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DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES | *KA 'OIHANA LOIHELU A LAWELAWE LAULĀ*

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES | *KE'ENA HO'OLANA 'ENEHANA*

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May 4, 2026

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

The Honorable Nadine K. Nakamura
Speaker and Members of the
House of Representatives
Thirty-Third State Legislature
State Capitol, Room 431
Honolulu, Hawai'i 96813

Aloha Senate President Kouchi, House Speaker Nakamura, and Members of the Legislature:

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawai'i, Department of Human Services, Systems Modernization Project for March 2026.

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

Sincerely,

Christine M. Sakuda
Chief Information Officer
State of Hawai'i

Attachments (2)

Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period March 1 – 31, 2026

Submitted: April 15, 2026

PUBLIC CONSULTING GROUP

Solutions that Matter

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

PUBLIC CONSULTING GROUP
Solutions that Matter

Executive Summary

Executive Summary – 1

On March 2, 2026, DHS approved the project to enter the System Integration Testing (SIT) phase for the 5 Change Requests (CRs), a milestone for the BES Project. This SIT cycle is scheduled to be completed on April 3, 2026, with a go/no-go decision scheduled for April 6, 2026, to move into the User Acceptance Testing (UAT) Phase. The project team continued working on SIT defects from the newly introduced 5 CRs and on unresolved defects from previous testing cycles. Additionally, the team was busy with readiness activities for UAT and the BES Pilot implementation, preparing for Maintenance and Operations (M&O) UAT for ServiceNow, and defining the new CRs planned for inclusion in the Pilot code release, if resources are available.

The primary risks for the BES project are related to:

Requirements: At the end of the reporting period work remained to finalize the requirements for the BES solution, including mapping to use cases and finalizing dispositions. IV&V notes that the project is at risk of not meeting the scheduled delivery of the RTM to DHS on April 1, 2026. This places DHS in a difficult position since the RTM is planned to be the 'Master List of Requirements' that DHS will utilize to validate all functionality (from initial contract and CRs) has been included in the BES solution and tested successfully before approving to start UAT.

Testing: Before the UAT phase, the BES solution should be fully tested and stable, allowing UAT testers to focus on business functionality. Reintroduced defects have not decreased since the prior reporting period, with continued recurrence of batch job failures and processing inaccuracies. Until the final tally is established, it is unknown what impact it will have on the UAT testers.

System Integrity Review Tool (SIRT): This is a significant FNS-required deliverable that spans all aspects of administering and delivering the BES Solution. It was submitted to FNS during the reporting period. The project awaits feedback from FNS to determine the resource needs to address comments and questions. It is unknown at this time if any required action from FNS, via findings from their review of the SIRT, will require additional work prior to Pilot.

Preparing for the Pilot/OCM: Progress was made this month, with the OCM/Readiness high-level plan completed and approved by DHS. However, more details to include the allocation of resources (shared with other project tasks and projects) need to be finalized to support stakeholders and users for the Pilot and eventual Statewide Implementation.

With additional CR work approved by DHS for development, the project will need to continue to focus on DDI work, in addition to SIT testing, preparing for UAT, finalizing M&O work for Pilot, and readiness work to prepare DHS for Pilot. The project will need to focus on resource allocation to avoid stretching resources too thin, which can negatively affect its success. An additional CR that was being estimated for effort by the ASI at the end of the reporting period (2026-049 BES Missing Screen Displays) could require significant work; the impact to the project should be clarified in April.

Executive Summary – 2

Jan	Feb	Mar	Category	IV&V Observations
L	L	L	System Design	The BES infrastructure expansion continued through planned application rollouts and proof-of-concept evaluations, with additional focus on address issues related to Disaster Recovery validation.
M	M	M	Configuration and Development	SIT testing for CR's that have completed development continued with a target date of April 3, 2026, to complete. DHS has approved two additional CR's to be developed and included as part of the base BES solution. Completion of the Configuration Management plan is scheduled for April 2026.
L	L	L	Integration and Interface Management	Physical interface testing is on schedule for completion by the end of the current SIT cycle for CR's on April 3, 2026, including remediation of all related defects.
L	L	L	Testing	SIT testing for Change Requests (CRs) was conducted during the reporting period, with a target completion date of April 3, 2026. IV&V and DHS continue to work with the ASI to address concerns regarding batch testing issues that remain from the release 0.14 SIT.
M	M	M	Security and Privacy	The ASI and DHS security teams continue to remediate open findings from vulnerability and configuration security scans. Additionally, work continues to prepare for UAT, which is planned to begin on April 20, 2026.
M	M	M	Requirements Analysis & Management	Both DHS and IV&V provided feedback to the ASI on the usability of the interim RTM for validating the BES solution against contractual requirements. Additional work to complete the requirement revisions remained at the end of March, with the scheduled delivery date for the required RTM being April 1, 2026. With SIT testing almost complete there could be requirements that were missed or misinterpreted, adding risk to the project.
M	M	M	OCM and Knowledge Transfer	An OCM/Readiness plan was provided by the ASI and approved by DHS, as the project team continues to increase its focus on this key area of the project. DHS has asked for additional clarity on roles and responsibilities for this work, so they can plan resource allocation for their staff who are already performing many tasks on the project.

IV&V Findings and Recommendations

IV&V Findings and Recommendations – chart 1

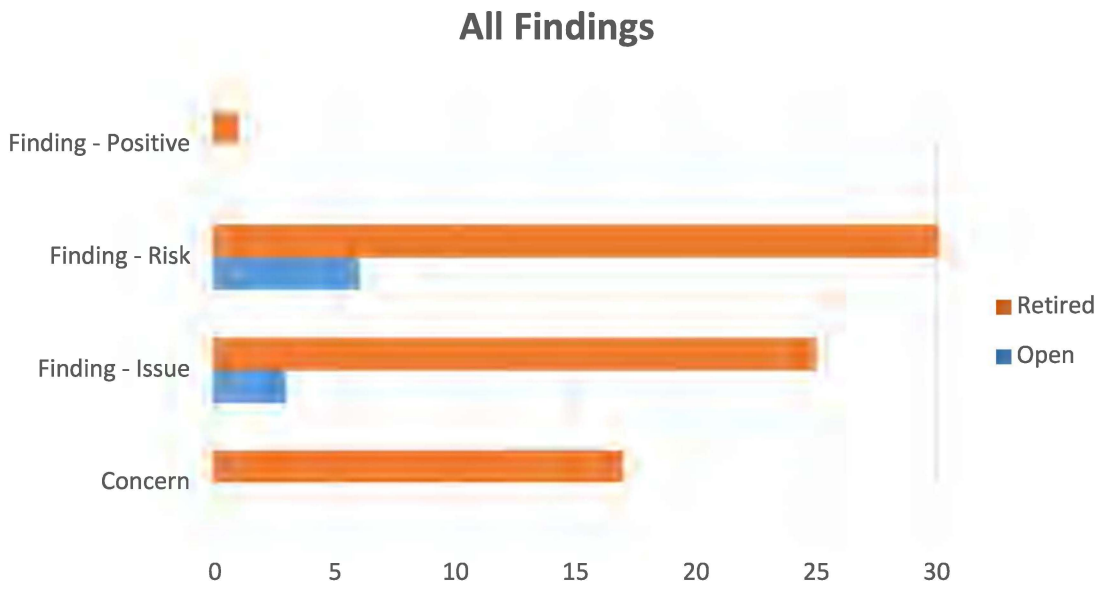
As of the March 2026 reporting period, PCG is tracking 9 open findings (6 risks, 3 issues) and has retired 86 findings. Of the 9 open findings, 5 are Medium, and 4 are Low.





IV&V Findings and Recommendations – chart 2

The following figure provides a breakdown of the 95 IV&V findings (positive, risks, issues, concerns) by status (open, retired).



IV&V Findings and Recommendations – 3

Findings Opened During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations – 4

Findings Retired During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations – 5

Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
112	**Preliminary Concern - Insufficient Time Travel environment preparation could lead to UAT execution and testing timelines** **Observation:** IV&V is unaware if the detailed plan to prepare, execute and validate the Time Travel environment for the upcoming UAT has been developed and shared with DHS. Yet, this environment is needed to support DHS UAT Training activities and UAT itself. The concern is that there were issues with this environment in previous UAT phase, where the ASI should have effectively planned to resolve those issues prior to the start of UAT. However, there is less than three weeks left to complete this work. The Time Travel environment is a specialized environment that simulates system behavior at different points in time, to validate date-dependent functionality such as eligibility and renewals (e.g., six months after benefits are approved and an EBT card is issued). During the prior UAT phase, Time Travel environment readiness issues included batch job failures, and environment refreshes contributed to testing delays and constrained execution. At this stage, IV&V has not observed evidence of defined entry criteria, readiness validation activities, or contingency planning specific to the Time Travel environment. **Significance**: Industry best practices emphasize early and proactive planning for complex test environments, particularly those involving time-dependent data and coordinated batch processing. Given the issues experienced during the prior UAT, deferring Time Travel readiness planning until shortly before UAT may limit the project's ability to adequately validate environment stability, rehearse batch execution, and resolve issues without impacting the testing schedule. If preparation activities are not initiated sufficiently in advance, there is an increased risk for environment instability, test interruptions, and incomplete execution of planned UAT scenarios such as end-to-end eligibility flows. IV&V will continue to monitor this area pending definition and execution of documented Time Travel environment entry criteria and readiness validation activities.	Testing

IV&V Findings and Recommendations – 5

Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
113	**Preliminary Concern - Batch defects support model may lead to UAT testing delays and constraints** **Observation:** - The ASI clarified that batch execution and runtime errors monitoring during UAT are handled by onshore resources and are not part of this preliminary concern at this time. This observation is in reference to batch-related defects requiring remediation, where onshore teams perform triage and offshore teams remediate defects in lower non-Production environments prior to promotion back to UAT. This cross-team handoff may introduce resolution delays for batch defect fixes identified during active UAT windows. IV&V will discuss and evaluate this situation with the ASI next month to determine if there may be risks to the project. **Significance**: Timely remediation of batch-related defects during UAT is critical to support downstream testing. While batch execution issues are expected to be addressed by onshore teams, defects requiring remediation must follow a cross-team, cross-environment process that may introduce resolution delays. If such defects occur during active UAT windows, this could increase the risk of blocked testing and compressed duration testing windows. The impact of this approach will not be known until the staff are assigned and the processes have been executed. IV&V noted that DHS submitted a related project risk.	Testing

IV&V Findings and Recommendations – 5

Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
114	**Preliminary Concern - Incomplete BES Maintenance and Operations (M&O) operational processes and procedures prior to UAT and Pilot may leave the project unready for statewide implementation.** **Observation:** ServiceNow tooling and technical configurations are progressing, key M&O operational elements remain immature or unresolved. Specifically: • Roles and responsibilities for Secure Enclave support - particularly between DHS and the vendor are not clearly documented or confirmed. • Core M&O artifacts (e.g., M&O Plan, Infrastructure Management Plan, Secure Enclave support documentation) are under development or not yet fully reviewed. • Operational governance for change management remains split across tools without integration, limiting end-to-end visibility. • UAT planning emphasizes system functionality testing, with limited evidence of full end-to-end operational process simulation (e.g., incident-to-change workflows, Change Advisory Board (CAB) decision-making). • ServiceNow access and group management processes may not be available or tested prior to UAT. • Notification strategies, knowledge management ownership, and defect readiness criteria lack full definition or validation. • Training readiness is tightly coupled to UAT stability, compressing the window to address operational gaps before pilot. Collectively, these conditions indicate that process readiness is lagging behind tool implementation, increasing reliance on assumptions and post-go-live stabilization rather than validated operational capability.	Project Management

IV&V Findings and Recommendations – 5

Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
114	**(Preliminary Concern 114 continued from prior page)** **Preliminary Concern - Incomplete BES M&O operational processes and procedures prior to UAT and Pilot may leave the project unready for statewide implementation.** **Significance**: M&O readiness is critical to sustaining BES operations once the system enters pilot and production and is planned to be fully tested during the UAT Phase. Without fully defined, documented, and validated operational processes: • Incidents may experience delayed triage and resolution due to unclear ownership and escalation paths. • Change and access management may be inconsistently executed, increasing operational, security, and audit risk. • Knowledge gaps may reduce help desk effectiveness and increase operational burden. • DHS and vendor teams may rely on undocumented or manual workarounds during early operations. • Operational issues may surface post-go-live, when remediation is more costly and disruptive. Failure to address these gaps prior to UAT exit and pilot increases the likelihood of operational instability, service degradation, and compliance exposure during early BES operations, undermining the intended benefits of the M&O transition.	Project Management

IV&V Findings and Recommendations – 6

System Design

#	Key Findings	Criticality Rating
73	**Risk – The planned BES infrastructure is complex, which could be difficult to implement and maintain, and could lead to schedule/cost impacts.** Disaster Recovery issues, such as connectivity challenges between regions and delays in non-production recovery testing due to pending server updates, continued to be worked and resolved by ASI during the reporting period. BindPlane is now in use as the logging forwarder, and Chronicle log forwarders have been fully decommissioned.	L

Recommendations	Progress
• ASI develop a process to closely monitor cloud and other product changes (software updates/new releases), manage changes, and regression test once updates are applied.	In Process
• The project team work to establish strong governance over the utilization and maintenance of various tools/components.	In Process
• ASI allot time in the schedule to conduct proof of concepts to assure infrastructure components work as expected.	In Process
• ASI maintain a detailed schedule for infrastructure tasks to avoid unexpected delays that could delay project milestones and the critical path.	In Process

IV&V Findings and Recommendations – 7

Configuration and Development

#	Key Findings	Criticality Rating
70	**Risk – Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution.** No material updates were identified this reporting period, as DHS is awaiting delivery of the Configuration Management Plan. This plan will be incorporated into the Infrastructure Management Plan and is scheduled for delivery on April 13, 2026.	L

Recommendations	Progress
• ASI adhere to plans for configuration management as documented in BI-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DHS.	In Process
• ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track.	In Process

IV&V Findings and Recommendations – 8

Configuration and Development

#	Key Findings	Criticality Rating
80	**Issue – Development delays have negatively impacted the project schedule and delayed go-live.** DHS provided approval for two change requests (CRs), 2026-048 TANF S-Code Payment Indicator Implementation and 2026-052 BES ACF 2025 Changes, to be developed as part of the BES solution with three more CRs awaiting approval. These CRs have been included in the current project schedule, which shows they will enter User Acceptance Testing (UAT) mid-cycle, which adds the risk of introducing bugs into previously validated functionality.	M

Recommendations	Progress
• The ASI closely monitor progress on development efforts and create a mitigation strategy to avoid delays	In Process
• ASI provides DHS software demonstrations (demos) of new BES functionality as part of the DDI process.	In Process
• ASI update the regression test suite with functionality after each new CR is introduced into the base code.	New

IV&V Findings and Recommendations – 9

Integration and Interface Management

#	Key Findings	Criticality Rating
93	**Risk – Due to the lack of physical and technical (Transport Layer) testing of the interfaces and data transfer failure, conditions may exist with data format, boundaries, and dependencies. These failures may result in intermittent and hard-to-isolate problems or errors.** The ASI is reporting 96% of technical interface testing completed (184 of 191 tests), and actively addressing issues associated with the remaining failed tests and plans to re-execute testing once remediation is complete. At this time, the ASI has no concerns about completing the remaining tests by the System Integration Testing (SIT) planned end date of April 3, 2026. IV&V will continue to monitor test execution progress through completion.	

Recommendations	Progress
• API interfaces should be tested for failure conditions during connection and transfer operations.	In Process
• FTP and file interfaces should be tested for data and file integrity.	In Process
• Test data fields for system impacts resulting from data that is poorly formatted, out of range, or other unexpected data transmission errors.	In Process

IV&V Findings and Recommendations – 10

Testing

#	Key Findings	Criticality Rating
83	**Issue – Gaps in test coverage and slower-than-expected progress in testing may result in schedule delays if subsequent test phases uncover a higher volume of defects and user feedback than initially anticipated.** As SIT nears completion, the 80% end-to-end (E2E) test pass rate indicates positive progress; however remaining E2E tests should be successfully passed where possible to ensure full validation of business workflows. Reintroduced defects have not decreased since the prior reporting period, noting continued recurrence of batch job failures and processing inaccuracies. IV&V has requested and is awaiting evidence of batch job performance and execution results from the ASI. Although the ASI is expanding automation of core tests ahead of UAT, evidence of a recent successful execution of the full automated regression test suite has not yet been provided. Demonstrated regression test success remains a key indicator of code stability and will be important for establishing confidence as the project transitions into UAT.	

Recommendations	Progress
• ASI to continue to strengthen regression testing by retesting CR-impacted modules and previously resolved defects to reduce the risk of reintroduced issues.	In Progress
• ASI to assess whether strengthened merge discipline and enhanced code reviews are associated with a measurable reduction in reintroduced defects over this SIT cycle.	In Progress
• DHS to review the subset of functional SIT test cases currently being executed to confirm that coverage is sufficient to mitigate the risk of defects escaping into UAT.	Not Started

IV&V Findings and Recommendations – 11

Security and Privacy

#	Key Findings	Criticality Rating
106	**Risk – Critical and high vulnerability and configuration scan findings are not remediated within the documented timeframes, potentially impacting the project schedule and causing delays.** As of March 31, 2026, BES had 32 critical findings in an open or in-progress state outside the 15-day remediation timeframe, and 5 critical findings were within the timeframe. BES had 118 high-rated findings in an open state outside the 30-day remediation timeframe, and 21 high-rated findings were within the timeframe. In addition to the critical and high POAM findings listed above, 10 critical and 31 high findings from 2024 remain deferred and are part of Oracle Cloud Infrastructure, which Oracle is responsible for patching quarterly. Failing to fix serious security issues on time leaves systems increasingly exposed to attacks, raises the risk of outages and data breaches, and reflects underlying gaps in risk management and execution.	M

Recommendations	Progress
• IV&V recommends that the Security Team enhance its Vulnerability Assessment and Prioritization Program to strengthen the agency's ability to manage cyber risk. A key component of this program is the reclassification of vendor-provided vulnerability ratings based on the agency's mission, operational environment, and the criticality of each affected system. This ensures that remediation priorities reflect the agency's unique risk exposure rather than generic severity scores.	In Progress

IV&V Findings and Recommendations – 12

Requirements Analysis & Management

#	Key Findings	Criticality Rating
94	**Risk - The lack of an effective way to validate BES requirements could lead to project delays and unfulfilled user needs if DHS later identifies unmet contractual requirements.** DHS and IV&V continued to review the interim RTM provided by the ASI and provide comments and feedback. As of the last CCB meeting (3/18/2026), there remained requirements work to be completed (mapping, approval of requirement dispositions by both the ASI and DHS). The official version of the RTM is schedule to be delivered to DHS for their review on 4/1/2026.	M

Recommendations	Progress
• Develop a document that provides DHS with a feasible and effective way to map contract requirements to passed test cases, and, per the BI-19 (Complete and Final Test Plan),"Maps the implementation, functional and technical requirements to the test cases and test scripts".	In Process
• Ensure test scripts thoroughly and comprehensively test the system to assure each requirement is met.	In Process
• Develop a deliverable that provides an audit trail for changes to the requirements from the contract such as obsoleted requirements, when that decision was made, and the change requests.	In Process
• Weekly reporting on clean-up efforts in JIRA regarding incorrect statuses of epics, use case, and requirements.	In Process

IV&V Findings and Recommendations – 13

Requirements Analysis & Management

#	Finding	Category
108	**Issue - Unplanned federally mandated system requirements could lead to project delays and increase the project budget.** No new federally mandated requirements or concerns were raised this reporting period that could impact the current BES schedule.	L

Recommendations	Progress
• Pursue all communication channels that could provide early, and validated, information on possible requirements being sent out to the States.	In Process

IV&V Findings and Recommendations – 14

OCM and Knowledge Transfer

#	Finding	Category
111	**Risk –Insufficient Organizational Change Management (OCM) Planning and Execution Increases Risk to BES User Adoption and Deployment Success** The ASI provided DHS with an OCM - Readiness plan, which DHS reviewed and approved. The ASI provided DHS with access to a testing environment (TRN2) to help them become more familiar with the BES solution. IV&V recognizes progress being made by the OCM/readiness team and will review the detailed schedule and clearly defined roles and responsibilities, when made available to IV&V.	M

Recommendations	Progress
• Develop and maintain a detailed OCM activity schedule that is integrated with the overall BES master schedule, including testing, training, pilot, and go live phases	Not Started
• Define and document DHS and ASI OCM roles, responsibilities, decision authority, and handoffs to support effective execution and accountability.	Not Started
• Identify key OCM artifacts (e.g., change impact assessments, communications plans, stakeholder engagement plans, readiness assessments, adoption metrics) and ensure they are produced, reviewed, and actively used to guide decision-making.	Not Started
• Establish measurable OCM performance indicators and provide regular status reporting to DHS leadership to support early identification of readiness gaps and corrective action.	Not Started

IV&V Status

IV&V Engagement Status

IV&V Engagement Status				
IV&V Engagement Area	**Jan**	**Feb**	**Mar**	**Comments**
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final February IV&V Monthly Status Report.
IV&V Staffing				
IV&V Scope				

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

IV&V Activities

- IV&V activities in the March reporting period:
  - Completed – February Monthly Status Report
  - Ongoing – Review the BES Project Artifacts and Deliverables
  - Ongoing – Attend BES Project meetings (see Additional Inputs pages for details)
  - Ongoing – Review available ASI contracts and contract amendment documentation
- Planned IV&V activities for the April reporting period:
  - Ongoing – Observe BES Design and Development sessions as scheduled
  - Ongoing – Observe Bi-Weekly Project Status meetings
  - Ongoing – Observe Weekly Architecture meetings
  - Ongoing – Observe Weekly Security 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 Bi-Weekly DHS and IV&V Touch Base meetings
  - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed

Deliverable Name	Deliverable Date	Version
BI-05 Project Schedule	03/04/2026, 03/11/2026, 03/18/2026, 03/25/2026	N/A
BI-02 Project Status Report	03/04/2026, 03/11/2026, 03/18/2026, 03/25/2026	N/A
BES Risk Assessment Prior to UAT Phase	03/24/2026	N/A

Additional Inputs – Artifacts

Artifact Name	Artifact Date	Version
FNS Handbook 901	01/2020	V2.4
NIST Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations	12/20/2020	Rev.5
R0.13 SIT Defect Dashboard	N/A	N/A
Interface Dashboard – Confluence page	N/A	N/A
Jira Requirements Details	N/A	N/A
Jira Testing Lists	N/A	N/A
BES R0.13 System Testing Results - CRs and Pending Epics	N/A	N/A
BES R0.13 System Testing Results - Core	N/A	N/A
Batch Defect Dashboard	N/A	N/A
Reporting Defect Dashboard	N/A	N/A

Additional Inputs

Meetings and/or Sessions Attended/Observed:

1. IV&V Team Meeting – 3/2/2026, 3/9/2026, 3/16/2026, 3/23/2026, 3/30/2026
2. HI DHS BES January Draft IV&V Report Review – 3/17/2026
3. BI-Weekly DHS BES PMO/IV&V Check-in – 3/12/2026
4. Bi-Weekly DHS and IV&V Touch Base – 3/17/2026
5. Weekly BES Infrastructure meeting – 3/6/2026, 3/13/2026, 3/20/2026, 3/27/2026
6. Weekly Client BES 2023 Project Status Meeting – 3/4/2026, 3/11/2026, 3/18/2026, 3/25/2026
7. Security Touchpoint – 3/4/2026, 3/11/2026, 3/25/2026
8. (External) Bi-weekly BES CCB Meeting – 3/4/2026, 3/18/2026
9. (External) C!A Current Monthly Checkpoint – 3/3/2026
10. (External) BES M&O Working Group – 3/4/2026, 3/11/2026, 3/18/2026, 3/25/2026
11. (External) BES Readiness/BI-29 Updates – 3/9/2026, 3/23/2026
12. (External) BES: FNS Connect – 3/12/2026
13. (External) BES: OCM and Communications – 3/9/2026, 3/23/2026
14. (External) BES Data Conversion - Defect Triage – 3/4/2026, 3/12/2026, 3/18/2026, 3/25/2026
15. (External) BES 1.0 SIT #2 Go/No-Go Meeting – 3/2/2026
16. (External) BES UAT Planning Meeting – 3/5/2026, 3/12/2026, 3/19/2026, 3/25/2026
17. FW: (External) Training Status Updates – 3/5/2026, 3/19/2026
18. (External) BES Mass Change Planning Meeting – 3/11/2026
19. (External) BES SIT Health Check Meeting – 3/16/2026
20. (External) BES: Change Champions Touchpoint – 3/27/2026

Appendices

Appendix A – IV&V Criticality Ratings

Criticality Rating	Definition
H	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.
M	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.
L	A low rating is assigned if there is a possibility of a slight impact on 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 – 1

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 – 2

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 – 3

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 – 1

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



Solutions that Matter