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November 16, 2020

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

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

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

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State's Employer-Union Health Benefits Trust Fund Benefits Administration System project.

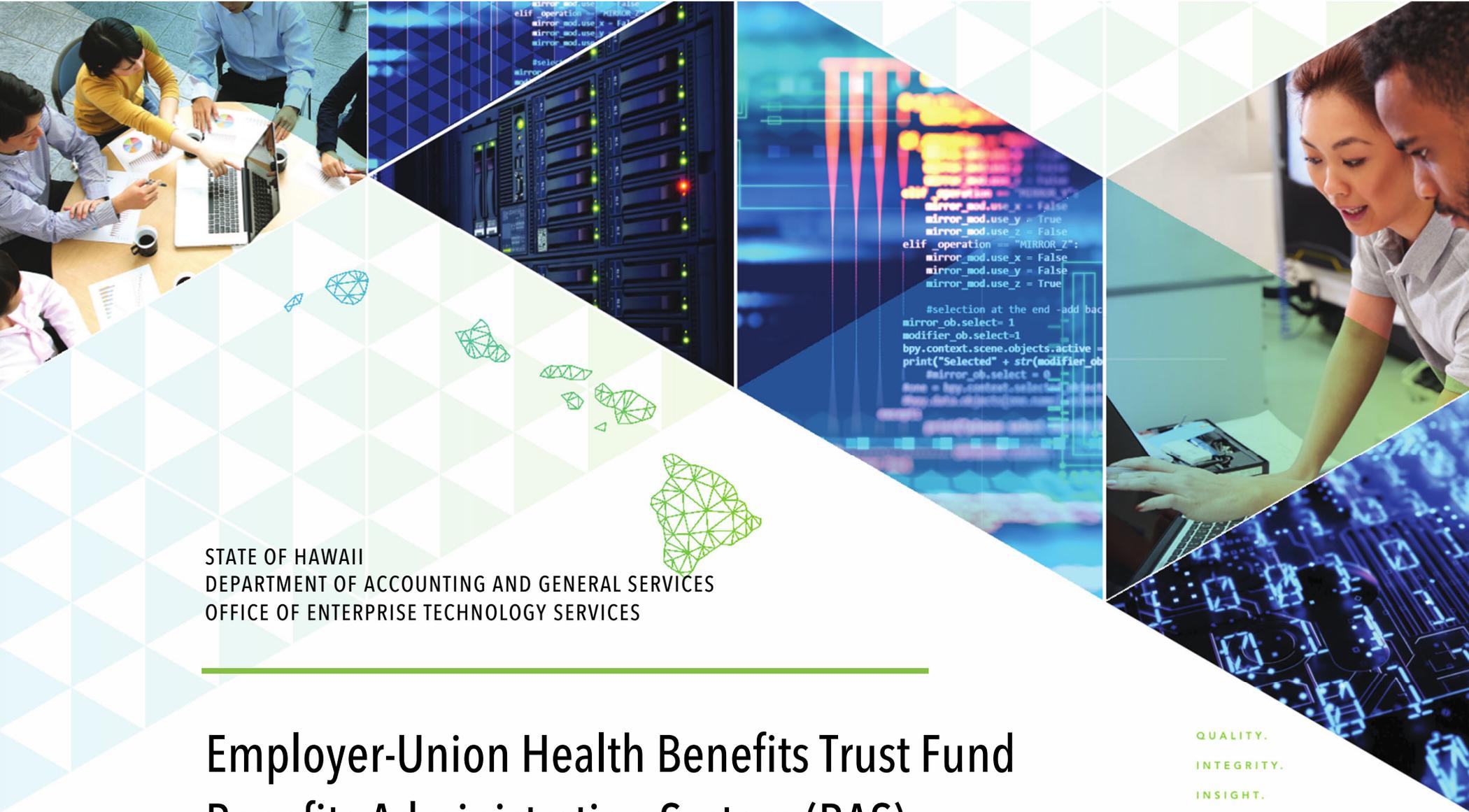
In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

Sincerely,


Douglas Murdock (Nov 19, 2020 10:42 HST)

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (1)



STATE OF HAWAII
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

Employer-Union Health Benefits Trust Fund Benefits Administration System (BAS)

MONTHLY IV&V STATUS REPORT

September 25, 2020 | Version 1.0

REPORT FINALIZED

October 19, 2020

QUALITY.
INTEGRITY.
INSIGHT.



CERTIFIED
PUBLIC
ACCOUNTANTS





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Document History

DATE	DESCRIPTION	AUTHOR	VERSION
10/05/20	Monthly IV&V Status Report Draft created	Julia Okinaka	0.0
10/19/20	Monthly IV&V Status Report updated for minor formatting edits. No comments submitted in Appendix E.	Julia Okinaka	1.0

EXECUTIVE SUMMARY

BACKGROUND

The State of Hawaii (State), Employer-Union Health Benefits Trust Fund (EUTF) contracted Morneau Shepell Limited (Morneau Shepell) with their Ariel EAS technology solution for the Health Benefits Administration System Modernization Project (BAS Project) on June 1, 2020. EUTF also contracted Segal to provide project management, business process reengineering (BPR), organizational change management (OCM), and quality management. Segal's subcontractor, ICON Consulting (ICON), is responsible for data consulting and conversion.

The Office of Enterprise Technology Services (ETS) contracted Acuity LLP (Acuity) to provide Independent Verification and Validation (IV&V) services for the EUTF BAS Project. The goal of IV&V is to increase the probability of project success. The benefits of IV&V include identification of high-risk areas early and actionable recommendations.

Following IV&V's Initial Assessment Report, Monthly IV&V Status Reports are issued to update and evaluate continual project progress and performance. Pre and Post Go-Live Implementation Milestone Reports will be issued prior to and after the deployment/completion of major project milestones.

The project has almost completed Phase 1 project planning. The focus of our IV&V activities for this report included the completion of a two-month evaluation of quality management, and the review of OCM and BPR.

The IV&V Dashboard on the following two pages provides a quick visual and narrative snapshot of both the project status and project assessment as of September 25, 2020. Refer to Appendix A: IV&V Criticality and Severity Ratings for an explanation of the ratings and Appendix E: Prior Findings Log for prior report findings.

QUALITY

"Quality is everyone's responsibility."

- W. Edwards Deming

PROJECT ASSESSMENT

AS OF SEPTEMBER 25, 2020

SUMMARY RATINGS

OVERALL RATING



Minimal deficiencies were observed. Oversight may be needed to ensure risks stay low and project remains on track.

PROGRAM GOVERNANCE



PROJECT MANAGEMENT



TECHNOLOGY



CRITICALITY RATINGS

R

HIGH

Y

MEDIUM

G

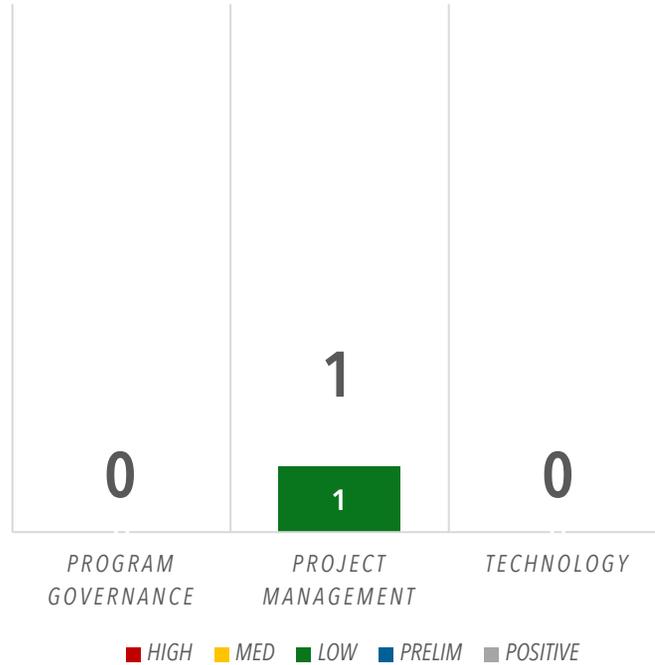
LOW

NA

N/A

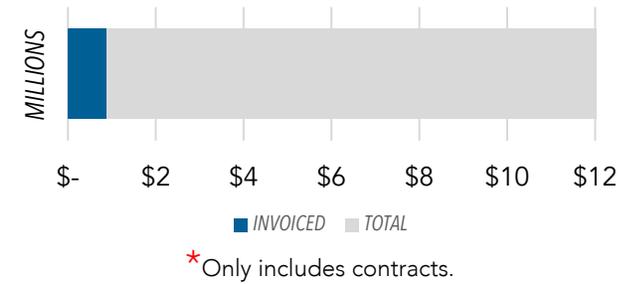
1 OPEN FINDINGS

SEVERITY RATINGS BY ASSESSMENT AREA

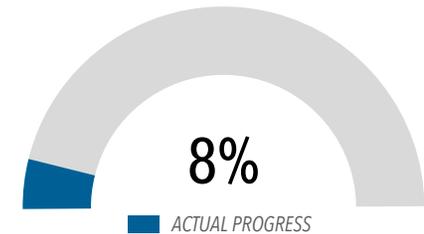


1 OPEN RECOMMENDATIONS

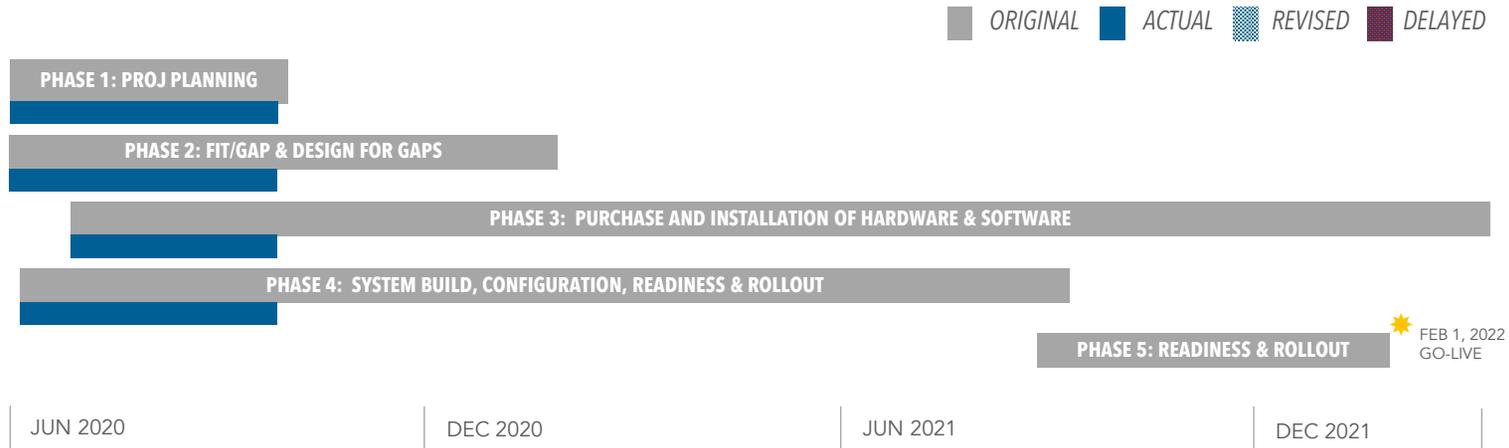
PROJECT BUDGET*



PROJECT PROGRESS



PROJECT TIMELINE**



** Revised project schedule approved by EUTF.

ASSESSMENT AREA & RATINGS SUMMARY

AS OF SEPTMEBER 25, 2020

JUL	AUG	SEPT	IV&V ASSESSMENT AREA	IV&V OBSERVATIONS
G	G	G	<i>Overall</i>	<p>The overall project rating reflects the establishment and execution of key foundational project practices. The criticality rating for 14 IV&V Assessment Categories are solid green. The process deficiencies from last month's report were all adequately addressed.</p> <p>Project Schedule: The project is on schedule and the baseline schedule is approved with a Go-Live of February 1, 2022.</p> <p>Project Costs: Project contract costs invoiced to-date approximated \$1,324,000 and are within the project budget. Payment schedules were revised to match the new Go-Live date.</p> <p>Quality: The project began to measure and monitor some quality metrics this month, such as the requirements completion ratio. The Quality Management Plan is pending finalization.</p>
G	G	G	<i>Program Governance</i>	<p>Project governance is working effectively with key decisions and issues being escalated appropriately. The Joint Steering Committee (JSC) convened to discuss the revised timeline, project scorecard, risks, activities, key decisions, and action items.</p>
G	G	G	<i>Project Management</i>	<p>The project team works together cohesively and jointly contributed to key project management deliverables and practices. An overview of the BAS Implementation Methodology was presented to EUTF project and staff members. Following the completion of 6 weeks of planning sessions to clarify and refine requirements, Fit/Gap sessions were kicked-off this month demonstrating how each requirement would be accommodated in the new Ariel BAS. A BPR roadmap and tools were presented to EUTF including process mapping and a Process Impact Log that will be used to document process changes. Stakeholder Message Canvases were completed for project stakeholders to identify the changes resulting from the project and what support they will need to help manage the transition to the new Ariel BAS. BPR opportunities through Ariel system configuration were demonstrated during Fit/Gap and Joint Stand Up sessions. The COVID-19 finding (2020.08.PM01) has been partially mitigated by ensuring all key EUTF project members have computers and access to work remotely, and additional headcount was approved to support the project and operations.</p>
G	G	G	<i>Technology</i>	<p>Data conversion and validation activities are back on schedule, and a Data Migration Strategy Plan is under review and approval by EUTF. EUTF and Morneau Shepell are working together to determine the best approach for extracting images and files from the Vitech system. System configuration activities for Interval 1 have begun and Morneau Shepell has begun to demonstrate how system enhancements to meet EUTF requirements can be built through configuration. Fit/Gap sessions to review technical requirements related to architecture, design, and IT operations occurred and will be validated through a combination of architecture and design documentation, testing, reports, and logs. The Quality Management Plan is under final review and was further refined this month including solidifying quality metrics, quality gates, data quality, testing quality, and incorporation of Go/No Go criteria. Morneau Shepell's quality testing resources have begun planning for validation of requirements before client UAT testing.</p>

FINDINGS AND RECOMMENDATIONS BY ASSESSMENT AREA



OVERALL RATING

The overall rating is assigned based on the criticality ratings of the IV&V Assessment Categories and the severity ratings of any underlying findings (see Appendix A: IV&V Criticality and Severity Ratings). The tables below summarize the criticality ratings for each IV&V Assessment Category in each of the three major IV&V Assessment Areas. The criticality rating for 14 IV&V Assessment Categories are a solid green as a result of strong project team collaboration and the establishment of key foundational project and quality management practices.

AT-A-GLANCE

Keep **COMMUNICATING** like one **COHESIVE** team

Continue to execute strong **PROJECT MANAGEMENT PRACTICES**

Continue to monitor and report on **PROJECT AND QUALITY METRICS**

JUL	AUG	SEPT	PROGRAM GOVERNANCE
G	G	G	Governance Effectiveness
G	G	G	Benefits Realization
JUL	AUG	SEPT	TECHNOLOGY
G	G	G	System Software, Hardware, and Integrations
G↓	G↓	G	Data Conversion
G↓	G↓	G	Quality Management and Testing
NA	NA	G	Configuration Management
G	G	G	Security
NA	NA	NA	Deployment and Operations

JUL	AUG	SEPT	PROJECT MANAGEMENT
G↓	G	G	Project Organization and Management
G	G	G	Requirements Management
G↓	G	G	Cost, Schedule, and Resource Management
G	G	G	Risk Management
G	G	G	Communications Management
G	G	G	Organizational Change Management (OCM)
G↓	G↓	G	Business Process Reengineering (BPR)
NA	NA	NA	Training and Knowledge Transfer

PROGRAM GOVERNANCE

Governance Effectiveness

Benefits Realization



PROGRAM GOVERNANCE

JUL	AUG	SEPT	IV&V ASSESSMENT CATEGORY	IV&V OBSERVATION	FINDINGS		
					NEW	OPEN	CLOSED
G	G	G	Governance Effectiveness	Project governance is working effectively with key decisions and issues being escalated appropriately. The JSC convened to discuss the revised timeline, project scorecard, risks, activities, key decisions, and action items. Two no-cost change orders related to payment milestones and schedules were discussed with project management, submitted and approved.	0	0	0
G	G	G	Benefits Realization	The project's critical success factors have been defined in the Project Charter, Scope and Management plan which is in the final stages of review and approval with EUTF. IV&V will continue to monitor these metrics and how they are tracked and reported.	0	0	0

PROJECT MANAGEMENT

Project Organization and Management

Requirements Management

Cost, Schedule, and Resource Management

Risk Management

Communications Management

Organizational Change Management

Business Process Reengineering

Training and Knowledge Transfer



PROJECT MANAGEMENT

JUL	AUG	SEPT	IV&V ASSESSMENT CATEGORY	IV&V OBSERVATION	FINDINGS		
					NEW	OPEN	CLOSED
			Project Organization and Management	The project team works together cohesively and jointly contributed to key project management deliverables and practices. An overview of the BAS Implementation Methodology was presented to EUTF project and staff members. The COVID-19 finding (2020.08.PM01) has been partially mitigated by ensuring all key EUTF project members have computers and access to work remotely, and additional headcount was approved to support the project and operations. Project tools and practices such as a joint project SharePoint site and regular, recurring meetings also help the teams work effectively together from remote locations.	0	1	2
			Requirements Management	Following the completion of 6 weeks of planning sessions to clarify and refine requirements, Fit/Gap sessions were kicked-off this month demonstrating how each requirement would be accommodated in the new Ariel BAS. The Requirements Management process was further clarified in the Project Charter, Scope and Management Plan, including different status and priority levels. Morneau Shepell continues to update the RTM for clarification and traceability.	0	0	0

PROJECT MANAGEMENT

Project Organization and Management

Requirements Management

Cost, Schedule, and Resource Management

Risk Management

Communications Management

Organizational Change Management

Business Process Reengineering

Training and Knowledge Transfer

JUL	AUG	SEPT	IV&V ASSESSMENT CATEGORY	IV&V OBSERVATION	FINDINGS		
					NEW	OPEN	CLOSED
			Cost, Schedule, and Resource Management	Project contract costs invoiced to-date approximated \$1,324,000 and are within the project budget. Payment schedules were revised to match the new Go-Live date. The project is on schedule and the baseline schedule is approved with a Go-Live of February 1, 2022.	0	0	0
			Risk Management	Risks and issues continue to be logged and discussed during weekly project meetings. IV&V risks have been added to the project risk log to ensure they are discussed and tracked jointly.	0	0	0
			Communications Management	The EUTF project team is very involved and hands-on in project meetings and discovery sessions. An overview of the BAS Implementation Methodology was presented to EUTF project and staff members. Following the initial Fit/Gap sessions, feedback was gathered from EUTF project team to ensure understanding and what additional communications may be required. Weekly joint stand-up meetings were initiated this month to clarify any items around requirements, report on progress, ask questions, and provide short demonstrations of work in progress.	0	0	0

PROJECT MANAGEMENT

Project Organization and Management

Requirements Management

Cost, Schedule, and Resource Management

Risk Management

Communications Management

Organizational Change Management

Business Process Reengineering

Training and Knowledge Transfer

JUL	AUG	SEPT	IV&V ASSESSMENT CATEGORY	IV&V OBSERVATION	FINDINGS		
					NEW	OPEN	CLOSED
G	G	G	Organizational Change Management (OCM)	Stakeholder Message Canvases were completed for project stakeholders to identify the changes resulting from the project and what support they will need to help manage the transition to the new Ariel BAS. Segal will deliver an OCM Plan by the end of January 2021. In the interim, Segal is providing EUTF with a high-level overview with additional OCM and BPR activities leading up to the formal plans.	0	0	0
G↓	G↓	G	Business Process Reengineering (BPR)	A BPR roadmap and tools were presented to EUTF including process mapping and a Process Impact Log that will be used to document process changes. BPR opportunities through Ariel system configuration were demonstrated during Fit/Gap and Joint Stand Up sessions. The project has developed a culture of continuous feedback and improvement in regular project meetings. Segal will deliver a BPR Plan by the end of January 2021. In the interim, Segal is providing EUTF with a high-level overview with additional OCM and BPR activities leading up to the formal plans.	0	0	0
NA	NA	NA	Training and Knowledge Transfer	Training and Knowledge Transfer activities are not occurring at this stage of the project.	0	0	0

TECHNOLOGY

System Software, Hardware, and Integrations

Data Conversion

Quality Management and Testing

Configuration Management

Security

Deployment and Operations



TECHNOLOGY

JUL	AUG	SEPT	IV&V ASSESSMENT CATEGORY	IV&V OBSERVATION	FINDINGS		
					NEW	OPEN	CLOSED
G	G	G	System Software, Hardware, and Integrations	Fit/Gap sessions to review technical requirements related to architecture, design, and IT operations occurred and will be validated through a combination of architecture and design documentation, testing, reports, and logs. Morneau Shepell will deliver a Solution Architecture document in October. IV&V will review system architecture and infrastructure more thoroughly in the upcoming months.	0	0	0
G↓	G↓	G	Data Conversion	Data conversion and validation activities are back on schedule, and a Data Migration Strategy Plan is under review and approval by EUTF. EUTF and Morneau Shepell are working together to determine the best approach for extracting images and files from the Vitech system. Weekly data conversion meetings are effective and are used to clarify upcoming tasks, identify data issues early, and develop solutions.	0	0	0
G↓	G↓	G	Quality Management and Testing	The project began to measure and monitor some quality metrics this month, such as the requirements completion ratio. The Quality Management Plan is pending finalization and approval by EUTF. The plan was further refined this month including solidifying quality metrics, quality gates, data quality, testing quality, and incorporation of Go/No Go criteria. Morneau Shepell's quality testing resources have begun planning for validation of requirements before client UAT testing, including the development of acceptance criteria.	0	0	0

TECHNOLOGY

System Software,
Hardware, and
Integrations

Data Conversion

Quality Management
and Testing

Configuration
Management

Security

Deployment and
Operations

JUL	AUG	SEPT	IV&V ASSESSMENT CATEGORY	IV&V OBSERVATION	FINDINGS		
					NEW	OPEN	CLOSED
NA	NA	G	Configuration Management	System configuration activities for Interval 1 have begun and Morneau Shepell has begun to demonstrate how system enhancements to meet EUTF requirements can be built through configuration. Morneau Shepell uses Micro Focus' Application Lifecycle Management (ALM) tool to trace and track the requirements from initiation through configuration to quality testing and completion to manage, document, and validate system configuration changes. After implementation, Morneau Shepell uses its Ariel View ticketing system to track, prioritize, plan, and review IT change management requests.	0	0	0
G	G	G	Security	No significant updates since the prior report. EUTF plans to share the State's preliminary cybersecurity guidelines with Morneau Shepell. Morneau Shepell will deliver a Solution Architecture document in October that includes application and infrastructure security. IV&V will review security more thoroughly in the upcoming months.	0	0	0
NA	NA	NA	Deployment and Operations	Deployment activities are not occurring at this stage of the project.	0	0	0

Appendix A: IV&V Criticality and Severity Ratings

IV&V CRITICALITY AND SEVERITY RATINGS

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

Criticality Rating

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

TERMS

RISK

An event that has not happened yet.

ISSUE

An event that is already occurring or has already happened.



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



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



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



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

TERMS

POSITIVE
Celebrates high performance or project successes.

PRELIMINARY CONCERN
Potential risk requiring further analysis.

Severity Rating

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

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

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



SEVERITY 1: High/Critical level



SEVERITY 2: Moderate level



SEVERITY 3: Low level

Appendix B: Industry Standards and Best Practices

STANDARD	DESCRIPTION
ADA	Americans with Disabilities Act
ADKAR®	Prosci ADKAR: Awareness, Desire, Knowledge, Ability, and Reinforcement
BABOK® v3	Business Analyst Body of Knowledge
DAMA-DMBOK® v2	DAMA International's Guide to the Data Management Body of Knowledge
HIPAA	Health Insurance Portability and Accountability Act of 1996
MARS-E v2.0	CMS Minimum Acceptable Risk Standards for Exchanges – Exchange Reference Architecture Supplement
MITA v3.0	Medicaid Information Technology Architecture
PMBOK® v6	Project Management Institute (PMI) Project Management Body of Knowledge
SWEBOK v3	Guide to the Software Engineering Body of Knowledge
TOGAF® v9.2	The Open Group Architecture Framework Standard
COBIT® 2019 Framework	Control Objectives for Information and Related Technologies Framework
IEEE 828-2012	Institute of Electrical and Electronics Engineers (IEEE) Standard for Configuration Management in Systems and Software Engineering
IEEE 1062-2015	IEEE Recommended Practice for Software Acquisition
IEEE 1012-2016	IEEE Standard for System, Software, and Hardware Verification and Validation
IEEE 730-2014	IEEE Standard for Software Quality Assurance Processes
ISO 9001:2015	International Organization for Standardization (ISO) Quality Management Systems – Requirements
ISO/IEC 25010:2011	ISO/International Electrotechnical Commission (IEC) Systems and Software Engineering – Systems and Software Quality Requirements and Evaluation (SQuaRE) – System and Software Quality Models
ISO/IEC 16085:2006	ISO/IEC Systems and Software Engineering – Life Cycle Processes – Risk Management

STANDARD	DESCRIPTION
IEEE 16326-2019	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Life Cycle Processes – Project Management
IEEE 29148-2018	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Life Cycle Processes – Requirements Engineering
IEEE 15288-2015	ISO/IEC/IEEE International Standard – Systems and Software Engineering – System Life Cycle Processes
IEEE 12207-2017	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Software Life Cycle Processes
IEEE 24748-1-2018	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Life Cycle Management – Part 1: Guidelines for Life Cycle Management
IEEE 24748-2-2018	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Life Cycle Management – Part 2: Guidelines for the Application of ISO/IEC/IEEE 15288 (System Life Cycle Processes)
IEEE 24748-3-2012	IEEE Guide: Adoption of ISO/IEC TR 24748-3:2011, Systems and Software Engineering – Life Cycle Management – Part 3: Guide to the Application of ISO/IEC 12207 (Software Life Cycle Processes)
IEEE 14764-2006	ISO/IEC/IEEE International Standard for Software Engineering – Software Life Cycle Processes – Maintenance
IEEE 15289-2019	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Content of Life Cycle Information Items (Documentation)
IEEE 24765-2017	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Vocabulary
IEEE 26511-2018	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Requirements for Managers of Information for Users of Systems, Software, and Services
IEEE 23026-2015	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Engineering and Management of Websites for Systems, Software, and Services Information
IEEE 42010-2011	ISO/IEC/IEEE International Standard – Systems and Software Engineering – Architecture Description
IEEE 29119-1-2013	ISO/IEC/IEEE International Standard – Software and Systems Engineering – Software Testing – Part 1: Concepts and Definitions
IEEE 29119-2-2013	ISO/IEC/IEEE International Standard – Software and Systems Engineering – Software Testing – Part 2: Test Processes
IEEE 29119-3-2013	ISO/IEC/IEEE International Standard – Software and Systems Engineering – Software Testing – Part 3: Test Documentation
IEEE 29119-4-2015	ISO/IEC/IEEE International Standard – Software and Systems Engineering – Software Testing – Part 4: Test Techniques

STANDARD	DESCRIPTION
IEEE 1484.13.1-2012	IEEE Standard for Learning Technology – Conceptual Model for Resource Aggregation for Learning, Education, and Training
ISO/IEC TR 20000-11:2015	ISO/IEC Information Technology – Service Management – Part 11: Guidance on the Relationship Between ISO/IEC 20000-1:2011 and Service Management Frameworks: ITIL®
ISO/IEC 27002:2013	Information Technology – Security Techniques – Code of Practice for Information Security Controls
SAML v2.0	Security Assertion Markup Language v2.0
SoaML v1.0.1	Service Oriented Architecture Modeling Language
CMMI-DEV v1.3	Capability Maturity Model Integration for Development
FIPS 199	Federal Information Processing Standard (FIPS) Publication 199, Standards for Security Categorization of Federal Information and Information Systems
FIPS 200	FIPS Publication 200, Minimum Security Requirements for Federal Information and Information Systems
NIST 800-53 Rev 4	National Institute of Standards and Technology (NIST) Security and Privacy Controls for Federal Information Systems and Organizations
NIST Cybersecurity Framework v1.1	NIST Framework for Improving Critical Infrastructure Cybersecurity
LSS	Lean Six Sigma

Appendix C: IV&V Monthly Status

MAIN IV&V ACTIVITIES AND ACCOMPLISHMENTS

MAIN IV&V ACTIVITIES AND ACCOMPLISHMENTS
Reviewed Quality Management Plan
Reviewed Data Migration Plan
Reviewed Project Charter, Scope and Management Plan
Conducted stakeholder interviews
Reviewed the RTM and provided additional remarks and action items resulting from Discovery Sessions
Participated in EUTF project management, data conversion, and Fit/Gap Sessions
Facilitated meeting with ETS and EUTF to discuss cybersecurity guidelines
Finalized August Monthly IV&V Status Report and submitted Draft September 2020 Monthly IV&V Status Report

KEY UPCOMING IV&V DELIVERABLES

KEY IV&V DELIVERABLES	DRAFT DUE DATE	DRAFT SUBMITTED	FINAL SUBMITTED
September 2020 Monthly IV&V Status Report	10/05/20	10/05/20	-

PRIOR IV&V APPROVED DELIVERABLES

DELIVERABLE	AS OF DATE	APPROVED DATE
IV&V Project Management Plan (IVVP)	N/A	07/22/20
Initial Assessment Report	06/26/20	07/29/20
July 2020 Monthly IV&V Status Report	07/24/20	08/20/20
August 2020 Monthly IV&V Status Report	08/25/20	09/25/20

Appendix D: Interviews, Meetings, and Documents

INTERVIEWS

DATE	INTERVIEWEE
09/04/20	EUTF Administrator
09/11/20	Clerical Supervisor III, Unit I, Member Services Section
09/11/20	Clerical Supervisor III, Unit II, Member Services Section
09/24/20	Morneau Shepell PM, Configuration Management Overview

MEETINGS

DATE	MEETING DESCRIPTION
08/26/20	Discovery Session 6 - Day 1
08/27/20	Discovery Session 6 - Day 2
08/27/20	Review IV&V Preliminary Ratings for August
08/28/20	Discovery Session 6 - Day 3
08/31/20	EUTF/ICON/MS Data Conversion Weekly Meeting
08/31/20	August IV&V Update meeting
08/31/20	EUTF - Joint Weekly Project Team Meeting
09/01/20	BPR Process
09/03/20	Test Planning
09/08/20	EUTF/ICON/MS Data Conversion Weekly Meeting
09/08/20	EUTF - Joint Weekly Project Team Meeting

MEETINGS (CONTINUED)

DATE	MEETING DESCRIPTION
09/09/20	EUTF - BAS Joint Monthly Steering Committee Meeting
09/10/20	Requirements Management Meeting
09/10/20	EUTF - Scope and Management Plan Review
09/11/20	ETS and EUTF BAS Meeting
09/14/20	EUTF/ICON/MS Data Conversion Weekly Meeting
09/14/20	Quality Management Plan Review
09/14/20	EUTF - MS Implementation Methodology Session
09/15/20	EUTF - Fit/Gap Session 1, Day 1
09/15/20	Monthly Meeting with IV&V and PMs
09/16/20	EUTF - Fit/Gap Session 1, Day 2
09/17/20	EUTF - Fit/Gap Session 1, Day 3
09/18/20	EUTF - Fit/Gap Session 1, Day 4
09/21/20	EUTF/ICON/MS Data Conversion Weekly Meeting
09/21/20	September IV&V Update meeting
09/21/20	Data Group 1 - DQCP/Validation Consolidated Results
09/21/20	EUTF - Joint Weekly Project Team Meeting
09/22/20	EUTF - Fit/Gap Session 2, Day 1
09/23/20	EUTF - Fit/Gap Session 2, Day 2
09/24/20	EUTF Joint Stand Up Meetings
09/24/20	EUTF - Data Migration Plan Review

MEETINGS (CONTINUED)

DATE	MEETING DESCRIPTION
09/24/20	Quality Management Plan Review
09/24/20	Review IV&V Preliminary Ratings for September

DOCUMENTS

TYPE	DOCUMENT
Morneau Shepell Proposal	EUTF BAS RFP 20-002- Morneau Shepell BAFO Response to BAS Oral Presentation Demo Question Requests - FINAL
Request for Proposal	State of Hawaii EUTF BAS RFP No. RFP-20-001 for Project Management and Consulting Services (Release Date 09/25/19)
Segal Proposal	BAFO for RFP No. RFP-20-001 for Project Management and Consulting Services (Effective 03/16/20)
Request for Proposal	State of Hawaii ETS RFP-19-010 EUTF BAS IV&V
Accuity Proposal	Accuity LLP EUTF IVV Proposal RFP-19-010 FINAL
Contract	Morneau Shepell Limited Contract (effective 06/01/20)
Contract	Segal Company Contract (effective 06/01/20)
Contract	Accuity Contract (effective 06/01/20)
Governance	EUTF – Joint SC (Steering Committee) Meeting – 2020-09-09
Project Management	Hawaii EUTF Morneau Shepell Project Kick-Off – FINAL (06/04/20)
Project Management	EUTF – Weekly Project Team Status – 2020-08-31
Project Management	EUTF – Weekly Project Team Status – 2020-09-08
Project Management	EUTF – Weekly Project Team Status – 2020-09-21
Project Management	20200828 Segal EUTF Status Report
Project Management	20200831 Segal EUTF Status Report
Project Management	20200904 Segal EUTF Status Report

DOCUMENTS (CONTINUED)

TYPE	DOCUMENT
Project Management	20200911 Segal EUTF Status Report
Project Management	20200918 Segal EUTF Status Report
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 08 28 2020
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 09 04 2020
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 09 11 2020
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 09 18 2020
Risk and Issues	EUTF – CRAID Log
Schedule	Hawaii (EUTF) – BAS Work Plan
Schedule	EUTF Data Quality – Project Plan V5
Schedule	EUTF Data Quality – Project Plan V6
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-08-31
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-09-08
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-09-21
Discovery Session	EUTF – Phase 2_Fit Gap 2 Day 1_Architecture and Design
Discovery Session	EUTF – Phase 2_Fit Gap 2 Day 2_IT Operations
Discovery Session	EUTF – Client RTM
Deliverable	Hawaii EUTF – BAS Implementation - Charter, Scope and Management Plan
Deliverable	EUTF Quality Management Plan
Deliverable	EUTF - Data Migration Strategy Plan

DOCUMENTS (CONTINUED)

TYPE	DOCUMENT
Deliverable	Data Migration Strategy Review 20200923
OCM	Stakeholder Message Canvas - Carriers
OCM	Stakeholder Message Canvas – Employers
OCM	Stakeholder Message Canvas – Members (Employees and Retirees)
BPR	Process Impact Log
State	State of Hawaii EM 20-07 FB 2021-23 Program Review (08/17/20)
State	State of Hawaii Twelfth Proclamation Related to the COVID-19 Emergency (08/20/20)
Testing	Test Planning 20200903



Appendix E: Prior Findings Log

Appendix E: Prior Findings Log

ASSESSMENT CATEGORY	FINDING ID	TYPE	ORIGINAL SEVERITY	CURRENT SEVERITY	FINDING	ANALYSIS	RECOMMENDATION ID	RECOMMENDATION	SUPPLEMENTAL RECOMMENDATION	FINDING STATUS	FINDING STATUS UPDATE	CLOSED DATE	CLOSURE REASON
Project Organization and Management	2020.08.PM01	Risk	Low	Low	The COVID-19 pandemic may impact project schedule, resources, and costs.	The COVID-19 pandemic creates uncertainty with rapidly evolving government responses and restrictions and changing circumstances. The following is a summary of the related events and facts: <ul style="list-style-type: none"> A second stay-at-home/work-at-home order went into effect August 27, 2020 for Honolulu City and County and will last for at least 14 days. EUTF employees are deemed essential. All key EUTF project employees will have the ability and equipment to work from home in the event of an office closure by the end of September. All project contractors already work remotely effectively. The State is reviewing budgets and positions to make significant changes due to anticipated revenue shortfalls. The State also implemented a hiring freeze and is contemplating furloughs or salary cuts for State workers. EUTF has several open positions that could play essential roles on the project. EUTF's request to fill these positions is pending. The project timeline and go-live dates do not have much room to be extended due to the annual benefit plan enrollment season. Any delays that postpone go-live beyond the enrollment season could impact project costs. 	2020.08.PM01.R1	Formulate processes for how to respond to COVID-19 impacts to the project.	<ul style="list-style-type: none"> EUTF, project contractors, and subcontractors should timely complete a back-up resources matrix including a list of key project resources, their key primary functions, and potential backup resources in case of their inability to work. Assess COVID-19 direct and indirect impacts to the project and prepare contingency plans for possible scenarios. Ensure all key EUTF project team members have the necessary access, equipment, and technology to work remotely effectively. 	Open	9/25/20: The COVID-19 finding has been partially mitigated by ensuring all key EUTF project team members have computers and access to work remotely and additional headcount approved to support the project and operations. Project tools and practices such as a joint project SharePoint site and regular, recurring meetings also help the teams work effectively together from remote locations. The project contractors agreed to develop back-up resource matrices.		
Project Organization and Management	2020.07.PM02	Risk	Moderate	Moderate	Segal's contract contains responsibilities and deliverables beyond oversight of Morneau Shepell, including OCM, BPR, and quality management. Segal's project deliverables, schedule, and processes have yet to be formally documented and scheduled, which could impact the execution of Segal, ICON, and EUTF responsibilities and activities.	Segal was contracted to provide various project management, OCM, BPR, data conversion, and quality management services for EUTF. Segal is effectively monitoring and reviewing Morneau Shepell activities and deliverables but does not yet have a schedule for ICON's and their own independent deliverables for this project. Segal established a dashboard and regularly submits reports to EUTF; however, thus far, these reports focus mainly on Morneau Shepell and do not include sufficient updates regarding Segal and ICON's own activities, progress, and risks. Additionally, Segal's processes in the areas of schedule, resource, cost, and quality management are still being developed and documented.	2020.07.PM02.R1	Clarify Segal and ICON deliverables.	<ul style="list-style-type: none"> Clarify purpose, content, and expectations of each of the contracted deliverables. Consider whether contracted deliverables still make sense based on project needs. 	Closed	08/25/20: Segal and ICON made good progress on clarifying deliverables and project activities related to their responsibilities. EUTF, Segal, and IV&V started monthly check-in meetings and discussed Segal's "just-in-time" approach to OCM and BPR. The EUTF PM confirmed approval of this approach with preliminary activities occurring before OCM and BPR plans are formalized. ICON clarified their Data Quality Check Point (DQCP) process and preliminary results from defined business rules. Accuity closed recommendation 2020.07.PM02.R1 as IV&V received sufficient clarification of Segal and ICON deliverables.	9/25/2020	Closed as the Segal and ICON deliverables, activities and schedules have been clarified and approved by EUTF. In addition, key processes were defined and communicated through meetings, plans and metrics. Segal and ICON's status and activities are included in reports to the Joint Steering Committee.
						Segal's deliverables include a BPR and OCM plan. Segal prepared a presentation, developed a tracking tool, and held a workshop to explain their BPR and OCM methodology, however, we are not aware of whether a formally documented plan or schedule of BPR and OCM tasks and resources has been prepared and delivered to EUTF for review. Further discussion of purpose and expectations for this deliverable is still needed.	2020.07.PM02.R2	Develop a project schedule to manage Segal, ICON, and EUTF tasks.	<ul style="list-style-type: none"> Provide the appropriate detail of tasks, durations, due dates, milestones, and deliverables for various parties. 				
						ICON is responsible for data cleansing and data conversion activities. The project team identified two risks and one issue and are experiencing some delays related to data conversion. Clarifying ICON deliverables, schedule, processes, and reporting may help to prevent further issues and delays.	2020.07.PM02.R3	Develop and clarify Segal, ICON, and EUTF processes.	<ul style="list-style-type: none"> Key processes include resource and schedule management, cost management, BPR, OCM, quality management, data cleansing, and data conversion. Consider including Segal, ICON, and EUTF's status and metrics in existing reports and dashboards. Consider including Segal, ICON, and EUTF status and activities in recurring project management meetings to promote even greater project cohesion. 				
Project Organization and Management	2020.07.PM01	Positive	N/A	N/A	The project team continues to work collaboratively and support a culture of open communication and continuous improvement amongst all parties.	The project team members have: <ul style="list-style-type: none"> Encouraged EUTF SMEs to openly discuss areas of confusion and request for improvements to working sessions. Listened to feedback from project team members and timely implemented improvements to project processes (e.g., including incorporating solution demonstrations and introducing project team members). Openly discussed possible solutions to address areas of concern. Continue to proactively ask for feedback after meetings and working sessions. Openly discussed project risks and issues with all project team members. This approach has helped team members to build a high level of comfort with each other and has contributed to a smoother execution of the planning phase of the project.	N/A	N/A for positive findings.	N/A for positive findings.	Closed	N/A	8/25/2020	Closed as this is a positive finding.



Appendix F: Comment Log on Draft Report

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EUTF BAS Project: IV&V Document Comment Log				
		 CERTIFIED PUBLIC ACCOUNTANTS		
ID #	Page #	Comment	Commenter's Organization	Acuity Resolution
1		No EUTF or ETS Comments.		
2				
3				
4				
5				
6				
7				
8				
9				
10				

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