, and collaboratively determine the best path forward. IV&V will leave this finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products.</p>	M

Recommendations	Progress
<ul style="list-style-type: none">IV&V recommends that a facilitated root cause analysis be performed by the ASI with DHS and IV&V in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IV&V recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
54	<p>Risk – Poorly planned and executed UAT could lead to implementation delays and delivery of a solution that may not meet all business needs.</p> <p>The ASI has taken additional mitigation steps to improve UAT for Release 0.2 including:</p> <ul style="list-style-type: none">• Adding additional steps in the schedule that specifically identify pre-requisite steps for UAT, which were missing in Release 0.1;• Providing more detail on the Release 0.1 Lessons Learned Action Plan to address UAT issues. <p>IV&V will observe the impact of the lessons learned with Release 0.2 UAT, planned to begin in early October, and provide an update in the next report.</p>	

Recommendations	Progress
<ul style="list-style-type: none">• The ASI further develop the action plan to include owners and target complete dates. Report progress in the weekly status meeting.	In process
<ul style="list-style-type: none">• All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
57	<p>Risk – Roles and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team is not clear.</p> <p>The ASI provided a RACI chart that shows the ASI staff filling the Product Owner/Manager roles and clarifies three formal touch points between the ASI and DHS. While these activities show improvement, some gaps remain. Therefore, the ASI and DHS continue to work on addressing the communication gaps - which will be critical for success in later, more complex releases.</p>	A red circle with a white letter 'H' inside, indicating a high criticality rating.

Recommendations	Progress
<ul style="list-style-type: none">Identify and execute to the communication path agreed to by DHS/ASI between the Product Managers and Product Owners and DHS/BESSD.	In process
<ul style="list-style-type: none">The ASI to clearly define the staff assigned and the roles and responsibilities of the ASI Product Managers and Product Owners.	In process
<ul style="list-style-type: none">DHS consider adding staff to the project team with 'deep' BESSD business knowledge to work hand-in-hand with the product owners and development team.	In process

IV&V Findings and Recommendations



Configuration and Development


#	Key Findings	Criticality Rating
16	<p>Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of all SDLC Processes.</p> <p>As the project team completes Release 0.1 and begins work on Release 0.2 UAT, some misunderstanding of the DDI approach continue. Examples include:</p> <ul style="list-style-type: none">• The ASI's subcontractor is using a different instance of the tools than the ASI;• The approach and expected results from the Data Conversion within each release is not understood by all members of the project team. <p>IV&V will continue to monitor this finding in future reporting periods.</p>	

Recommendations	Progress
• ASI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint.	Not started
• Encourage ASI and DHS testers to consistently collaborate during SIT and UAT activities.	In process

IV&V Findings and Recommendations



System Design

#	Key Findings	Criticality Rating
38	<p>Risk – Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessions, the project could be faced with significant design rework, which may result in schedule delays, and impact the quality of solution design.</p> <p>No material update for this reporting period, the workflow JAD sessions are planned to be conducted in Release 0.4, December 2020.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI to define how the workflow/task functionality will be refined and integrated into the system designs. Communicate this approach with the project team and train the Business Analyst session facilitators.	In process

IV&V Findings and Recommendations



System Design


#	Key Findings	Criticality Rating
53	<p>Issue – The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.</p> <p>Although the System Architecture document has not been formally approved by DHS, the DHS CIO meets with the ASI architecture team on a weekly basis to discuss questions, issues, and provide guidance for progress on development. It is unclear how the items discussed on a weekly basis are communicated across the Case Management Module (CMM), Financial Management Module (FMM), and Self-Service Portal (SSP) project teams. In the absence of approved deliverables, the development teams refer to draft sections of the architecture as they are completed.</p> <p>IV&V will continue to attend architecture meetings, to gain a better understanding on how architecture decisions are communicated to the project team. IV&V is reducing the priority of this finding to Medium for the September reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Recommend completing and approving the BI-12 System Architecture deliverable prior to development of source code.	In process
<ul style="list-style-type: none">If completing the BI-12 deliverable prior to development of code is not possible for any reason, ensure that all portions of the architecture that are directly or indirectly related to the source code development efforts, standards, and processes be submitted for approval by DHS in draft form prior to code development, and subsequently followed up with final completion of BI-12 in accordance with the project schedule.	In process

IV&V Findings and Recommendations



Deployment


#	Key Findings	Criticality Rating
40	<p>Risk - The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.</p> <p>In September, 5 of the 10 remaining deliverables for Release 0.1 are in progress. Release 0.2 SIT completed, and Release 0.2 UAT is scheduled to commence in early October. Although Release 0.2 deliverables are currently in progress none are complete. In late September, the ASI updated the Release 0.1 Lessons Learned results to provide more detail and track the progress of the action items. While these updates provide additionally visibility into the planned corrective actions, and most are targeted for implementation during Release 0.2, corresponding action item due dates have not been established and recorded. IV&V will continue to monitor in the upcoming reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Assign a Release Manager to manage all details of planned releases.	Complete
<ul style="list-style-type: none">Develop a Release Plan document for each release, that provides details of the planned release and all associated configuration items, clear assignments for all staff involved in all tasks, a schedule for completion of all tasks and activities, planned release status communications, and back out procedures should they be necessary.	In process
<ul style="list-style-type: none">Update the Release 0.1 Lessons Learned action plan to include owners and due dates.	In process

IV&V Findings and Recommendations



Requirements Analysis & Management

#	Key Findings	Criticality Rating
41	<p>Risk - Due to a lack of clarity regarding “Partially Met” requirements in design artifacts, full traceability of requirements may be hampered, and all requirements may not be fully met.</p> <p>Although the bulk of this activity is now complete, the ASI determined that each release may still need this activity to be performed for requirements that have not yet been split. As such, the project schedule will be updated to incorporate this activity to each release. As these tasks have not yet been added to the schedule, IV&V will continue to monitor.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Determine a requirements management and design artifact that provides full accountability of where every component of a requirement that is listed as 'Partially Met' is satisfied, ensuring that each requirement is Fully Met and can be validated as such.	In process

Abstract geometric shapes in the top-left corner, including a large square outline, a smaller square outline, and several solid squares of varying sizes and shades of blue.

IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Jul	Aug	Sept	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final August IV&V Monthly Status Report.
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is on hold until IV&V and DHS determine the appropriate time to submit the report.
CMS Milestone Reviews				The first CMS Milestone Review date has not yet been determined.
IV&V Staffing				Ryan Tan joined the IV&V team to assist in the project deliverable reviews.
IV&V Scope				DHS PMO and IV&V met on September 9 th and September 29 th to discuss the OBC plans and next steps.

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



- IV&V activities in the September reporting period:
 - Completed – August Monthly Status Report
 - Ongoing – Review the BES Project Artifacts and Deliverables
 - Ongoing – Attend ASI project meetings, (see [Additional Inputs](#) pages for details)
 - Reviewed available ASI Original Contract and BES Optimization contract amendment documentation
- Planned IV&V activities for the October reporting period:
 - Ongoing – Observe BES Development, JAD and Workgroup sessions as scheduled
 - Ongoing – Observe Weekly Project Status meetings
 - Ongoing – Observe Weekly Architecture meetings
 - Ongoing – Observe Weekly/Monthly Security meetings
 - Ongoing – Observe Agile Development meetings
 - Ongoing – Monthly IV&V findings meetings with the ASI
 - Ongoing – Monthly IV&V Draft Report Review with DHS, ETS and ASI
 - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
 - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-02 Project Status Report Deliverable	Weekly as delivered	N/A
BI-05 Schedule	Weekly as delivered	N/A
BI-10 Release 0.2 FDD - SSP	N/A	DRAFT
BI-10 Release 0.2 FDD - CMM	N/A	DRAFT
BI-10 Release 0.2 FDD - FMM Role Based Access	N/A	DRAFT
BI-11 Release 0.2 Data Integration and Interface Design	N/A	DRAFT
ICD Release 0.2 IF06 US Census Bureau	N/A	DRAFT
BI-20 Release 0.2 Test Cases, Scenarios, Scripts	N/A	DRAFT
BI-20 Release 0.2 Test Scripts - SSP	N/A	DRAFT
BI-20 Release 0.2 Test Scripts – CMM	N/A	DRAFT
BI-20 Release 0.2 Test Scripts – FMM	N/A	DRAFT
BI-22b Release 0.1 UAT Evaluation Report	08/12/2020	1.1
BI-21 Release 0.1 RTM	9/4/2020	Draft

Deliverables Reviewed - Continued



Deliverable Name	Deliverable Date	Version
Test Plan Release 0.2 Document	9/17/2020	1.6
Java Coding Standards	9/22/2020	1.0
BI-12 SSP System Architecture	9/25/2020	1.4
BI-13 Security Plan	9/10/2020	1.5
BI-15 Release 0.2 Fully Configured and Developed System	9/9/2020	.3
BI-14 Release 0.2 TDD FMM	9/9/2020	Draft
BI-14 Release 0.2 TDD CMM	9/9/2020	.3
BI-14 Release 0.1 TDD SSP	9/9/2020 9/21/2020	1.0
BI-10 Release 0.2 FMM – Role-Based Access	9/17/2020	.2
BI-15 Release 0.1 Fully Configured and Developed System	9/10/2020	1.0
BI-12 FMM System Architecture	9/15/2020	Draft
BI-12 CMM System Architecture	9/24/2020	Draft
BI-14 Release 0.2 SSP	9/24/2020	Draft

Additional Inputs – Artifacts



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

Additional Inputs



Meetings and/or Sessions Attended/Observed:




1. DHS PMO/IV&V OBC Meeting x2 (09/09/2020, 09/29/2020)
2. PCG Internal BES Project Meetings x12 (09/03/2020, 09/08/2020, 09/10/2020, 09/10/2020, 09/14/2020, 09/14/2020, 09/17/2020, 09/21/2020, 09/21/2020, 09/28/2020, 09/29/2020, 09/30/2020)
3. PMO, IV&V Weekly Meeting x5 (09/02/2020, 09/09/2020, 09/16/2020, 09/23/2020, 09/30/2020)
4. BES Status Meetings x5 (09/02/2020, 09/09/2020, 09/16/2020, 09/23/2020, 09/30/2020)
5. BES Schedule Review Meetings x5 (09/01/2020, 09/08/2020, 09/15/2020, 09/22/2020, 09/29/2020)
6. BES Functional Meeting x2 (09/01/2020, 09/22/2020)
7. BES Data Conversion Meetings x3 (09/01/2020, 09/08/2020, 09/22/2020)
8. BES CCB Meeting (09/02/2020)
9. BES Security – Data Conversion Server Access Meeting (09/01/2020)
10. BESSD – Indiana SIRT Meeting (09/03/2020)
11. BES Deliverable BI-22b Meeting with ASI (09/08/2020)
12. BES – Draft August Report Review with DHS and ASI (09/09/2020)
13. BES R0.2 Draft BI-11 Walkthrough Meeting (09/14/2020)
14. ASI Touchpoint Meetings (09/15/2020)
15. BES Jira Meeting with ASI (09/16/2020)
16. BES R0.2 Draft BI-10 SSP Walkthrough Meetings x2 (09/17/2020, 09/24/2020)
17. BES Critical Path Review Meeting with ASI (09/17/2020)
18. ASI September Pre-Draft Review Meeting (09/29/2020)
19. R0.3 SSP Requirements Validation Meeting (09/22/2020)
20. BES Development Standup Meetings x2 (09/23/2020, 09/30/2020)
21. BES R0.2 Draft BI-20 Meetings x2 (09/23/2020, 09/30/2020)
22. BES Sprint Demo Team 1 SSP Meeting (09/28/2020)
23. BES R0.2 UAT Go/No Go Meeting (09/29/2020)
24. DHS DDI Architecture Review x4 (09/01/2020, 09/08/2020, 09/15/2020, 09/22/2020, 09/29/2020)

The background is a solid blue gradient. It is decorated with various abstract geometric elements: several squares and rectangles in different shades of blue (some solid, some outlined), and thin white lines that form larger rectangular frames or connect smaller shapes. These elements are scattered across the page, with a higher concentration on the left side.

Appendices



Appendix A – IV&V Criticality Ratings

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

Appendix B – Findings Log



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

Appendix C – Acronyms and Glossary



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



Appendix C – Acronyms and Glossary

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

Appendix C – Acronyms and Glossary



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

Appendix D – Background Information



Systems Modernization Project

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

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

Systems Modernization IV&V Project

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

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

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

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

Appendix D – Background Information



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

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

PCG's Eclipse IV&V® Technical Assessment Methodology

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

IV&V Assessment Categories for the BES Project

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



Solutions that Matter

Finding Number	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments		
60	System integration of the BES Modules (CMM, FMM, SSP) will be developed in the later releases vs. a continuous integration model within each release.	John	Concern	9/30/2020	Integration and Interface Management	The BES Modules (CMM, FMM, SSP) are developed by separate teams and demo's are conducted separately with each release. Integration points between the modules are currently stubbed and the ASi has yet to demonstrate integration of the modules and end-to-end functionality.	System integration has historically followed a "big bang" model where all system components arrive simultaneously (usually towards the end of the project) resulting in a flawed and immature delivery. In theory, integration is expected to occur incrementally. In reality, a "big bang" integration strategy results in a rushed and incomplete system test process and a system that is focused on individual components rather than system capabilities.	IVV recommends adopting a continuous integration model and embedding a member of the DevOps team on each development team to ensure one team owns the integration and delivery of the BES system. It is, entirety. Each release demo should be a collaborative effort across all modules (end-to-end solution) and verified against system-level requirements.	N/A	4	4	High	Open						
59	The Project's Critical Path does not include release / functionality dependencies.	Darren	Concern	9/30/2020	Project Management	The Project's Critical Path does not include release / functionality dependencies, resulting in most tasks and activities not being on the critical path until R0.6. Consequently, a Resource estimates are not maintained by the ASi within the project schedule. The schedule has minimal to no dependencies between releases (being performed on multiple releases simultaneously). The volume of work planned to be accomplished in parallel releases increases in later releases (R0.3 - R0.6). The scope of work for Release 0.3 through 0.6 increases significantly. The BES Optimization Kickoff presentation describes the project as having task and activity dependency relationships from one release to the next. However, releases largely "overlaid" with each other, resulting in various functional or other dependencies between releases.	A critical path is determined by identifying the longest stretch of dependent activities and measuring the time required to complete them from start to finish. As the project progresses with the 7 planned releases, the volume of available slack time decreases in the later releases. It is potential that downstream delays in the project will impact the critical path and pull the schedule, and/or cause resource overallocation concerns with little to no time to react or adjust, other than scope reduction or other DHS concessions.	IVV recommends that the ASi, DHS PMO, and BES02 collaboratively review the most layer of detail the project team is capable of including by milestone dates for each release, the concurrent timing of releases, and resource allocation across all releases to identify potential additional risks to the project.	04/20/2020	4	4	High	Open						
58	The Data Conversion effort lacks leadership, consistency in Data Governance, and effective communications.	Darren	Concern	9/30/2020	Project Management	The Data Conversion effort appears to lack leadership by both the ASi and DHS. IVV has become aware that while DHS used a Data Governance Workshop for the MDM release, it has not been active since and has not been formalized for DHS. Last, the project does not have a Data Conversion Lead assigned to lead the project. DHS has stated that the ASi should lead this effort and communicate with DHS where they are needed to assist. Multiple data cleanup actions and decisions between the ASi and DHS have lagged for several weeks, with the lack of leadership and communication suspected as the root cause. As example, it was announced in mid-month that the R0.2 data conversion effort would not result in actual conversion of data, and that the validation for R0.2 would be limited to being "done on paper". DHS was unaware that the ASi had a plan that did not include actually converting data. IVV will continue to monitor.	Data Conversion is often considered as one of the longest and most complex tasks in a DOD project. The lack of a Project Conversion Lead, coupled with communication challenges on tasks, activities, and decisions can, and already has, led to schedule delays.	- Assign a dedicated project leader to actively manage all aspects of the Data Conversion effort. Consider a full time position until the Data Conversion effort is completed. - Investigate and resolve communication issues that are expected to be delaying the data conversion effort. - Prioritize the conversion activities to validate the key tasks are addressed early to avoid further delays considering the complexity of the later releases. - The ASi should develop reports with metrics that accurately measure the Data Conversion progress.	04/20/2020	3	3	Med	Open						
57	Role and responsibilities of the BES "Product Owner" and communication of this role's activities, with DHS and the project team is not clear.	Brad	Finding - Risk	7/22/2020	Project Management	Due to DHS staffing constraints, the ASi is filling the role of Product Owner and Product Manager. The product manager and/or owner often make decisions that impact specific business functionality. If this role is to be filled by the ASi, knowledge of DHS business functions is critical and strong communication channels are a must. However, IVV could not find evidence of a communication path of these discussions and decisions with DHS.	DHS and BES02 need to establish a clear communication path with the BES Product Managers and Owners to ensure the functionality required is being met.	Identify and assess the communication path agreed to by DHS/ASi between the Product Managers and Product Owners and DHS/BES02. The ASi to clearly define the staff assigned and the roles and responsibilities of the ASi Product Managers and Product Owners. DHS consider adding staff to the project team with "Year1" BES02 business knowledge to work hand-in-hand with the product owners/managers and development team.	ASAP	4	4	High	Open			9/10/2020 - The ASi provided a DAC chart that shows the ASi staff filling the Product Owner/Manager roles and clarifies three formal touch points between the ASi and DHS. While these activities show improvement, some gaps remain. Therefore, the ASi and DHS continue to work on addressing the communication gaps - which will be critical for success in later, more complex releases. 8/20/2020 - Although the ASi stated many touch points exist between DHS and the Product Owners/Managers, DHS does not confirm a level of engagement that feels needed to properly influence/monitor design and development processes. The complexity of BES increases with the future releases and is a risk that needs a clear mitigation plan. Recently, the ASi recognized this as a risk and a lack of action.	8/4/2020 - Paul Oliver and Rob Plummer: There are 3 formal touch points for communication with BES02 and DHS PMO. The Release Preparation activities, Requirements Validation and Prototype review. The Product Owners do engage with led and assist to assist with questions or concerns as they are raised by the development team.		
55	Test Case creation without functionality acceptance from JAD/RM sessions.	Earl Burba	Concern	7/29/2020	Project Management	It appears that test cases are being created and executed without acceptance criteria from the design phase of the project that was provided in JAD/RM sessions. As previously noted as a Finding in IVV's finding #11 DHS stakeholders committed an unclear approach to Design, Development, and Implementation (DDI). This may still be a concern and extending into test case creation and execution.	If there are no written without clear acceptance criteria, then the test cases may not provide full coverage to the required functionality.	POC recommends that details resulting from JAD/RM sessions be provided in the Test Results documentation to help assure that acceptance criteria that was agreed upon is met.	Immediate	3	4	Med	Open			9/2/2020 - Continued monitoring of this concern may provide additional details regarding instances where the prototype or testing does not align with JAD/RM session direction. Examples of this disconnect are: 1) While discussed in JADs as being a "single step" worth, the solution designed requires user input of multiple parameters to find the individual being searched for. This was brought up by a DHS ASi participant, who is now managing the test team for DHS. 2) J1 errors being displayed in screens, which State has said was not an issue. 8/23/2020 - In August there were a couple of situations gender, number of errors allowed in a search function) where it did not appear that the prototype was aligned with the JAD results. It remains unclear if the developers are using the JAD results or only focused on the requirements, IVV will continue to monitor.	8/4/2020 - Paul Oliver and Rob Plummer:The results of the JAD sessions are the direct input to the Use Cases. IVV is scheduled a session with Nissim to review the specific questions. IVV will cc: Rob/Paul and Earl on any work through this concern with Nissim.		
54	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of solution that does not meet business need.	Brad	Finding - Risk	6/24/2020	Project Management	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of a solution that may not meet all business needs. During this reporting period, UAT was initiated. However, several deliverables that support the UAT process were not provided and/or approved prior to UAT, which impacted DHS' ability to proceed with testing. Outstanding predecessor deliverables include: Approval of system test scripts (B-20), Delivery and approval of system test results to DHS (B-23) Delivery and approval of other R0.2 deliverables (B-10, B-14, B-15, B-21). The ASi plans to address this challenge, as well as other opportunities for improvement) indicated during R0.1 as "lessons learned" during future releases. IVV notes that DHS staff will be required to enter UAT test scripts into pre-defined spreadsheets, which will be reported into Jira by the ASi. DHS staff will enter defects directly into Jira, which may necessitate a deeper level of training for use of the toolset, in addition to the demonstration previously provided by the ASi.	UAT gives DHS the chance to test the BES release using both real-world examples and those people who will be using the application day to day. It is the final stage of the implementation process, conducted to ensure that system requirements meet business needs and allowing for any issues to be fixed before the system goes live. A UAT that is not comprehensive could result in defects being found post go-live, leading to expensive solution updates and reduction of user confidence in the solution.	- All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule to adequate timing is provided to support UAT preparation and execution. - The ASi further develop the action plan to include larger complete dates. Report progress in the weekly status meeting.	Immediately	4	3	High	Open			9/8/2020 - The ASi team has taken additional mitigation steps to improve UAT for Release 0.2 including: Adding additional steps in the schedule that specifically identify pre-requisite steps for UAT, which were missing in Release 0.1. The ASi provided more detail on the Release 0.1 Lessons Learned action plan, with a majority focusing on addressing UAT issues. IVV will observe the impact of the lessons learned with Release 0.2 UAT, planned to begin in early October and provide an update in the next report. 8/20/2020 - The ASi conducted 3 Lessons Learned sessions with the project team to review the UAT of Release 0.1 UAT to improve. The summary of the actions, planned resolution, and release number when resolution will be implemented was sent to the project team. Not all actions will be implemented for Release 0.2. DHS indicated they were expecting all actions be applied in Release 0.2 and it is unclear why some actions are planned to be completed after Release 0.2. This may result in UAT issues/concerns experienced in Release 0.1 replicated in Release 0.2. Additionally, all actions planned for Release 0.2 are not in current schedule, which may cause additional delays. 7/29/2020 - The lessons learned for Release 0.1 was primarily focused on the areas needing improvement for UAT - with two sessions held: this month and another session needed to complete the lessons learned activity. Primary areas of concern included deliverables not being completed in the order required by the contract and DOD Plan, lack of clear scope, inadequate training on the UAT process, difficulty using the tools to track defects (another training issue), inadequate test environment (only 1 user role, not secured) and poor planning/facilitation of the UAT process by the ASi. The ASi has committed to improving UAT in the future releases - schedule items exist to see evidence of improvement in the planning process/pre-requisite deliverables in future releases.	6/20/2020 - RP: Met w/ GH: Acknowledge that the first release is late. Discussed the pre-req deliverables, and the need to start testing. Early drafts for deliverables being circulated for review. DHS does not want to enter UAT test cases into Jira, will populate spreadsheets and provide to ASi for import into Jira. Still under discussion for adding defects into Jira, working towards agreement. PO - DHS Test case will trigger defects, and DHS WILL add defects into Jira. ASi concern of just one person handling this responsibility to help avoid bottlenecks. None are currently anticipated on ASi side. Project schedule will be reviewed to ensure that predecessor tasks completed prior to UAT. The RB process may be tied to ASi delivery, not DHS acceptance. Schedule updates expected by next week. Process for potential exceptions for deliverable approvals has not yet determined.		
53	The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.	John	Finding - Issue	5/21/2020	System Design	The System Architecture documentation is scheduled for completion after 5 of 7 releases are already in progress, and 2 releases completed.	The System Architecture documentation is a foundational technical document, intended to provide the standards and guidelines for all solution hardware and software components that will reside in the system. This foundational document is developed in a structured manner that directly or indirectly related to the source code development efforts, and processes be submitted for approval by DHS in draft form prior to completion, and subsequently followed up with final completion of B-12 in accordance with the project schedule.	- Recommend completing and approving the B-12 System Architecture deliverable prior to development of source code. - Completing the B-12 deliverable prior to development of code is not possible for any reason, ensure that all portions of the architecture that directly or indirectly related to the source code development efforts, and processes be submitted for approval by DHS in draft form prior to completion, and subsequently followed up with final completion of B-12 in accordance with the project schedule.	June 2020	5	4	Med	Open			09/10/2020 - Although the System Architecture document has not been formally approved by DHS, the DHS DOD meets with the ASi architecture team on a weekly basis to discuss questions, issues, and provide guidance for progress on development. It is unclear how the document is structured as weekly back are communicated across the Case Management Module (CMM), Financial Management Module (FMM), and Self-Service Portal (SSP) project teams. In the absence of approved deliverables, the development teams refer to draft sections of the architecture as they are completed. IVV will continue to attend architecture meetings, to gain a better understanding how architecture decisions are communicated to the project team. IVV is reducing the priority of this finding to Medium for the September reporting period. 08/31/2020 - This finding was reported as a preliminary concern in the previous IVV monthly report and is rescheduled as an issue in this reporting period. The System Architecture documentation is a foundational technical document intended to provide the standards and guidelines for all solution hardware and software components that will reside in the solution. This foundational document should be completed and agreed to prior to any code development, to ensure the code meets with the architectural principles and overall design. We recognize some flexibility is needed in an Agile approach; however, the overall Architecture should be documented and followed with updates as needed. To date, no sections of the System Architecture deliverable (B-12) have been formally approved by DHS. The ASi is currently responding to comments on some sections of the initial draft, however the schedule dates for the Shared Services and CMM sections continue to be revised. Software continues to be constructed without the overall guidance of the System Architecture deliverable, which may result in variation in the development efforts. Based on the current schedule, 5 of the planned 7 releases will be in progress by the time the architectural details are made available, and 2 releases will remain to be completed. 07/31/2020 - A draft of the FMM architecture and draft JAD Coding Standards (downgrading Google standards were presented in a walkthrough held on 7/23/2020), and both were delivered for client comments on 7/22/2020. The Shared Services architecture draft is now scheduled for delivery 8/23/2020, and the CMM architecture is now scheduled for delivery 8/27/2020. The longer these foundational deliverables are delayed, the larger the potential impact to BES software development efforts. The ASi has stated the project team will develop the detailed software architecture plans needed for each release. 09/10/2020 - The ASi submitted multiple deliverables during September. While most were for Release 0.2, several were for Release 0.1. The ASi and DHS agreed to a revised "Pre-req Process" for deliverable reviews starting with Release 0.2 to increase quality and reduce review timeframe. In the Pilot Process, draft deliverables are submitted by the ASi to DHS prior to having ASi quality assurance reviews performed. This is followed by a walkthrough of the draft deliverable, and finally delivery of a deliverable for final review that is expected to meet the needs of the project. Since the Release 0.2 deliverables are all in draft and the ASi QAC activities have not been completed, it is too early to determine if quality will be improved. The ASi and DHS will review the outcome of the Pilot Process after the Release 0.2 deliverables are complete, and collaboratively determine the best path forward. NPLV will leave this finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products. 08/13/2020 - The ASi re-submitted multiple deliverables during August, mostly due to the need to address outstanding comments. The B-10 deliverable for Release 0.1 was iterated twice in August and does not meet DHS's needs. IVV will leave this finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products. 07/31/2020 - The ASi re-submitted multiple deliverables during July, mostly due to the BES Optimization changes. The B-10 deliverable for Release 0.1 was iterated again, and is currently under review. The B-20 deliverable quality for Release 0.1 was improved from prior deliverable, and has been accepted by DHS. As such, IVV is reducing the finding priority to Medium. IVV recommends leaving this open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across deliverables. 08/26/2020 - The ASi announced the use of the Confluence tool for development of deliverables, as it integrates with Jira and ASi's. The ASi re-submitted multiple DDS and deliverables after being requested for BES Optimizations, most of which have already been reviewed, and some of which are currently under review. New B-20 and B-10 deliverables were submitted by the ASi to Jira. The B-20 needed work for quality issues identified by DHS. DHS requested an additional re-layout of the format for B-10. 05/31/2020 - On 5/31/2020, the ASi held a session to review the past ASi and DHS consultation activities for the list of issues documented by DHS on 6/22/2020. While many meet items and action items were reviewed, 9/8/2020 - No material status update during this reporting period. 8/31/2020 - No update during this reporting period. 7/31/2020 - No update during this reporting period. 6/30/2020 - No update during this reporting period. IVV will follow up with DHS and provide an update in the next report. 05/31/2020 - No update during this reporting period. 04/30/2020 - No update during this reporting period. 03/31/2020 - This finding replaces finding Number 5 which was in relation to the CMM MEET Use Cases. CMM informed DHS that the BES project will require the adoption of the CMM CRG process, the MEET sessions will no longer exist.			
49	Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.	Darren	Finding - Issue	4/26/2020	Project Management	In April, four B-10 design deliverables and one Interface Control Document deliverable were submitted for client review. There was an average of 85 comments submitted for each of these deliverables. The documents exhibited erroneous information, a lack of a logical organizational flow, an insufficient level of detail, and a lack of understanding of the subject matter from both a functional and technical perspective. DHS flagged this issue in the Project Issue Log for corrective action by the ASi. The ASi acted by conducting an internal root cause analysis and provided DHS and IVV the high-level results.	The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays due to the associated rework needed for reiteration. If poor quality deliverables continue to be produced and submitted for review, this can continue to result in unproductive use of time, unanticipated rework, misaligned development and testing activities, potentially unfilled functionality, and additional schedule delays.	IVV recommends that a facilitated root cause analysis be performed by the ASi with DHS and IVV in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IVV recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables.	Immediate	3	5	Med	Open			06/30/2020 - New deliverables this month included B-10 and B-20. B-10 was initially called back for quality issues, and the issues were corrected. DHS is not comfortable with B-10 re-format, will corrective action plan should be complete next week as is included as a task on the interim project schedule.			
48	The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.	Jelene	Finding - Risk	5/30/2020	Project Management	CMS has not published the Outcomes-Based Certification (OBC) requirements/process, which allows states to receive DHS PFF for Medicaid functionality of the BES solution.	If the OBC process and requirements are not published by CMS prior to the State's approval of the functional and technical requirements, the project's ability to receive enhanced Federal funding may be at risk.	The State continue to follow-up with CMS for the status of the release of the OBC Process and Requirements and discuss this risk with CMS to determine if there will be any options available to minimize this risk to the State.	Legal and Technical Requir	5	4	Med	Open						

H DHS Monthly IVV Status Report Final - September 2020														
47	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	refers	Finding - Risk	3/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced state department's ability to be fully functional as the larger majority of state workers are required to work from home/remotely at least until the end of May and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date.	DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until all crisis passes. The DHS project team will open some key members of the PMO, the PMO had not retro on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. The state/DHS indicates a hiring freeze. DHS PMO may not be able to replace their key resources. Additionally, if the state initiates furloughs, DHS project team resources could be further constrained. Unclear if the state budget challenges will impact overall project funding.	- Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Zoom). Support the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. - Update the OCM Plan to include if any new activities or updates to planned activities to aid the organization through the COVID-19 pandemic in the short and long term. - Send brief communication to stakeholders to assure clear understanding of changes to the project with respect to impacts of COVID as well as clarifying communications as to what will remain the same.	ASAP	3	5	Med	Open	09/28/2020 - Effective October 15, 2020 the 14 day quarantine for transpacific travelers is no longer required and provides proof of a negative COVID-19 test. BESSD resources could be severely constrained due to an increase of people needing public assistance while maintaining the Federal performance metrics to include application processing times. As a result, BESSD has not been able to provide staff to fully support project tasks. 08/27/2020 - Honolulu City and County leadership announced an updated Stay At Home order beginning 8/27/2020, planned for 2 weeks. COVID-19 related hiring freeze may hinder the DHS ability to replace project PMO vacancies as well as other potential hires to meet project needs and to support the new system go-live. DHS and the ASO have managed the project impacts of COVID-19 effectively over the last 6 months, therefore IVV is changing the priority to Medium. 7/31/2020 - On July 31, the Governor has announced plans to delay a program that would allow health care workers to skip the mandatory 14-day quarantine in Hawaii if they test negative for COVID-19 until September 2020. The project continues preparations and plans for some level of remote UAT and Training. 6/30/2020 - The State has recently opened inter-related travel, and transpacific travel is currently planned for August 2020 with COVID testing constraints. The ASO's staff efforts is slated to resume in September or October, pending all needed State, Union, and Type Teamer approvals. DHS has stated that while they don't have a documented risk mitigation plan, they have made efforts to develop an informal plan and risk mitigation steps and will leverage their existing OCM (continuity of operations plan) to address some mitigation steps. DHS has also stated that while they are concerned about the execution of remote UAT and training, they have a greater concern that the increase in workload due to citizens use of some COVID benefits will increase their volume of applications and support. DHS has additional concerns that possible furloughs and budget cuts could limit their ability to expand their capacity to handle the additional workload and support the project. The ASO has gained insights into remote UAT from their AIO team experience in performing remote UAT for MOSO/KOLA. 05/27/2020 - There are indications that the Stay-At-home mandate will be extended through June 30, 2020. The project team is considering impacts to the project, including UAT and training if they will not be able to participate in person. 4/30/2020 - The Governor's "stay at home" mandate has been extended through May 31, 2020, which means the majority of project participants will continue to work from 9/26/2020 - The lack of DHS staff to work on the project is negatively impacting the project. The last DHS PMO member retired at the end of this month. The initiation of the PMO Deliberative review and approval process along with other project work is slowing the DHS project team. It is critical that additional staff be made available to work on the project to include managing the ASO contractual requirements. Therefore, IVV changed this finding from a risk to an issue as this reporting period. 4/3/2020 - Progress was made this month in that the Data Forward position was filled and planned to begin work on the project 9/2/2020. The Data Conversion Lead and the DHS PMO positions continue to be an open issue. The Data PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill all open positions and recruitment is ongoing. 7/31/2020 - This finding was moved from the OCM Knowledge Transfer to Project Management category as requested by DHS to avoid confusion with the OCM work being performed by the ASO. Transition plans for the DHS PMO staff are in place and the DHS PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill all open positions and recruitment is ongoing. This month the lead for the Data Forward and DHS Conversion Lead was realized, there are both key positions to aid the conversion activities and the BESSD Data business needs. DHS is actively working to identify staff to fill their roles. 06/26/2020 - The ASO announced the addition of a technical resource to work with BESSD, however that person will not be integrated with the team until after travel restrictions are lifted. DHS PMO staff announced the near-term retirement of three (3) more PMO staff, which is essentially the balance of the PMO Team. IVV is unaware of any documented transition plans, and it is unclear if the positions can or will be back-filled at this time. 5/15/2020 - The ASO filed the Solution Architect position. DHS continues to execute the exception process to back-fill the DHS PMO position and execute the transition plan 4/30/2020 - DHS continues to execute the transition plan for their staff planning to retire. The ASO continues to recruit for the Solution Architect position. With the COVID-19 pandemic, the state has instituted a hiring freeze and may take other actions (furloughs, salary adjustments) to address the overall financial impact to the state. The State has no intent to follow the exception approval process to hire critical BESSD project staff. The State's ability to supply the required resources to 09/2020. The project continues to experience communication issues. Examples that occurred during the reporting period include: DHS was surprised to learn that data conversion was not going to be performed as part of Release 0.2 and it would only be done later. DHS had been told that DHS was surprised to learn that the requirement to allow the team to perform a preliminary eligibility assessment without logging into the portal was removed from scope. DHS learned during Release 0.2 that IVV's go decision meeting that Library is not installed, meaning the full functionality is not undergoing UAT or IVV does not support any of the above approaches. Considering the project is now into development and these communication issues continue to happen, IVV changed the severity from Medium to High. 08/27/2020 - The ASO has made changes to the format and content of the project status report to address DHS concerns. The new report's weekly status meetings have involved the ASO reading the status report to DHS without much discussion or elaboration. DHS identifies has stated they feel the use of the DHS methods and have noted the ASO's efforts ways to encourage productive conversations during the meeting. DHS has also requested the status report include target dates and suggested continuing the schedule meeting with the project status meeting. DHS also expressed concern that the project is maintaining multiple action item log, which could create confusion. Not all staff were aware there were separate logs and are currently reviewing to merge as much as possible into the main project action item log. 7/31/2020 - The Release 0.2 Lessons Learned sessions identified several areas where communications must improve. The ASO is currently working with DHS to develop an action plan to address the communication issues along with the other areas identified for improvement. 6/30/2020 - During June, IVV noted a lack of communication regarding deliverable submissions. Although the ASO is required to notify DHS when deliverables are submitted, this did not always occur (e.g. BESS Optimization update). When brought to the ASO's attention, this corrected. IVV also notes that the ASO has updated their Communications Plan to address changes resulting from the BESS Optimization. IVV will continue to monitor this finding to ensure that the process is consistently followed. 03/27/2020 - There continues to be a lack of timely communication between the ASO and DHS PMO. During May, IVV noted the following: "The ASO published changes to their key Personnel without providing the DHS PMO notice or prior approval as documented in the agreement. The ASO 09/30/2020 - The ASO determined that although the bulk of this effort is now complete, certain key roles may still need this activity to be performed for requirements that have not yet been fully met. As such, the project schedule will be updated to add this activity to each release. As these tasks have not yet been added to the schedule, IVV will continue to monitor. 08/31/2020 - There were no substantive changes on this finding reported for August. The latest project schedule anticipated this to be to be completed by 8/29/2020, however the work is not complete. 07/31/2020 - The ASO and DHS continued this effort during the reporting period. For the latest project schedule, this is anticipated to be completed by late August 8/25/2020. With the number of requirements still remaining to be left being limited, IVV has reduced the priority of this finding to Low. 6/30/2020 - The ASO and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by eliminating all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence (CC). To date, five (5) CC documents have been written and approved for full activity. DHS states they are awaiting additional CC for Appendix 3, 5, 6, and 4 and others. IVV notes that these required tasks and actions are not included in the BESS Project Schedule however, the ASO is working with DHS to plan the activity details and add them to the schedule. 04/30/2020 - The ASO continues to efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence process. This activity is behind schedule, it was planned to be complete by the end of April, and the revised completion date is currently unknown. The latest interim project schedule published by the ASO incorrectly states this activity as being completed, however per DHS, this activity is not completed. IVV will continue to monitor the status of this important requirement management activity during May. 03/31/2020 - The ASO is continuing its efforts with DHS BESSD to break down the requirements 09/30/2020 - In September, 5 of the 12 remaining deliverables for Release 0.1 are in progress. Release 0.2 is completed and Release 0.3 is in progress. The ASO is working to complete the 12 deliverables are currently in progress, although none have been completed. In late September, the ASO updated the Release 0.2 Lessons Learned session to provide details on the system and to take the progress of the action items. While these updates provide additional visibility into the planner corrective actions, and most are targeted for implementation during Release 0.2, action item due dates have not been established and recorded. IVV will continue to monitor. 08/31/2020 - Although UAT for Release 0.1 was completed in early July, the associated deliverables have either not been delivered or not been accepted more than 6 weeks later. Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASO conducted a third Release 0.1 Lessons Learned activity on 8/23/2020, and delivered an Action Plan on 8/21/2020, however the plan does not include owners or due dates for the planned improvements. 07/31/2020 - Release 0.1 completed User Acceptance Testing, however the ASO is still working to complete development of the majority of the associated documentation deliverables needed to memorialize the release effort. A Lessons Learned activity took place on 7/23/2020 and 7/28/2020 to determine what went well and what can be improved upon for future releases. There were 30 total items reviewed. 14 of which fell into the "can be improved" upper category. 08/02/2020 - The BESS releases were accomplished in June. The release of R0.1 was released in mid-June, as some of the originally planned SSI component tests were delayed to R0.2. R0.1 is currently scheduled for completion on 7/14/2020 with the BESS Card Inventory Module data and issuance functions, which are currently planned for R0.3). However, IVV notes that several R0.3 pre-require deliverables requiring updates based on SSOF have not yet been delivered and/or are not yet approved by DHS, and R0.1 UAT efforts have been delayed. These tools being implemented by the ASO could potentially help to improve the release management function. IVV will continue to monitor the ASO and DHS activities related to this important first release for BESS. 09/31/2020 - This changes to this finding in May. While there is currently a KOLA MO release (R0.2.2.0) planned for June, the first BESS IDO release is scheduled for August 2020. IVV will continue to monitor. 04/30/2020 - IVV validates that no new MO or DOI releases were performed during the
48	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	refers	Finding - Risk	3/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced state department's ability to be fully functional as the larger majority of state workers are required to work from home/remotely at least until the end of May and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date.	DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until all crisis passes. The DHS project team will open some key members of the PMO, the PMO had not retro on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. The state/DHS indicates a hiring freeze. DHS PMO may not be able to replace their key resources. Additionally, if the state initiates furloughs, DHS project team resources could be further constrained. Unclear if the state budget challenges will impact overall project funding.	- Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Zoom). Support the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. - Update the OCM Plan to include if any new activities or updates to planned activities to aid the organization through the COVID-19 pandemic in the short and long term. - Send brief communication to stakeholders to assure clear understanding of changes to the project with respect to impacts of COVID as well as clarifying communications as to what will remain the same.	ASAP	3	5	Med	Open	09/28/2020 - Effective October 15, 2020 the 14 day quarantine for transpacific travelers is no longer required and provides proof of a negative COVID-19 test. BESSD resources could be severely constrained due to an increase of people needing public assistance while maintaining the Federal performance metrics to include application processing times. As a result, BESSD has not been able to provide staff to fully support project tasks. 08/27/2020 - Honolulu City and County leadership announced an updated Stay At Home order beginning 8/27/2020, planned for 2 weeks. COVID-19 related hiring freeze may hinder the DHS ability to replace project PMO vacancies as well as other potential hires to meet project needs and to support the new system go-live. DHS and the ASO have managed the project impacts of COVID-19 effectively over the last 6 months, therefore IVV is changing the priority to Medium. 7/31/2020 - On July 31, the Governor has announced plans to delay a program that would allow health care workers to skip the mandatory 14-day quarantine in Hawaii if they test negative for COVID-19 until September 2020. The project continues preparations and plans for some level of remote UAT and Training. 6/30/2020 - The State has recently opened inter-related travel, and transpacific travel is currently planned for August 2020 with COVID testing constraints. The ASO's staff efforts is slated to resume in September or October, pending all needed State, Union, and Type Teamer approvals. DHS has stated that while they don't have a documented risk mitigation plan, they have made efforts to develop an informal plan and risk mitigation steps and will leverage their existing OCM (continuity of operations plan) to address some mitigation steps. DHS has also stated that while they are concerned about the execution of remote UAT and training, they have a greater concern that the increase in workload due to citizens use of some COVID benefits will increase their volume of applications and support. DHS has additional concerns that possible furloughs and budget cuts could limit their ability to expand their capacity to handle the additional workload and support the project. The ASO has gained insights into remote UAT from their AIO team experience in performing remote UAT for MOSO/KOLA. 05/27/2020 - There are indications that the Stay-At-home mandate will be extended through June 30, 2020. The project team is considering impacts to the project, including UAT and training if they will not be able to participate in person. 4/30/2020 - The Governor's "stay at home" mandate has been extended through May 31, 2020, which means the majority of project participants will continue to work from 9/26/2020 - The lack of DHS staff to work on the project is negatively impacting the project. The last DHS PMO member retired at the end of this month. The initiation of the PMO Deliberative review and approval process along with other project work is slowing the DHS project team. It is critical that additional staff be made available to work on the project to include managing the ASO contractual requirements. Therefore, IVV changed this finding from a risk to an issue as this reporting period. 4/3/2020 - Progress was made this month in that the Data Forward position was filled and planned to begin work on the project 9/2/2020. The Data Conversion Lead and the DHS PMO positions continue to be an open issue. The Data PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill all open positions and recruitment is ongoing. 7/31/2020 - This finding was moved from the OCM Knowledge Transfer to Project Management category as requested by DHS to avoid confusion with the OCM work being performed by the ASO. Transition plans for the DHS PMO staff are in place and the DHS PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill all open positions and recruitment is ongoing. This month the lead for the Data Forward and DHS Conversion Lead was realized, there are both key positions to aid the conversion activities and the BESSD Data business needs. DHS is actively working to identify staff to fill their roles. 06/26/2020 - The ASO announced the addition of a technical resource to work with BESSD, however that person will not be integrated with the team until after travel restrictions are lifted. DHS PMO staff announced the near-term retirement of three (3) more PMO staff, which is essentially the balance of the PMO Team. IVV is unaware of any documented transition plans, and it is unclear if the positions can or will be back-filled at this time. 5/15/2020 - The ASO filed the Solution Architect position. DHS continues to execute the exception process to back-fill the DHS PMO position and execute the transition plan 4/30/2020 - DHS continues to execute the transition plan for their staff planning to retire. The ASO continues to recruit for the Solution Architect position. With the COVID-19 pandemic, the state has instituted a hiring freeze and may take other actions (furloughs, salary adjustments) to address the overall financial impact to the state. The State has no intent to follow the exception approval process to hire critical BESSD project staff. The State's ability to supply the required resources to 09/2020. The project continues to experience communication issues. Examples that occurred during the reporting period include: DHS was surprised to learn that data conversion was not going to be performed as part of Release 0.2 and it would only be done later. DHS had been told that DHS was surprised to learn that the requirement to allow the team to perform a preliminary eligibility assessment without logging into the portal was removed from scope. DHS learned during Release 0.2 that IVV's go decision meeting that Library is not installed, meaning the full functionality is not undergoing UAT or IVV does not support any of the above approaches. Considering the project is now into development and these communication issues continue to happen, IVV changed the severity from Medium to High. 08/27/2020 - The ASO has made changes to the format and content of the project status report to address DHS concerns. The new report's weekly status meetings have involved the ASO reading the status report to DHS without much discussion or elaboration. DHS identifies has stated they feel the use of the DHS methods and have noted the ASO's efforts ways to encourage productive conversations during the meeting. DHS has also requested the status report include target dates and suggested continuing the schedule meeting with the project status meeting. DHS also expressed concern that the project is maintaining multiple action item log, which could create confusion. Not all staff were aware there were separate logs and are currently reviewing to merge as much as possible into the main project action item log. 7/31/2020 - The Release 0.2 Lessons Learned sessions identified several areas where communications must improve. The ASO is currently working with DHS to develop an action plan to address the communication issues along with the other areas identified for improvement. 6/30/2020 - During June, IVV noted a lack of communication regarding deliverable submissions. Although the ASO is required to notify DHS when deliverables are submitted, this did not always occur (e.g. BESS Optimization update). When brought to the ASO's attention, this corrected. IVV also notes that the ASO has updated their Communications Plan to address changes resulting from the BESS Optimization. IVV will continue to monitor this finding to ensure that the process is consistently followed. 03/27/2020 - There continues to be a lack of timely communication between the ASO and DHS PMO. During May, IVV noted the following: "The ASO published changes to their key Personnel without providing the DHS PMO notice or prior approval as documented in the agreement. The ASO 09/30/2020 - The ASO determined that although the bulk of this effort is now complete, certain key roles may still need this activity to be performed for requirements that have not yet been fully met. As such, the project schedule will be updated to add this activity to each release. As these tasks have not yet been added to the schedule, IVV will continue to monitor. 08/31/2020 - There were no substantive changes on this finding reported for August. The latest project schedule anticipated this to be to be completed by 8/29/2020, however the work is not complete. 07/31/2020 - The ASO and DHS continued this effort during the reporting period. For the latest project schedule, this is anticipated to be completed by late August 8/25/2020. With the number of requirements still remaining to be left being limited, IVV has reduced the priority of this finding to Low. 6/30/2020 - The ASO and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by eliminating all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence (CC). To date, five (5) CC documents have been written and approved for full activity. DHS states they are awaiting additional CC for Appendix 3, 5, 6, and 4 and others. IVV notes that these required tasks and actions are not included in the BESS Project Schedule however, the ASO is working with DHS to plan the activity details and add them to the schedule. 04/30/2020 - The ASO continues to efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence process. This activity is behind schedule, it was planned to be complete by the end of April, and the revised completion date is currently unknown. The latest interim project schedule published by the ASO incorrectly states this activity as being completed, however per DHS, this activity is not completed. IVV will continue to monitor the status of this important requirement management activity during May. 03/31/2020 - The ASO is continuing its efforts with DHS BESSD to break down the requirements 09/30/2020 - In September, 5 of the 12 remaining deliverables for Release 0.1 are in progress. Release 0.2 is completed and Release 0.3 is in progress. The ASO is working to complete the 12 deliverables are currently in progress, although none have been completed. In late September, the ASO updated the Release 0.2 Lessons Learned session to provide details on the system and to take the progress of the action items. While these updates provide additional visibility into the planner corrective actions, and most are targeted for implementation during Release 0.2, action item due dates have not been established and recorded. IVV will continue to monitor. 08/31/2020 - Although UAT for Release 0.1 was completed in early July, the associated deliverables have either not been delivered or not been accepted more than 6 weeks later. Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASO conducted a third Release 0.1 Lessons Learned activity on 8/23/2020, and delivered an Action Plan on 8/21/2020, however the plan does not include owners or due dates for the planned improvements. 07/31/2020 - Release 0.1 completed User Acceptance Testing, however the ASO is still working to complete development of the majority of the associated documentation deliverables needed to memorialize the release effort. A Lessons Learned activity took place on 7/23/2020 and 7/28/2020 to determine what went well and what can be improved upon for future releases. There were 30 total items reviewed. 14 of which fell into the "can be improved" upper category. 08/02/2020 - The BESS releases were accomplished in June. The release of R0.1 was released in mid-June, as some of the originally planned SSI component tests were delayed to R0.2. R0.1 is currently scheduled for completion on 7/14/2020 with the BESS Card Inventory Module data and issuance functions, which are currently planned for R0.3). However, IVV notes that several R0.3 pre-require deliverables requiring updates based on SSOF have not yet been delivered and/or are not yet approved by DHS, and R0.1 UAT efforts have been delayed. These tools being implemented by the ASO could potentially help to improve the release management function. IVV will continue to monitor the ASO and DHS activities related to this important first release for BESS. 09/31/2020 - This changes to this finding in May. While there is currently a KOLA MO release (R0.2.2.0) planned for June, the first BESS IDO release is scheduled for August 2020. IVV will continue to monitor. 04/30/2020 - IVV validates that no new MO or DOI releases were performed during the
49	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	refers	Finding - Risk	3/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced state department's ability to be fully functional as the larger majority of state workers are required to work from home/remotely at least until the end of May and some offices may be completely shut down until that time as well. Unclear if the order will extend beyond that date.	DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until all crisis passes. The DHS project team will open some key members of the PMO, the PMO had not retro on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. The state/DHS indicates a hiring freeze. DHS PMO may not be able to replace their key resources. Additionally, if the state initiates furloughs, DHS project team resources could be further constrained. Unclear if the state budget challenges will impact overall project funding.	- Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Zoom). Support the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. - Update the OCM Plan to include if any new activities or updates to planned activities to aid the organization through the COVID-19 pandemic in the short and long term. - Send brief communication to stakeholders to assure clear understanding of changes to the project with respect to impacts of COVID as well as clarifying communications as to what will remain the same.	ASAP	3	5	Med	Open	09/28/2020 - Effective October 15, 2020 the 14 day quarantine for transpacific travelers is no longer required and provides proof of a negative COVID-19 test. BESSD resources could be severely constrained due to an increase of people needing public assistance while maintaining the Federal performance metrics to include application processing times. As a result, BESSD has not been able to provide staff to fully support project tasks. 08/27/2020 - Honolulu City and County leadership announced an updated Stay At Home order beginning 8/27/2020, planned for 2 weeks. COVID-19 related hiring freeze may hinder the DHS ability to replace project PMO vacancies as well as other potential hires to meet project needs and to support the new system go-live. DHS and the ASO have managed the project impacts of COVID-19 effectively over the last 6 months, therefore IVV is changing the priority to Medium. 7/31/2020 - On July 31, the Governor has announced plans to delay a program that would allow health care workers to skip the mandatory 14-day quarantine in Hawaii if they test negative for COVID-19 until September 2020. The project continues preparations and plans for some level of remote UAT and Training. 6/30/2020 - The State has recently opened inter-related travel, and transpacific travel is currently planned for August 2020 with COVID testing constraints. The ASO's staff efforts is slated to resume in September or October, pending all needed State, Union, and Type Teamer approvals. DHS has stated that while they don't have a documented risk mitigation plan, they have made efforts to develop an informal plan and risk mitigation steps and will leverage their existing OCM (continuity of operations plan) to address some mitigation steps. DHS has also stated that while they are concerned about the execution of remote UAT and training, they have a greater concern that the increase in workload due to citizens use of some COVID benefits will increase their volume of applications and support. DHS has additional concerns that possible furloughs and budget cuts could limit their ability to expand their capacity to handle the additional workload and support the project. The ASO has gained insights into remote UAT from their AIO team experience in performing remote UAT for MOSO/KOLA. 05/27/2020 - There are indications that the Stay-At-home mandate will be extended through June 30, 2020. The project team is considering impacts to the project, including UAT and training if they will not be able to participate in person. 4/30/2020 - The Governor's "stay at home" mandate has been extended through May 31, 2020, which means the majority of project participants will continue to work from 9/26/2020 - The lack of DHS staff to work on the project is negatively impacting the project. The last DHS PMO member retired at the end of this month. The initiation of the PMO Deliberative review and approval process along with other project work is slowing the DHS project team. It is critical that additional staff be made available to work on the project to include managing the ASO contractual requirements. Therefore, IVV changed this finding from a risk to an issue as this reporting period. 4/3/2020 - Progress was made this month in that the Data Forward position was filled and planned to begin work on the project 9/2/2020. The Data Conversion Lead and the DHS PMO positions continue to be an open issue. The Data PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill all open positions and recruitment is ongoing. 7/31/2020 - This finding was moved from the OCM Knowledge Transfer to Project Management category as requested by DHS to avoid confusion with the OCM work being performed by the ASO. Transition plans for the DHS PMO staff are in place and the DHS PMO team is working with DHS and BESSD Executive Leadership to identify new owners of some of the tasks. Concurrently, DHS is working to gain approval to fill all open positions and recruitment is ongoing. This month the lead for the Data Forward and DHS Conversion Lead was realized, there are both key positions to aid the conversion activities and the BESSD Data business needs. DHS is actively working to identify staff to fill their roles. 06/26/2020 - The ASO announced the addition of a technical resource to work with BESSD, however that person will not be integrated with the team until after travel restrictions are lifted. DHS PMO staff announced the near-term retirement of three (3) more PMO staff, which is essentially the balance of the PMO Team. IVV is unaware of any documented transition plans, and it is unclear if the positions can or will be back-filled at this time. 5/15/2020 - The ASO filed the Solution Architect position. DHS continues to execute the exception process to back-fill the DHS PMO position and execute the transition plan 4/30/2020 - DHS continues to execute the transition plan for their staff planning to retire. The ASO continues to recruit for the Solution Architect position. With the COVID-19 pandemic, the state has instituted a hiring freeze and may take other actions (furloughs, salary adjustments) to address the overall financial impact to the state. The State has no intent to follow the exception approval process to hire critical BESSD project staff. The State's ability to supply the required resources to 09/2020. The project continues to experience communication issues. Examples that occurred during the reporting period include: DHS was surprised to learn that data conversion was not going to be performed as part of Release 0.2 and it would only be done later. DHS had been told that DHS was surprised to learn that the requirement to allow the team to perform a preliminary eligibility assessment without logging into the portal was removed from scope. DHS learned during Release 0.2 that IVV's go decision meeting that Library is not installed, meaning the full functionality is not undergoing UAT or IVV does not support any of the above approaches. Considering the project is now into development and these communication issues continue to happen, IVV changed the severity from Medium to High. 08/27/2020 - The ASO has made changes to the format and content of the project status report to address DHS concerns. The new report's weekly status meetings have involved the ASO reading the status report to DHS without much discussion or elaboration. DHS identifies has stated they feel the use of the DHS methods and have noted the ASO's efforts ways to encourage productive conversations during the meeting. DHS has also requested the status report include target dates and suggested continuing the schedule meeting with the project status meeting. DHS also expressed concern that the project is maintaining multiple action item log, which could create confusion. Not all staff were aware there were separate logs and are currently reviewing to merge as much as possible into the main project action item log. 7/31/2020 - The Release 0.2 Lessons Learned sessions identified several areas where communications must improve. The ASO is currently working with DHS to develop an action plan to address the communication issues along with the other areas identified for improvement. 6/30/2020 - During June, IVV noted a lack of communication regarding deliverable submissions. Although the ASO is required to notify DHS when deliverables are submitted, this did not always occur (e.g. BESS Optimization update). When brought to the ASO's attention, this corrected. IVV also notes that the ASO has updated their Communications Plan to address changes resulting from the BESS Optimization. IVV will continue to monitor this finding to ensure that the process is consistently followed. 03/27/2020 - There continues to be a lack of timely communication between the ASO and DHS PMO. During May, IVV noted the following: "The ASO published changes to their key Personnel without providing the DHS PMO notice or prior approval as documented in the agreement. The ASO 09/30/2020 - The ASO determined that although the bulk of this effort is now complete, certain key roles may still need this activity to be performed for requirements that have not yet been fully met. As such, the project schedule will be updated to add this activity to each release. As these tasks have not yet been added to the schedule, IVV will continue to monitor. 08/31/2020 - There were no substantive changes on this finding reported for August. The latest project schedule anticipated this to be to be completed by 8/29/2020, however the work is not complete. 07/31/2020 - The ASO and DHS continued this effort during the reporting period. For the latest project schedule, this is anticipated to be completed by late August 8/25/2020. With the number of requirements still remaining to be left being limited, IVV has reduced the priority of this finding to Low. 6/30/2020 - The ASO and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by eliminating all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence (CC). To date, five (5) CC documents have been written and approved for full activity. DHS states they are awaiting additional CC for Appendix 3, 5, 6, and 4 and others. IVV notes that these required tasks and actions are not included in the BESS Project Schedule however, the ASO is working with DHS to plan the activity details and add them to the schedule. 04/30/2020 - The ASO continues to efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence process. This activity is behind schedule, it was planned to be complete by the end of April, and the revised completion date is currently unknown. The latest interim project schedule published by the ASO incorrectly states this activity as being completed, however per DHS, this activity is not completed. IVV will continue to monitor the status of this important requirement management activity during May. 03/31/2020 - The ASO is continuing its efforts with DHS BESSD to break down the requirements 09/30/2020 - In September, 5 of the 12 remaining deliverables for Release 0.1 are in progress. Release 0.2 is completed and Release 0.3 is in progress. The ASO is working to complete the 12 deliverables are currently in progress, although none have been completed. In late September, the ASO updated the Release 0.2 Lessons Learned session to provide details on the system and to take the progress of the action items. While these updates provide additional visibility into the planner corrective actions, and most are targeted for implementation during Release 0.2, action item due dates have not been established and recorded. IVV will continue to monitor. 08/31/2020 - Although UAT for Release 0.1 was completed in early July, the associated deliverables have either not been delivered or not been accepted more than 6 weeks later. Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASO conducted a third Release 0.1 Lessons Learned activity on 8/23/2020, and delivered an Action Plan on 8/21/2020, however the plan does not include owners or due dates for the planned improvements. 07/31/2020 - Release 0.1 completed User Acceptance Testing, however the ASO is still working to complete development of the majority of the associated documentation deliverables needed to memorialize the release effort. A Lessons Learned activity took place on 7/23/2020 and 7/28/2020 to determine what went well and what can be improved upon for future releases. There were 30 total items reviewed. 14 of which fell into the "can be improved" upper category. 08/02/2020 - The BESS releases were accomplished in June. The release of R0.1 was released in mid-June, as some of the originally planned SSI component tests were delayed to R0.2. R0.1 is currently scheduled for completion on 7/14/2020 with the BESS Card Inventory Module data and issuance functions, which are currently planned for R0.3). However, IVV notes that several R0.3 pre-require deliverables requiring updates based on SSOF have not yet been delivered and/or are not yet approved by DHS, and R0.1 UAT efforts have been delayed. These tools being implemented by the ASO could potentially help to improve the release management function. IVV will continue to monitor the ASO and DHS activities related to this important first release for BESS. 09/31/2020 - This changes to this finding in May. While there is currently a KOLA MO release (R0.2.2.0) planned for June, the first BESS IDO release is scheduled for August 2020. IVV will continue to monitor. 04/30/2020 - IVV validates that no new MO or DOI releases were performed during the
41	Due to a lack of clarity regarding "Partially Met" requirements in design artifacts, full traceability of requirements may be hampered, and all requirements may not be fully met.	Derives	Finding - Risk	1/23/2019	Requirements Analysis & Management	Requirements are listed in Design artifacts as "Partially Met." With hundreds of planned design artifacts, it is unclear how complete traceability for each requirement will be accomplished within the design artifacts and A&A. Although the ASO has developed a method of getting requirements in A&A, the process does not address the management and traceability of one-to-many relationships (i.e., where a requirement is satisfied by multiple features or functions).	If requirements are not completely traced throughout the SDLC, it is may result in missing functionality and reduced scope.	Determine a requirements management and design artifact that provides full accountability of where each and every component of a requirement that is listed as "Partially Met" is satisfied, ensuring that each requirement is fully Met and not be re-labeled as such.	QH 2019	4	3	Low	Open	09/30/2020 - The ASO determined that although the bulk of this effort is now complete, certain key roles may still need this activity to be performed for requirements that have not yet been fully met. As such, the project schedule will be updated to add this activity to each release. As these tasks have not yet been added to the schedule, IVV will continue to monitor. 08/31/2020 - There were no substantive changes on this finding reported for August. The latest project schedule anticipated this to be to be completed by 8/29/2020, however the work is not complete. 07/31/2020 - The ASO and DHS continued this effort during the reporting period. For the latest project schedule, this is anticipated to be completed by late August 8/25/2020. With the number of requirements still remaining to be left being limited, IVV has reduced the priority of this finding to Low. 6/30/2020 - The ASO and DHS continued the effort to break down the requirements into singular, traceable, and testable requirements by eliminating all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence (CC). To date, five (5) CC documents have been written and approved for full activity. DHS states they are awaiting additional CC for Appendix 3, 5, 6, and 4 and others. IVV notes that these required tasks and actions are not included in the BESS Project Schedule however, the ASO is working with DHS to plan the activity details and add them to the schedule. 04/30/2020 - The ASO continues to efforts with DHS BESSD to break down the requirements into singular, traceable, and testable requirements to eliminate all partially met requirements, and to request and obtain approval from DHS via Controlled Correspondence process. This activity is behind schedule, it was planned to be complete by the end of April, and the revised completion date is currently unknown. The latest interim project schedule published by the ASO incorrectly states this activity as being completed, however per DHS, this activity is not completed. IVV will continue to monitor the status of this important requirement management activity during May. 03/31/2020 - The ASO is continuing its efforts with DHS BESSD to break down the requirements 09/30/2020 - In September, 5 of the 12 remaining deliverables for Release 0.1 are in progress. Release 0.2 is completed and Release 0.3 is in progress. The ASO is working to complete the 12 deliverables are currently in progress, although none have been completed. In late September, the ASO updated the Release 0.2 Lessons Learned session to provide details on the system and to take the progress of the action items. While these updates provide additional visibility into the planner corrective actions, and most are targeted for implementation during Release 0.2, action item due dates have not been established and recorded. IVV will continue to monitor. 08/31/2020 - Although UAT for Release 0.1 was completed in early July, the associated deliverables have either not been delivered or not been accepted more than 6 weeks later. Release planning needs to account for the deliverables associated with a release in addition to the software development activities. The ASO conducted a third Release 0.1 Lessons Learned activity on 8/23/2020, and delivered an Action Plan on 8/21/2020, however the plan does not include owners or due dates for the planned improvements. 07/31/2020 - Release 0.1 completed User Acceptance Testing, however the ASO is still working to complete development of the majority of the associated documentation deliverables needed to memorialize the release effort. A Lessons Learned activity took place on 7/23/2020 and 7/28/2020 to determine what went well and what can be improved upon for future releases. There were 30 total items reviewed. 14 of which fell into the "can be improved" upper category. 08/02/2020 - The BESS releases were accomplished in June. The release of R0.1 was released in mid-June, as some of the originally planned SSI component tests were delayed to R0.2. R0.1 is currently scheduled for completion on 7/14/2020 with the BESS Card Inventory Module data and issuance functions, which are currently planned for R0.3). However, IVV notes that several R0.3 pre-require deliverables requiring updates based on SSOF have not yet been delivered and/or are not yet approved by DHS, and R0.1 UAT efforts have been delayed. These tools being implemented by the ASO could potentially help to improve the release management function. IVV will continue to monitor the ASO and DHS activities related to this important first release for BESS. 09/31/2020 - This changes to this finding in May. While there is currently a KOLA MO release (R0.2.2.0) planned for June, the first BESS IDO release is scheduled for August 2020. IVV will continue to monitor. 04/30/2020 - IVV validates that no new MO or DOI releases were performed during the
42	Project delays and disruption in DHS operations may occur if ASO communications with DHS regarding key long-term project information does not improve.	refers	Finding - Risk	3/29/2019	Project Management	IVV has observed that ASO communication to DHS regarding key project information is at times insufficient and/or delayed. Recent examples include: - DHS reported that changes to the ASO calendar are being made by the ASO without notifying stakeholders. - PMO and BESS Project Team did not receive sufficient daily or notification about challenges impacting the previously planned October BESSD Release. The topic was discussed at the end of the 3/26/2019 ASO								

