

#### OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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October 5, 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.

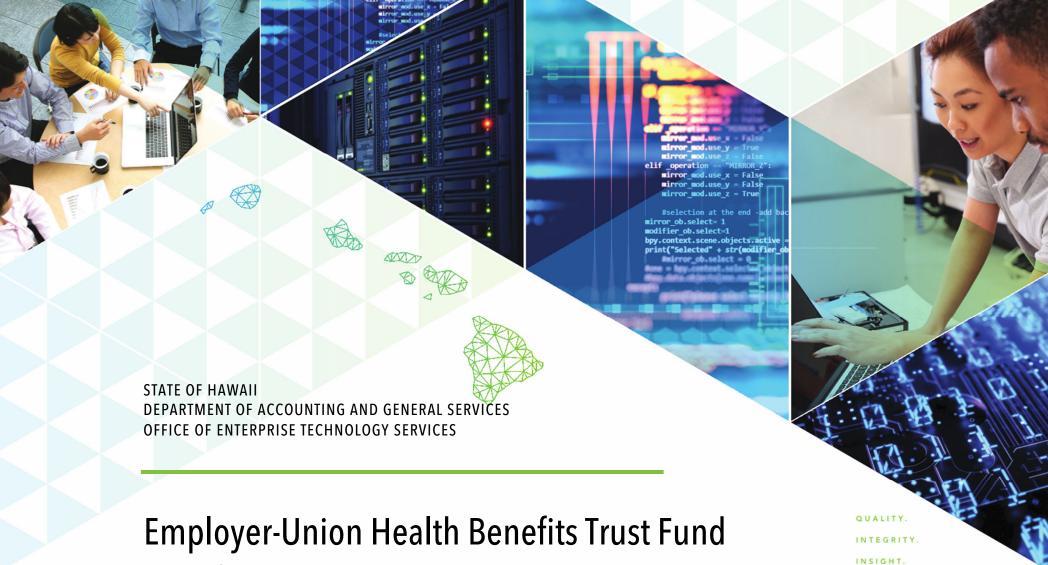
In accordance with HRS section 93-16, this report may be viewed electronically at <a href="http://ets.hawaii.gov">http://ets.hawaii.gov</a> (see "Reports").

Sincerely,

DOUGLAS MURDOCK Chief Information Officer

State of Hawai'i

Attachment (1)



# **Benefits Administration System (BAS)**

MONTHLY IV&V STATUS REPORT

August 25, 2020 | Version 1.0

REPORT FINALIZED

September 23, 2020



CERTIFIED PUBLIC ACCOUNTANTS









# Document History

DATE	DESCRIPTION	AUTHOR	VERSION
09/04/20	Monthly IV&V Status Report Draft created	Julia Okinaka	0.0
09/23/20	Monthly IV&V Status Report updated for clarification of trending arrows defined in Appendix A. No comments submitted in Appendix F.	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 Accuity LLP (Accuity) 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.

The Initial Assessment Report covered project commencement through June 26, 2020. Monthly IV&V Status Reports will be 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 focus of our IV&V activities for this report included the completion of a two-month evaluation of requirements management, the review of benefits realization, communications management, and the start of a two-month evaluation of quality management. We will continue our review of quality management through the next report period for a more in-depth assessment.

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 August 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.

**PROJECT PLANNING** 

"Let our advance worrying become advance thinking and planning."

- Winston Churchill



# **PROJECT ASSESSMENT**

**AS OF AUGUST 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** 



PRO.IFCT **MANAGEMENT** 



**TECHNOLOGY** 



**CRITICALITY RATINGS** 



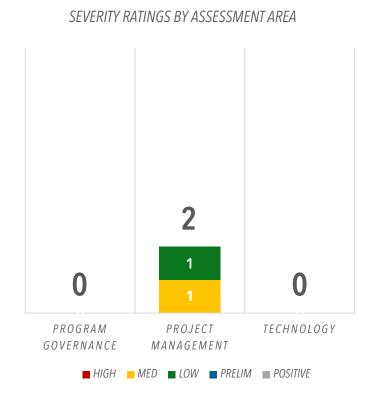




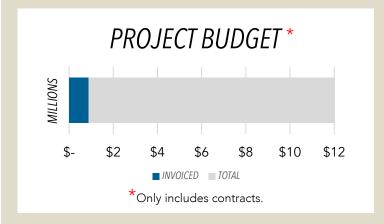


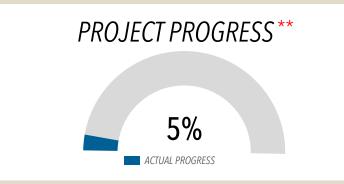


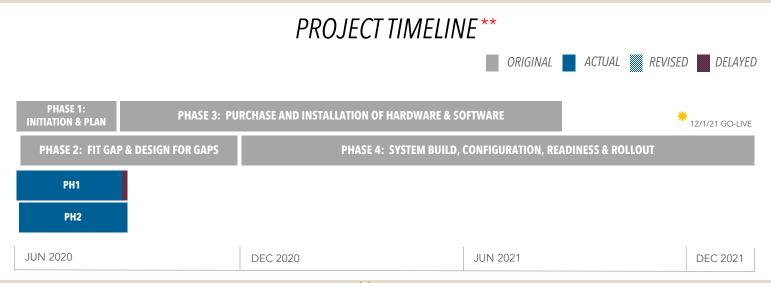
# 2 OPEN FINDINGS



# 2 OPEN RECOMMENDATIONS







# ASSESSMENT AREA & RATINGS SUMMARY

**AS OF AUGUST 25, 2020** 

INITIAL	JUL	AUG	IV&V ASSESSMENT AREA	IV&V OBSERVATIONS
G	G	<b>G</b>	Overall	The overall project rating reflects continued formalization and refinement of key project management processes. The criticality rating for ten IV&V Assessment Categories are a solid green, and three are trending downward. Consistent with last month's report, the downward trending areas reflect the need to finalize the quality management and data conversion plans, delays in data conversion activities, and unclear BPR activities.
				Project Schedule: The project is generally on schedule; however, a revised go-live date is pending EUTF review and approval.
				Project Costs: Project contract costs invoiced to-date approximated \$879,000 and are within the project budget and approved payment schedules.
				Quality: Segal provided a draft Quality Management Plan which is pending review. Quality Management processes and metrics will continue to be evaluated by IV&V next month.
G	G	G	Program Governance	The first Joint Steering Committee (JSC) meeting was held in August 2020 and the project status will be reviewed with the EUTF Board of Trustees at the September 2020 Board Meeting. EUTF and Morneau Shepell drafted initial critical success factors including metrics while the project is in progress, as well as after implementation. IV&V will continue to monitor these metrics and how they are tracked and reported.
G	<b>G</b>	G	Project Management	The project team continues to work collaboratively and effectively despite the COVID-19 pandemic. COVID-19 continues to create uncertainty and evolving government responses, which may impact project schedule, resources, and costs. All project vendors have made progress on documenting project processes, schedules, and deliverables. Discovery sessions continue to clarify and refine solution requirements. Morneau Shepell continuously updates the Requirements Traceability Matrix (RTM) for revisions, follow-up items, and wish list items. Morneau Shepell provided a draft high-level requirements management approach that they will further develop with roles and responsibilities, approval process, and requirements change management. Project communication is adequate for this stage of the project. Morneau Shepell is responsible for project team related communications, and EUTF is responsible for communications with employees, members, employers, and carriers. Segal is supporting EUTF and has provided workshops and tools for identifying, disseminating, and crafting communication messages.
G	6	6	Technology	Data conversion activities are underway and experiencing some delays and challenges due to differences in the record and field structure for employment information between the current BAS system and new Ariel BAS system. EUTF, Morneau Shepell, and ICON are working together and initiated weekly meetings to clarify upcoming tasks, identify data issues early, and develop solutions. Segal submitted their draft Quality Management Plan and will commence test planning activities in September.

# 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 ten IV&V Assessment Categories are green, and three are trending downward. The downward trending areas reflect the need to finalize the quality management and data conversion plans, and delays in data conversion activities. Furthermore, BPR activities need to be more formalized and communicated as the project prepares for upcoming Fit Gap sessions.

# AT-A-GLANCE

Continue OVERALL PROJECT cohesion and reporting

CONTINUE stakeholder INVOLVEMENT

Finalize

MEASURABLE

success metrics

INI	JUL	AUG	PROGRAM GOVERNANCE
G	G	G	Governance Effectiveness
NA	G	G	Benefits Realization
INI	JUL	AUG	TECHNOLOGY
G	G	G	System Software, Hardware, and Integrations
G	G	<b>G</b>	Data Conversion
NA	G	6	Quality Management and Testing
NA	NA	NA	Configuration Management
NA	G	G	Security
NA	NA	NA	Deployment and Operations

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



# PROGRAM GOVERNANCE

Governance Effectiveness

Benefits Realization



## PROGRAM GOVERNANCE

INI	JUL	ALIC	AUG	AUG	AUG	AUG	IV&V ASSESSMENT	IV&V OBSERVATION	FINDINGS		
IINI	JUL	AUG	CATEGORY	IVAV OBSERVATION	NEW	OPEN	CLOSED				
<b>G</b>	G	6	Governance Effectiveness	The first Joint Steering Committee (JSC) meeting was held in August 2020 and will continue to be held monthly. The first meeting agenda was comprehensive and provided a good executive summary of key risks, changes, decisions, and timeline. The project status will be reviewed with the EUTF Board of Trustees at the September 2020 Board Meeting.	0	0	0				
NA	G	6	Benefits Realization	EUTF and Morneau Shepell drafted initial critical success factors including metrics while the project is in progress, as well as after implementation. IV&V will continue to monitor these metrics and how they are tracked and reported.	0	0	0				



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**

IN			II ALIG	JUL AUG IV&V ASSESSMENT	IV&V OBSERVATION	FINDINGS		
IIV	11	JUL AUG	AUG	CATEGORY	IVAV ODSERVATION	NEW	OPEN	CLOSED
		•	G	Project Organization and Management	The project team continues to work collaboratively and effectively despite the COVID-19 pandemic. COVID-19 continues to create uncertainty and evolving government responses, which may impact project schedule, resources, and costs. All project vendors have made progress on documenting project processes, schedules, and deliverables. A joint meeting to review the draft Project Charter, Scope, and Management Plan resulted in clearer processes and expectations.	1	2	1
0		G	G	Requirements Management	Discovery sessions to clarify and refine technical and functional requirements will be completed at the end of July. Morneau Shepell continuously updates the Requirements Traceability Matrix (RTM) for revisions, follow-up items, and wish list items. Morneau Shepell provided a draft high-level requirements management approach that they will further develop with roles and responsibilities, approval process, and requirements change management. Fit Gap sessions to demonstrate how requirements are met or not met in the Ariel solution begin in September.	0	0	0



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

			IV&V ASSESSMENT		FINDINGS		S
INI	JUL	AUG	UG CATEGORY	IV&V OBSERVATION	NEW	OPEN	CLOSED
<b>G</b>	•	G	Cost, Schedule, and Resource Management	Project contract costs invoiced to-date approximated \$879,000 and are within the project budget and approved payment schedules. The EUTF Project Manager developed a budget spreadsheet to track contractor invoices and payments. Project changes impacting cost and significant schedule variances will be discussed and approved through change requests by the EUTF Project Sponsor and/or Joint Steering Committee. EUTF requested change requests from Morneau Shepell and Segal to align fees schedules with Morneau Shepell's revised project work plan. The project is generally on schedule; however, a revised go-live date is pending EUTF review and approval. The revised schedule resolved concerns raised by EUTF and Segal regarding the reduced duration of intervals and ability for the system to meet EUTF expectations. Segal and ICON also made progress on establishing project timelines.	0	0	0
6	G	G	Risk Management	Risks and issues continue to be logged and discussed during weekly project meetings. A risk map of key risks were also discussed with the EUTF executive sponsor at the JSC meeting. Morneau Shepell's draft Project Charter, Scope, and Management Plan was updated to include a more detailed risk identification process.	0	0	0
<b>G</b>	G	G	Communications Management	Project communication is adequate for this stage of the project. Morneau Shepell is responsible for project team related communications, and EUTF is responsible for communications with employees, members, employers, and carriers. Segal is supporting EUTF and has provided workshops and tools for identifying, disseminating, and crafting communication messages. Morneau Shepell's draft Project Charter, Scope, and Management Plan included various communication activities including the communication goal, audience, method, frequency, and owner.	0	0	0



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		IV(O)/ ACCECCMENT		FINDINGS		
INI			IV&V ASSESSMENT CATEGORY	IV&V OBSERVATION		OPEN	CLOSED
NA	6	G	Organizational Change Management (OCM)	Segal continued to hold OCM workshops for EUTF Managers and introduced new tools for identifying stakeholder changes and developing communications. Segal will deliver an OCM Plan by the end of January 2021.	0	0	0
NA	G	G	Business Process Reengineering (BPR)	The kick-off of BPR activities will begin in September. Segal will deliver a BPR Plan by the end of January 2021. IV&V will review BPR activities more thoroughly in the upcoming months.	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



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 FINDING #: 2020.08.PM01

STATUS: OPEN

TYPE: RISK

SEVERITY:

3

#### TITLE: COVID-19 MAY IMPACT PROJECT SCHEDULE, RESOURCES, AND COSTS

Finding: The COVID-19 pandemic may impact project schedule, resources, and costs.

**Industry Standards and Best Practices:** PMI PMBOK Chapter 11 explains that development, execution, and continuous monitoring of risk mitigation plans can help to reduce individual threats and overall project risk exposure.

**Analysis:** 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:

- 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.

The project team already effectively conducts a majority of the project meetings using virtual meeting technology. The project team also plans to identify key resources and tasks to mitigate potential risk of project delays.

**Recommendations:** 2020.08.PM01.R1: Formulate processes for how to respond to COVID-19 impacts to the project.

- 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.



## **TECHNOLOGY**

System Software, Hardware, and Integrations

Data Conversion

Quality Management and Testing

Configuration Management

Security

Deployment and Operations



INI		AUG	IV&V ASSESSMENT	IV&V OBSERVATION	I	INDING	s
IINI	JUL AUG	CATEGORY	IV&V ODSERVATION	NEW	OPEN	CLOSED	
G	G	G	System Software, Hardware, and Integrations	No significant updates since the prior report as these activities are minimal at this stage of the project. Clarification and overview of technical requirements continued this month. IV&V will review system architecture and infrastructure more thoroughly in the upcoming months.	0	0	0
G	•	•	Data Conversion	Data conversion activities are underway and experiencing some delays and challenges due to differences in the record and field structure for employment information between the current BAS system and new Ariel BAS system. EUTF, Morneau Shepell, and ICON are working together and initiated weekly meetings to clarify upcoming tasks, identify data issues early, and develop solutions.	0	0	0
NA	6	<b>©</b>	Quality Management and Testing	Segal submitted their draft Quality Management Plan and will commence test planning activities in September.	0	0	0



## TECHNOLOGY

System Software, Hardware, and Integrations

Data Conversion

Quality Management and Testing

Configuration Management

Security

Deployment and Operations

INI	JUL AUG		AUG IV&V ASSESSMENT	IVA V ORSEDVATION	FINDINGS		
IIVI	JUL	AUG	CATEGORY	IV&V OBSERVATION		OPEN	CLOSED
NA	NA	NA	Configuration Management	IV&V to evaluate when the Change Control Plan and detailed configuration management documentation is available.	0	0	0
NA	G	G	Security	EUTF's Information Systems Chief was satisfied with Morneau Shepell's security controls and practices based on responses to EUTF's cloud security assessment questionnaire. EUTF approved the first cycle of data conversion to be placed on Morneau Shepell's sandbox environment.	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.

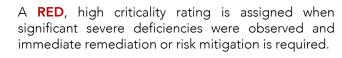
#### **ISSUE**

An event that is already occurring or has already happened.















A 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.



#### **Severity Rating**

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

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

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



**SEVERITY 1:** High/Critical level



**SEVERITY 2:** Moderate level



SEVERITY 3: Low level



**TERMS** 

**POSITIVE** 

Celebrates high

performance or

PRELIMINARY CONCERN

project successes.



# 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

Provided multiple project management plan templates

Reviewed and made recommendations on Project Charter, Scope, and Management Plan

Reviewed the updated RTM with additional remarks and action items resulting from Discovery Sessions

Created list of wish list items discussed by SMEs in Discovery Sessions

Conducted stakeholder interviews

Participated in EUTF BAS data conversion meetings and Discovery Sessions

Participated in EUTF BAS Project Management Meetings (Joint Weekly Project Team and Joint Bi-weekly PM Meetings)

Conducted meetings to review IV&V's June deliverables (IV&V Project Management Plan and Initial Assessment Report)

Finalized July Monthly IV&V Status Report and submitted Draft August 2020 Monthly IV&V Status Report

#### **KEY UPCOMING IV&V DELIVERABLES**

KEY IV&V DELIVERABLES	DRAFT DUE DATE	DRAFT SUBMITTED	FINAL SUBMITTED
August 2020 Monthly IV&V Status Report	09/04/20	09/04/20	-

#### 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	8/20/20



# Appendix D: Interviews, Meetings, and Documents

#### **INTERVIEWS**

DATE	INTERVIEWEE						
08/18/20	Accountant V, Financial Management Section						
08/19/20	Accountant V, Participant Accounting Section						

#### **MEETINGS**

DATE	MEETING DESCRIPTION						
07/28/20	EUTF - Joint Weekly Project Team Meeting						
07/29/20	Discovery Session 3 - Day 1						
07/30/20	Discovery Session 3 - Day 2						
07/30/20	Review IV&V Preliminary Ratings for July						
07/31/20	Discovery Session 3 - Day 3						
08/03/20	Extract Format Record Delta Discussion						
08/03/20	Data Conversion Audit Discussion						
08/04/20	Discovery Session 4 - Day 1						
08/04/20	EUTF - Joint Weekly Project Team Meeting						
08/05/20	Discovery Session 4 - Day 2						
08/06/20	Discovery Session 4 - Day 3						
08/06/20	OCM Next Steps						
08/10/20	Review Morneau Shepell Validations from Data Group 1						



# **MEETINGS (CONTINUED)**

DATE	MEETING DESCRIPTION							
08/10/20	IV&V July Report Draft Review							
08/10/20	EUTF - Joint Weekly Project Team Meeting							
08/11/20	Discovery Session 5 - Day 1							
08/11/20	EUTF - Joint Bi-Weekly PM Meeting							
08/12/20	Discovery Session 5 - Day 2							
08/13/20	Discovery Session 5 - Day 3							
08/17/20	EUTF - Joint Weekly Project Team Meeting							
08/19/20	Monthly Meeting with IV&V and EUTF/Segal PMs							
08/19/20	IV&V/Project and ETS Communications							
08/20/20	OCM Next Steps - Review Message Canvas							
08/24/20	EUTF - Joint Weekly Project Team Meeting							
08/25/20	Review Project Management Plan							

#### **DOCUMENTS**

ТҮРЕ	DOCUMENT
Request for Proposal	State of Hawaii EUTF BAS RFP No. RFP-20-002 for Health Benefits Administration System (Release Date 11/27/19)
Morneau Shepell Proposal	Final Response Morneau Shepell Limited to State of Hawaii EUTF RFP-20-002 – Master (Dated 01/24/20)
Morneau Shepell Proposal	EUTF BAS RFP 20-002- Morneau Shepell BAFO Response Implementation Plan - FINAL



## **DOCUMENTS (CONTINUED)**

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 – 2020-08-12					
Project Management	Hawaii EUTF Morneau Shepell Project Kick-Off – FINAL (06/04/20)					
Project Management	EUTF – Weekly Project Team Status – 2020-07-28					
Project Management	EUTF – Weekly Project Team Status – 2020-08-04					
Project Management	EUTF – Weekly Project Team Status – 2020-08-10					
Project Management	EUTF – Weekly Project Team Status – 2020-08-17					
Project Management	EUTF – Weekly Project Team Status – 2020-08-24					
Project Management	20200731 Segal EUTF Status Report					
Project Management	20200731 Segal Monthly Status Report					
Project Management 20200807 Segal Monthly Status Report						
Project Management 20200814 Segal Monthly Status Report						
Project Management 20200821 Segal Monthly Status Report						



# **DOCUMENTS (CONTINUED)**

ТҮРЕ	DOCUMENT					
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 07 30 2020					
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 08 07 2020					
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 08 14 2020					
Project Management	Hawaii EUTF_ICON Status Report – Week Ending 08 21 2020					
Risk and Issues	EUTF – CRAID Log					
Schedule	Hawaii (EUTF) – BAS Work Plan					
Schedule	EUTF Segal Deliverable Project Schedule					
Schedule	EUTF Data Quality – Project Plan V2					
Data Conversion	DQCP_Review_Agenda_20200818					
Data Conversion	EUTF DQCP Validation Consolidation Process v1					
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-07-28					
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-08-04					
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-08-10					
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-08-17					
Meeting Minutes	EUTF – Joint PM Meeting Minutes – 2020-08-24					
Meeting Minutes	20200803- Hawaii EUTF Project – Extract Record Format Deltas					
Discovery Session	EUTF – Discovery Sessions Schedule					
Discovery Session	EUTF – Discovery Session 3 - Agenda					
Discovery Session	EUTF – Discovery Session 4 - Agenda					



# **DOCUMENTS (CONTINUED)**

TYPE	DOCUMENT						
Discovery Session	EUTF – Discovery Session 5 - Agenda						
Discovery Session	EUTF – Client RTM						
Deliverable	Project Charter, Scope, and Management Plan						
Deliverable	Project Management Plan Review 20200728						
OCM	Segal_ATC_OCM Goals and Scope Canvas Template						
OCM	Segal_Organizational-change SWOT analysis						
OCM	Segal_Project-Level-Assessment-Tool						
OCM	Segal_Stakeholder Engagement_Message Canvas						
OCM	Segal_Stakeholder-Engagement-Workbook						
Quality	EUTF Quality Management Plan						
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)						







#### Appendix E: Prior Findings Log

ASSESSMENT			ODICINAL	CURRENT						EINIDING			
AUDICIONI	FINDING ID	TYPE	SEVERITY	SEVERITY	FINDING	ANALYSIS	RECOMMENDATION ID	RECOMMENDATION	SUPPLEMENTAL RECOMMENDATION	STATUS	FINDING STATUS LIPDATE	CLOSED DATE	CLOSURE REASON
CATEGORY Project Organization and Management	EINDING ID 2020.07.PM02	Risk	SEVERITY Moderate	SEVERITY Moderate	and deliverables beyond oversight of Momeau Shepell, including OCM, BPR, and quality management. Segal's project deliverables, schedule, and processes have yet to be formally documented and scheduled, which coul impact the execution of Segal, ICON,	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.  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 EUIT for review. Further discussion of purpose and expectations for this deliverable is still needed.  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 ICOM deliverables, schedule processes, and reporting may help to prevent further issues and delays.  Possible root causes or contributing factors are an aggressive project pace and competing priorities. Both the Segal Project Manager and the EUTF Project Manager are extremely hard-working and may not have adequate time to participate in on-going Discovery Sessions and perform all of the required project management tasks. EUTF and Segal will need to work together to establish appropriate project management processes and clarify the priority of deliverables and schedules.  Although this finding is reported under the Project Organization and Management IV&V Assessment Category, this finding also impacts the criticality ratings for the Cost, Schedule, and Resource Management;	2020.07.PM02.R2 2020.07.PM02.R3	Develop a project schedule to manage Segal, ICON, and EUTF tasks.  Develop and darify Segal, ICON, and EUTF tasks.	Clarify purpose, content, and expectations of each of the contracted deliverables.     Consider whether contracted deliverables still make sense based on project needs.      Provide the appropriate detail of tasks, durations, due dates, milestones, and deliverables for various parties.      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.		RINDING STATUS UPDATE  (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 COM 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 (DOCP) process and preliminary results from defined business rules. Accuity closed recommendation 2000.07. PM02.R1 as IV&V received sufficient clarification of Segal and ICON deliverables.  Segal provided a deliverables schedule and ICON provided a work plan tracking the status of tasks. Segal provided a high level deliverable project schedule with duration, status, start and finish dates, and resources. The specific resources and tasks were not identified for key activities such as OCM and BPR; however, Segal noted that they would develop more detailed plans based on resource availability and bandwidth starting in December 2020. Other EUTF tasks are currently tracked in the RTM, Segal's Dashboard, and independently by EUTF project team members. Accuity closed recommendation 2020.07. PM02.R2 as IV&V received sufficient clarification of Segal and ICON's schedules for this stage of the project.  More clarity was provided for key processes on OCM, quality, data validation and migration. Segal delivered a draft Quality Management Plan on 8/25/20 and scheduled a test planning meeting in September. ICON held a meeting to review their DCCP process and provided a high level DCCP Validation formalization of processes including BPR and quality management.		CLOSURE REASON
						OCM; BPR; Data Conversion; and Quality Management and Testing categories.							
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:  • 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 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



# Appendix F: Comment Log on Draft Report

## **EUTF BAS Project: IV&V Document Comment Log**





ID#	Page #	Comment	Commenter's Organization	Accuity Resolution
1		No EUTF or ETS Comments.		
2				
3				
4				
5				
6				
7				
8				
9				
10				

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