



# HawaiiPay Project Department of General Services (DAGS)

Final IV&V Monthly Status Report

For Reporting Period: May 18 – June 22, 2018







# Overview

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# Executive Summary







*Overall the project continues to make good progress and has a continued focus on quality outputs. However, the rating for the project this reporting period is Yellow, or Caution, since IV&V has observed increasing risk in the areas of Organizational Change Management (OCM) and departmental readiness. Though, the project is using established processes to actively mitigate the risk in these areas, IV&V will continue to monitor the effect of mitigation strategies on reducing risk on a timely basis to promote project success.*

May	Jun	Category	IV&V Observations
		Communications Management	The project is improving its processes for collecting project measures and reporting project metrics (e.g., support metrics from the Call Center, website hits, training results). However, no benchmarks have been defined to indicate the degree of progress being made in this area and communication activities are increasing. The project has engaged departments to participate in a communication forum on Fridays where implementation best practices and brainstorming occurs in support of the Group rollouts.
		Contract Management	The project has reported that the DAGS contract office is actively tracking all contract requirements through a mostly manual process. IV&V has an outstanding risk that non-functional requirements are not carefully tracked. The SI has stated they are tracking non-functional requirements outside of their ALM tool via spreadsheet, however, the SI has yet to provide an updated version of the spreadsheet with tracking information. Once it's provided IV&V will validate the tracking process and provide updates during the next reporting period. IV&V is also monitoring the project's approach for administering change in functional scope during the implementation phase for Groups 2 and 3 when system enhancements are identified by end users.
		Cost and Schedule Management	IV&V has opened a new risk in this process area, "Lack of departmental readiness could impact project budget/schedule". Concerns have been raised regarding DoE readiness both by the project and DoE leadership. While the project is confident in most technical aspects of a smooth DoE transition, DoE leadership has concerns regarding their own internal readiness. Concerns have been raised with regard to securing workstations for enrollment, data cleanliness and achieving an acceptable degree of payroll accuracy during testing in time for go-live. Deviations from the projects planned coordination activities may not be reasonably supported by the existing contract and budget.







# Executive Summary (cont'd)

May	Jun	Category	IV&V Observations
		Human Resources Management	Overall IV&V continues to see good project human resource management. The project team continues to demonstrate qualities of high-performing teams and key state resources continue to demonstrate exceptional skill and commitment. Still, IV&V is concerned with over reliance on 3-4 key individuals who maintain multiple project roles and has identified a risk that they could be overtaxed which could lead to reduced effectiveness and also presents a risk of significant project disruption in the event of their departure. IV&V also remains concerned that the project does not have dedicated leads filling key roles and that some key roles have not been formalized or formally documented. While some progress has been made in distribution of responsibilities, IV&V will continue to recommend mitigation through aggressive succession planning, renewed focus on knowledge transfer, and knowledge management planning.
		Knowledge Transfer	IV&V opened a new risk (#23) in this process area, "Lack of detailed turnover plan", in this process area. While the project has made good efforts to mitigate this risk through early involvement of state staff in ongoing M&O activities, the lack of a detailed turnover plan may lead to insufficient planning and execution of important turnover activities, which could lead to stakeholder confusion and hinder knowledge transfer for M&O. The SI's M&O plan provides some supporting content, but it lacks sufficient turnover detail.
		Operational Preparedness	Though the project focuses on identifying and sequencing the cutover tasks appropriately, IV&V has not observed progress towards mitigating the risk of cutover tasks not being able to complete during the timeframe. This concern is noted in IV&V finding 07, "... It is unknown at this time since these groups involve much larger end user communities, whether, in the aggregate, all manual processes will be able to be executed during the cutover and post implementation windows ". IV&V noted that while new and improved Help tools and processes have been implemented for Group 2, it remains unclear if these processes are clearly documented and enforced.

# Executive Summary (cont'd)

May	Jun	Category	IV&V Observations
		Organizational Change Management	IV&V continues to see substantial OCM efforts that appear to be mostly effective. While the HawaiiPay Program Manager Informally drives OCM strategy, absence of a more formal OCM structure and dedicated strategic leadership could increase the risk that critical information is not provided to all stakeholders, which could impact department readiness and/or cause some confusion. IV&V continues to recommend better mobilization of Super SMEs, a dedicated OCM manager to drive OCM strategy, and better follow-through to ensure project messaging reaches stakeholders at each level and is clearly understood.
		Project Organizational and Management	The project is preparing to address changes resulting from the federal supreme court decision on the Janus case, enabling union members to opt-out of paying union dues if they chose not to join the union, will impact HawaiiPay. Details of the impact are not completely clear but the project has taken steps to meet process and legal requirements to mitigate risks to the project. In addition, the project is analyzing the impact of some departments not being ready on time to transition to the HawaiiPay solution.
		Quality Management	The project identified a number of go-live related process and management improvements after Group 1. Responsibility for interfaces was assigned to the PMO and PMO is able to clearly identify the roles and responsibilities for each system interface as well as track the status of each interface, including actual progress made by third party interface partners. IV&V has not yet validated the results of these processes changes for the Group 2 go-live but will continue to monitor in the coming period. Though IV&V was able to complete a walk-through and review of the processes, tools, and output of Group 1 parallel testing with no significant findings, the Group 2 parallel testing results were not yet available at the time of this report.

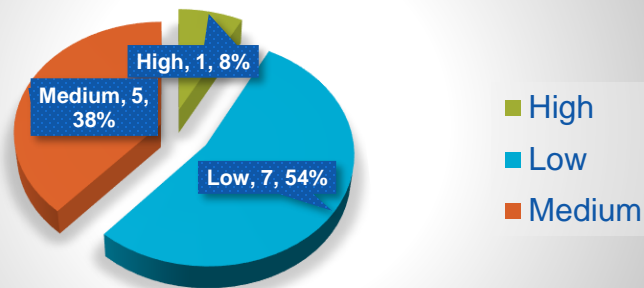
# Executive Summary (cont'd)

May	Jun	Category	IV&V Observations
		Requirements Management	This process area currently has no open findings, however, a related risk (#2) has been logged under "Contract Management" that address concerns around tracking of non-functional requirements. IV&V is monitoring requirement management processes and the projects use of the SI's proprietary ALM tool. The project processes \$0 change orders and, therefore, relies on the Change Advisory Board (CAB) to monitor changes to functional requirements.
		Risk Management	The project actively mitigation risks in this process area. They have incorporated a field in the RIOD workbook for capturing mitigation strategies and has begun capturing this information for new items going forward. Documented mitigation strategies provide increased opportunities to reduce risk or lessen the impact of project issues.
		Systems Architecture and Design	As the project drives to Group 2 go-live, IV&V is unaware of any outstanding issues related to the system architecture or assumption of operations of the PeopleSoft application and infrastructure by CherryRoad that were unresolved during this reporting period. During an onsite visit in the next reporting periods IV&V hopes to participate in a walk-through of the hosted PeopleSoft data center and infrastructure.

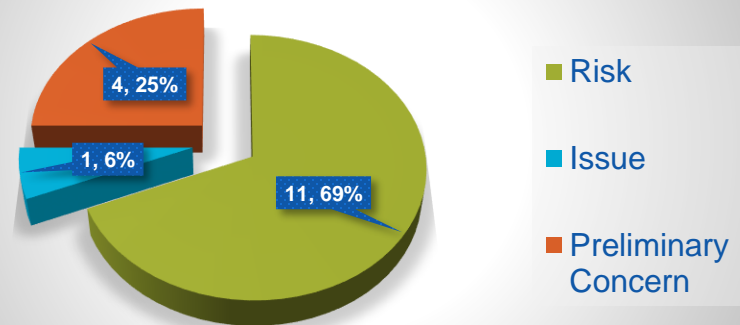
# IV&V Findings and Recommendations

As of this reporting period, PCG has identified a total of 16 open findings (1 issue, 11 risks and 4 preliminary concerns). Of the open risks, 3 are related to Cost & Schedule Management. Three new findings were recorded and 1 was closed during this reporting period. The following graphs breakdown the risks by type, status, and criticality.

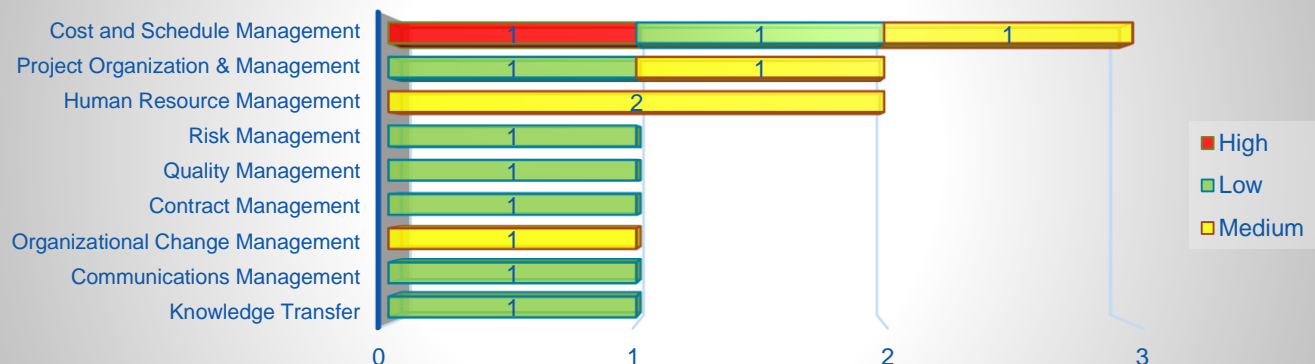
## Open Risks/Issues by Priority



## Open Findings by Type



## Process Area Risks/Issues by Priority



# IV&V Findings and Recommendations (cont'd)

## 1. IV&V **Positive** Findings this reporting period

#	Positive Findings	Category
24	<b>Project instituted incentives to increase department engagement:</b> HawaiiPay leadership instituted a competition among the departments by awarding departments with the highest enrollment participation an ice cream party.	Project Organization and Management

## 2. IV&V **New** Findings this reporting period

#	New Findings	Category
22	<b>Risk - Lack of departmental readiness could impact project budget/schedule:</b> Departments that are not able to accomplish readiness activities/milestones prior to the final group rollout could not be ready to transition to HawaiiPay	Cost and Schedule Management
23	<b>Risk - Lack of detailed turnover plan:</b> The lack of a transition plan can lead to poor transition planning, important turnover activities can get missed, and can lead to stakeholder confusion.	Knowledge Management

## 3. IV&V **Closed** Findings this reporting period

#	Closed Findings	Category
16	<b>Risk - Lessons Learned for Group 1</b>	Project Organization and Management



# IV&V Findings and Recommendations (cont'd)

## Summary of IV&V Open Findings

Category		Finding Title	Criticality
Communications	Risk	1 - Undefined communication metrics and performance targets	Low
Contract	Risk	2 - Non-functional contract requirements not tracked	Low
Cost & Schedule	Issue	3 - Project schedules not integrated	Med
	Risk	4 - Group 2 and 3 planning and execution activities overlap	Low
	Risk	22 – Lack of departmental readiness could impact project budget/schedule	High
Human Resource	Risk	5 - Impact of project resource attrition	Med
	Risk	6 - Insufficient project resources	Med
Knowledge Transfer	Risk	23 - Lack of detailed turnover plan	Low
Operational Preparedness	P. Concern	7 - High volume of manual processes at cutover	N/A
	P. Concern	8 - Detailed processes for Maintenance and Operations not finalized	N/A
Organizational Change	Risk	12 - Less than optimal OCM management structure	Med
Project Organization & Management	Risk	15 - Impact of Legislative Actions	Med
Quality	P. Concern	18 - Increasing parallel testing defect resolution scope	N/A
	Risk	19 - Inadequate interface development and testing coordination	Med
Risk	Risk	20 - Mitigation strategies and activities not documented	Low
Systems Architecture & Design	P. Concern	21 - Negative impacts from user generated PS queries	N/A

# IV&V Findings and Recommendations (cont'd)

## Communications Management

#	Key Findings	Criticality Rating
1	<b>Risk - Undefined communication metrics and performance targets:</b> Without predefined communication metrics and performance targets, some stakeholder groups may not receive the appropriate or timely communication necessary for them to seamlessly transition to the new system which could delay the implementation schedule or result in increased post-implementation support. Though the project records metrics (e.g., website visits, training attendance, and Service Center calls), the metric thresholds which represent the project's communication goals do not appear to be defined.	Low

Recommendations	Progress
<ul style="list-style-type: none"><li>Define the communication metrics to be captured for each stakeholder group to determine if they are ready to execute their tasks and transition in accordance with the project's schedule</li></ul>	In progress
<ul style="list-style-type: none"><li>Define the communication performance targets and/or success criteria for each stakeholder group to improve the quality of readiness data for implementation decision-making</li></ul>	Not started

# IV&V Findings and Recommendations (cont'd)

## Contracts Management



#	Key Findings	Criticality Rating
2	<b>Risk - Non-functional contract requirements not tracked:</b> When non-functional requirements are not proactively monitored as the project progresses, there is increased potential that contract performance gaps may be identified too late in the project's timeline resulting in schedule delays or unmet contract requirements. The Requirements Traceability Matrix (RTM) does not include non-functional requirements and the project does not regularly report on contract performance metrics.	Low

Recommendations	Progress
<ul style="list-style-type: none"><li>Create a checklist of non-functional contract requirements to be satisfied in order to actively monitor and measure progress, and close-out the contract</li></ul>	Not started

# IV&V Findings and Recommendations (cont'd)

## Cost and Schedule Management



#	Key Findings	Criticality Rating
3	<b>Issue - Project schedules not integrated:</b> The ambiguity created by not having a detailed, integrated schedule impairs the project's ability to identify over-allocation of assignments to resources or to identify a true critical path in the schedule to manage to the project's activities against and therefore jeopardizes the scheduled implementation dates for Groups 2 and 3. Though, the combined team continues to meet daily to sync up on tasks, the decentralization of planned activities continues to pose risk (i.e., visibility of resource, hidden dependencies).	Medium
4	<b>Risk - Group 2 and 3 planning and execution activities overlap:</b> Concurrently planning and executing tasks for both Groups 2 and 3, which are running in parallel, may result in less efficient use of project resources and cause an overall delay if new tasks are introduced later in the project.	Low
22	<b>Risk - Lack of departmental readiness could impact project budget/schedule:</b> Departments transitioning to the Hawaii Information Portal (HIP) as part of the HawaiiPay project are expected to perform readiness activities and meet specified milestone deadlines. If any department does not transition to HIP by their designated rollout date, the HawaiiPay project schedule and budget could be negatively impacted.	High
Recommendations		Progress
• Consolidate the state's planned activities into single, integrated schedule and incorporate CherryRoad's milestones		In progress
• Complete planning for Groups 2 & 3 to confirm all the tasks and deliverables are achievable in defined timeframes		In progress
• Ensure readiness deadlines/milestones are clearly communicated to appropriate stakeholders on a regular basis.		Not started
• Work with appropriate governing bodies (e.g. legislature, unions, etc.), as appropriate, to develop mitigation plans for departments that are unable to transition to the HawaiiPay project.		In progress
• Coordinate regular readiness discussions between HawaiiPay and departments with readiness challenges.		In progress

# IV&V Findings and Recommendations (cont'd)

## Human Resource Management M

#	Key Findings	Criticality Rating
5	<b>Risk - Impact of project resource attrition:</b> Loss of key project resources could significantly disrupt the project and impact the project schedule or budget. The project relies on a few, very talented, and dedicated key resources in leadership roles to drive most project activities and, more importantly, drive project quality, as evidence by their keen attention to minute project activity details.	Medium
6	<b>Risk - Insufficient project resources:</b> The project does not have dedicated Leads filling key roles needed during the implementation phase, resulting in existing resources serving multiple roles which may impact their overall effectiveness or timely execution of tasks. Current designated Leads often focus on execution and rely on the Project Management team to support strategy and management activities.	Medium

Recommendations	Progress
• Engage in succession planning and identify near-term knowledge transfer activities.	In progress
• Develop a Knowledge Management strategy to help ensure project knowledge (tacit and otherwise) is not lost when staff leave the project or state employment	Not started
• Evaluate which project resources are needed to allow for dedicated strategic leadership in key project areas and to alleviate project resources with multiple responsibilities	In progress

# IV&V Findings and Recommendations (cont'd)

## Knowledge Management



#	Key Findings	Criticality Rating
23	<b>Risk - Lack of detailed turnover plan:</b> The lack of a transition plan can lead to poor transition planning, important turnover activities can get missed, and can lead to stakeholder confusion since they are left ill-equipped to effectively maintain the system once the vendor has left the project. <b>New IV&amp;V Finding.</b>	Low

Recommendations	Progress
<ul style="list-style-type: none"><li>State to work with the vendor, who should review and provide guidance, to draft a turnover plan.</li></ul>	Not started

# IV&V Findings and Recommendations (cont'd)

## Operational Preparedness



#	Key Findings	Criticality Rating
7	<b>Preliminary Concern - High volume of manual processes at cutover:</b> The number of manual processes that need to be executed during the cutover window and post implementation for future Group deployments may grow to a level of effort that cannot be accomplished during the designated timeframes thereby causing a delay in the implementation schedule. The project is reaching out to Agencies 60 days before go live and providing them instructions for required data cleanup prior to go live (e.g., social security number mismatches in Central Payroll). It is unknown if the time provided will be enough for all Agencies to complete within the implementation schedule.	N/A
8	<b>Preliminary Concern - Detailed processes for Help Desk and end user support not finalized:</b> Though Group 1 is in production, tools and detailed process to provide end user support may not yet be in place which may impact project and production support teams' abilities to provide adequate support to end users or the system and cause a delay in the implementation schedule for future Group deployments or the transition of the system from CherryRoad to the State at project close-out.	N/A

Recommendations	Progress
<ul style="list-style-type: none"><li>Append the cutover checklist with detailed descriptions of how to execute the task (as if for a back-up resource) and ensure that all dependencies between cutover tasks are identified and have designated contacts</li></ul>	Not started

# IV&V Findings and Recommendations (cont'd)

## Organizational Change Management M

#	Key Findings	Criticality Rating
12	<b>Risk - Less than optimal OCM management structure:</b> The absence of more formal structure to provide outreach to departments and agencies may increase risk that critical information and training is not provided to all HawaiiPay end users or stakeholders which could result in higher levels of post-implementation support to ensure appropriate adoption of the new system. Informal OCM processes may not be providing the same level of guidance across stakeholder groups.	Medium

Recommendations	Progress
• Clearly define how the change agents will accomplish their training, their tasks, and reporting	In progress
• Update the project's roles and responsibilities (document) to clearly define the assigned resources for each OCM task	Not started
• Appoint a dedicated OCM strategy manager whose primary responsibility is to own/drive the OCM strategy and help direct OCM activities. If unable to appoint a dedicated strategy manager, formalize and document the individual holding this role in the project organization chart (and other relevant documents) and communicate to stakeholders.	Not started
• Stepped up OCM efforts to ensure the project scope and approach is clearly and often communicated	Not started
• Follow through to validate communications are effectual and the message is being received by appropriate stakeholders.	In progress
• Targeted communication to stakeholders who have expressed frustration and to large organizations who may have internal communication challenges.	In progress



# IV&V Findings and Recommendations (cont'd)

## Project Organization and Management

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#	Key Findings	Criticality Rating
15	<b>Risk - Impact of Legislative Actions:</b> Changes mandated by Legislative actions may drive changes to the HawaiiPay solution thereby impacting the project's scope, schedule, and budget. The project works to define mitigation strategies for each potential item of new legislation.	Medium
16	<b>Risk - Lessons Learned for Group 1:</b> If lessons learned are not captured from Group 1 deployment, the project will lose the opportunity to incorporate process improvements for future Group deployments thereby reducing the associated risk. <b>IV&amp;V has closed this risk.</b>	Low

Recommendations	Progress
• Establish increased communication with lawmakers and legislative analysts	In progress

# IV&V Findings and Recommendations (cont'd)

## Quality Management



#	Key Findings	Criticality Rating
18	<b>Preliminary Concern - Increasing parallel testing defect resolution scope:</b> An increasing number of manual workarounds to resolve defects discovered during parallel testing may cause delays during the production cutover or confusion for end users who require supplemental training regarding work around functionality. It is unclear if all the workarounds are documented in the cutover plan and schedule.	N/A
19	<b>Risk - Inadequate interface development and testing coordination:</b> The lack of a functioning process and signoff to coordinate both parties regarding the development and comprehensive end to end testing of interfaces may cause unnecessary risk. IV&V has observed many process improvements for coordinating and tracking interfaces in Group 2. <b>IV&amp;V has reduced the criticality rating to Low.</b>	Low

Recommendations	Progress
<ul style="list-style-type: none"><li>Establish a communications plan and signoff procedure that ensure all parties clearly understand the expectation related to interface testing and signoff that they have the capacity to complete the testing, document defects, re-test and signoff that the interface is fully functional.</li></ul>	In progress

# IV&V Findings and Recommendations (cont'd)

## Risk Management



#	Key Findings	Criticality Rating
20	<b>Risk - Mitigation strategies and activities not documented:</b> Insufficiently defined / documented mitigation strategies and unscheduled mitigation activities could result in missed opportunities to reduce risk or lessen the impact of project issues and potentially cause delays in the project's progress. IV&V observed that the RIOD workbook now documents mitigation strategies for risks or issues but does not yet translate those strategies into scheduled project activities.	Low

Recommendations	Progress
<ul style="list-style-type: none"><li>Review open risks and issues to document appropriate mitigation strategies and incorporate mitigation activities into the project schedule</li></ul>	In progress

# IV&V Findings and Recommendations (cont'd)

## Systems Architecture and Design



#	Key Findings	Criticality Rating
21	<b>Preliminary Concern - Negative impacts from user generated PS queries:</b> Queries generated from PS Query can be constructed in a manner that may cause unnecessary burden to the production system. PS queries written without sufficient control may overuse system resources and cause the production environment to slow or stall to a point where end user transactions cannot be processed.	N/A

Recommendations	Progress
<ul style="list-style-type: none"><li>Ensure the access to PeopleSoft queries is controlled</li></ul>	In progress

# IV&V Status

*The activities that PCG performed to inform the IV&V report for the current period are listed below. Upcoming activities are also included. For specifics, see Appendix B – IV&V Standard Inputs.*

- IV&V Project Milestones

Milestone / Deliverable Description	Baseline Due Date	Draft Submitted	Final Submitted	Approvals / Notes
IV&V Management Plan (IVVP)	04/06/18	03/18/18	03/29/18	Approved
IV&V Work Plan (Schedule)	04/06/18	03/18/18	03/29/18	Approved
Initial IV&V Assessment	05/09/18	05/18/18	06/08/18	Approved
First IV&V Monthly Status Report (MSR) *	05/30/18	07/10/18		Initial assessment delay pushed monthly report to next period
Q2 Executive Detailed Report & Briefing	06/15/18			MSR delay pushing this milestone; revised date TBD
Deployment Audit Report – Grp 2	07/20/18			PCG onsite week of July 16
End of Go Live Implementation Milestone Report – Grp 2	08/24/18			
Q3 Executive Detailed Report & Briefing	09/14/18			
Deployment Audit Report – Grp 3	10/19/18			
End of Go Live Implementation Milestone Report - Grp 3	11/23/18			
Q4 Executive Detailed Report & Briefing	12/14/18			
Deployment Audit Report – Grp 4	01/18/19			
Final IV&V Monthly Status Report	02/19/19			

\* The Draft IV&V Monthly Status Reports are to be submitted before the 15<sup>th</sup> day of each month until the end of the contract.

# IV&V Status (cont'd)




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- IV&V activities performed during the reporting period:
  - Performed (comparative) analysis on CRT and SOH schedules
  - Reviewed the Group 1 Parallel testing results and Group 2 Parallel testing components
  - Attended *DAGS State Accounting Manual Vol III (Payroll) Analysis* meeting on June 4
  - Attended DOE Board of Education meeting
  - Attended Parallel Round 2 Results meeting
  - Attended Group 2 Cutover Plan Review meeting
  - Attended Implementation Tracker demo
  - Attended Agency Payroll Approver Training
  - Attended Monthly Payroll & TLM Modernization Project Executive Committee
- IV&V next steps in the coming reporting period:
  - Update the IVVP - revisions to planned dates and other content
  - Conduct Group 2 Deployment Audit Report Assessment – prepare for interviews
  - Produce IV&V Monthly Status Report – July 2018
  - Pending Rescheduling: Quarterly Executive Report and Briefing

# Appendix A – IV&V Criticality Ratings

*This appendix provides the details of each finding and recommendation identified by IV&V. Project stakeholders are encouraged to review the findings and recommendations log details as needed.*

See definitions of Criticality Ratings below:

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

# Appendix B – IV&V Standard Inputs

*This appendix identifies the artifacts and activities that serve as the basis for the IV&V observations.*

## To keep abreast of status throughout the HawaiiPay project, IV&V regularly:

- **Attends the following meetings**
  - Weekly Infrastructure/Technical/Deployment Track (meeting series cancelled in June 2018)
  - Weekly Project Schedule (State) Meeting
  - Weekly State/CRT (Joint) Project Meeting
  - Weekly Risks-Issues-Opportunities-Decisions (RIOD) Meeting
  - Bi-Weekly Project Change Advisory Board (PCAB)
  - Monthly Payroll & TLM Modernization Project Executive Meeting
- **Reviews the following documentation**
  - HawaiiPay - Executive Committee Agendas
  - State/CRT (Joint) Meeting Notes
  - State Project Schedule (in Smartsheet)
  - Risks-Issues-Opportunities-Decisions (RIOD) Workbook
  - CherryRoad BAFO and Contract
- **Utilizes Eclipse IV&V® Base Standards and Checklists**



PCG Eclipse IVV  
Checklists



# Appendix C – IV&V Details

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- 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 IV&V 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.

Note: This report is a point-in-time document with findings accurate as of the last day in the reporting period.



Id	Identified Date	Title / Summary	Finding Description	Significance	Recommendation	Updates	Process Area	Type	Priority	Status
1	5/17/2018	Undefined communication metrics and performance targets	Without predefined communication metrics and performance targets, some stakeholder groups may not receive the appropriate or timely communication necessary for them to seamlessly transition to the new system which could delay the implementation schedule or result in increased post-implementation support.	The HawaiiPay Communication Plan does not include predetermined communication metrics or minimum performance targets for each stakeholder group that could provide insight into the quality of the communications and/or readiness of external stakeholders to transition to the new system. Though the project records metrics (e.g., website visits, training attendance, and Service Center calls), the metric thresholds which represent the project's metric goal do not appear to be defined. The project team approaches stakeholder management in an ad hoc manner, addressing and assuaging communication requirements and challenges as they arise for the various stakeholder groups and integrating those efforts into the Awareness Campaigns approach. This risk is partially mitigated since the project has been tracking department readiness for all Groups since prior to Group 1 implementation and a concerted effort has been made to ensure the preparedness of departments.	<ul style="list-style-type: none"><li>• Re-execute Stakeholder Analysis activities to ensure all stakeholder groups' communications needs are known, accurate, and updated</li><li>• Elaborate and document how and when each stakeholder group will be addressed by the Awareness Campaigns</li><li>• Define the communication metrics that should be captured for each stakeholder group to ensure they are ready to execute their tasks and transition in accordance with the project's schedule</li><li>• Define the communication performance targets for external stakeholders, and/or success criteria for each stakeholder group, so that informed implementation decisions are made based on the state of readiness of external stakeholders</li></ul>	6/25/18: Project is tracking hit rate on website; now with service cloud and tracking cases; in project schedule pulling together all communication-focused meetings; stats on how times newsletter opened. Still no benchmarks yet but getting better at collecting measures. The project has a weekly open call where mostly executives call in and exchange ideas on go-live, communications, launch needs, etc.  6/8/18 - IV&V has not observed progress towards mitigating this risk.	Communications Management	Risk	Low	Open
2	5/17/2018	Non-functional contract requirements not tracked	If CherryRoad's contract is not actively monitored and tracked, specifically for non-functional requirements, as the project progresses, contract performance gaps may be identified too late in the project's timeline which could result in a schedule delay or unmet contract requirements.	The Requirements Traceability Matrix (RTM) does not include non-functional requirements. The project processes \$0 change orders and, therefore, relies on the Change Advisory Board (CAB) to monitor changes to functional requirements. It is unclear how and when non-functional requirements are being met.	<ul style="list-style-type: none"><li>• Create a checklist of non-functional contract requirements that CherryRoad must satisfy in order to close-out the contract and actively monitor progress</li></ul>	6/15/18 - IV&V was informed that the DAGS contract office is actively tracking all contract requirements including non-technical requirements. The SI has stated they are tracking non-functional requirements are not tracked in their ALM tool but in a separate spreadsheet. The SI has yet to provide an updated version of the spreadsheet with tracking information. Once it's provided IV&V will validate the process and provide updates during the next reporting period.	Contract Management	Risk	Low	Open
3	5/17/2018	Project schedules not integrated	The ambiguity created by not having a detailed, integrated schedule impairs the project's ability to identify over-allocation of assignments to resources or to identify a true critical path in the schedule to manage to the project's activities against and therefore jeopardizes the scheduled implementation dates for Groups 2 and 3.	There is no single, integrated Project Schedule whereby dependencies between CherryRoad and SOH tasks are readily indicated and monitored; tracking occurs across disparate scheduling tools and the combined state and CherryRoad project team meets daily to sync up scheduled activities. The State requires CherryRoad to provide three Cutover plans (one for each group) as separate deliverables, which means project tasks are documented and tracked separately from the project schedule. Additionally, numerous State communication tasks are incorporated in the State's project schedule (e.g., communication kits, key memos, training activities, briefings). To minimize the risk of having multiple schedules out-of-synch, CherryRoad provides SOH a weekly project schedule report for reconciliation purposes. CherryRoad and the State manage their resources separately because CherryRoad has a fixed price contract that requires them to deliver the State's requirements irrespective of how many resources they have on the project at any given time, and the State team has a staff dedicated to its own tasks. However, the ambiguity created by not having a detailed, integrated schedule poses a risk to the project in that dependencies cannot be confirmed, and a true critical path cannot be derived.	<ul style="list-style-type: none"><li>• Though current schedule management processes appear to be effective, IV&amp;V recommends SOH consolidate scheduled activities into a single, integrated schedule (including detailed organizational change, communication, cutover, and readiness assessment activities for stakeholders, interfaces, and Group) and incorporate CherryRoad's milestones in order to indicate dependencies and more easily identify resource over-allocations</li></ul>	6/21/18 - The CRT Schedule indicates a 45 day planning activity to develop a Time & Attendance Phase Implementation Plan during September/October. This is an extensive activity that will require input and deep thinking from many SOH and CRT project team members during the critical Group 3 Deployment timeframe. Keep in mind that CRT does not yet have contract for Phase 2.  6/8/18 - The CRT Schedule includes high level tasks and dates for completing contract deliverables and executing deployment tasks. The CRT schedule lacks scheduling details related to Sprint development and release activities, does not indicate dependencies between tasks or deliverables, and includes generic resource assignments. Comparing CRT and SOH schedule reveals that the SOH schedule does not include correlating tasks for review and approval of CRT deliverables as indicated in the CRT schedule. The combined team continues to meet daily to sync up on tasks, but the decentralization of planned activities continues to pose risk (i.e., resource availability, hidden dependencies).	Cost and Schedule Management	Issue	Medium	Open
4	5/17/2018	Group 2 and 3 planning and execution activities overlap	Concurrently planning and executing tasks for both Groups 2 and 3, which are running in parallel, may result in less efficient use of project resources and cause an overall delay if new tasks are introduced later in the project.	Concurrently planning and executing tasks for both Groups 2 and 3, which are running in parallel, may result in less efficient use of project resources and cause an overall delay if new tasks are introduced later in the project.	<ul style="list-style-type: none"><li>• Update the schedules for Group 2 and Group 3 with tasks and lessons identified from the Group 1 pilot implementation</li><li>• Finalize new baseline schedules for Groups 2 and 3 which confirm that all the tasks and deliverables are achievable in prescribed timeframes</li><li>• Continually monitor changes to the schedule and the impact on defined implementation dates</li></ul>	6/8/18 - Development tasks are ongoing, and the team continues to identify requirements and/or processes through UAT and OCM activities which need to be re-reviewed or re-addressed. Further Group 2 training begins next week concurrent to Round 2 Parallel testing.	Cost and Schedule Management	Risk	Low	Open
5	5/17/2018	Impact of project resource attrition	Loss of key project resources could significantly disrupt the project and impact the project schedule or budget.	The project relies on a few, very talented, and dedicated key resources in leadership roles to drive most project activities and, more importantly, drive project quality, as evidence by their keen attention to minute project activity details. While most project have this risk, the risk impact for this project, from IV&V's perspective, is higher than most, and while the project could be impacted by the loss several key individuals, there are 3-4 individuals who are relied on to a greater extent than others. Loss of these individuals could lead to significant project disruption. Over reliance on key resources can not only overtax and thereby reduce the effectiveness of these key individuals, but also presents a risk of significant project disruption in the event of their departure.	<ul style="list-style-type: none"><li>• Develop an approach to expedite succession planning and identify near-term knowledge transfer activities.</li><li>• Consider re-allocation of responsibilities from key resources, where possible, to transition key resources to supervisory roles which would provide increased capacity for them to perform coaching and quality control, thereby increasing the overall project quality. As responsibilities are transitioned, team members taking on new responsibilities typically have a greater sense of motivation, project ownership and commitment</li><li>• Develop a KM strategy to help ensure project knowledge (tacit and otherwise) is not lost when staff leave the project or state employment</li><li>• Survey project resources to determine job satisfaction and take appropriate steps to increase retention</li></ul>	6/15/18 - IV&V learned that the functional lead, who also acts as the training manager, will be working 12-14 hours per day as well as weekends during the week before rollout. Overtaxing key resources increases the risk they will leave the project.  6/8/18 - With each Group, the implementation is becoming more complex and the same, key resources are assigned to assuage nuances and conduct detailed analysis for Groups with increasing volume and demand whilst maintaining Groups already in production.	Human Resource Management	Risk	Medium	Open
6	5/17/2018	Insufficient project resources	The project does not have dedicated Leads filling key roles needed during the implementation phase, resulting in existing resources serving multiple roles which may impact their overall effectiveness or timely execution of tasks.	The SOH does not have single, designated Management Leads for key areas during the Implementation Phase such as OCM or Training. Current designated Leads are focused on execution while strategy and management activities are being performed by the Project Management team. Also, some current Lead roles are filled by multiple resources who have other responsibilities as well. While the work is being completed, it is done so without a dedicated leader who drives and takes ownership of the overall strategic vision, is focused on measuring quality and progress, and who can be a point of escalation when issues arise. When resources focus on serving multiple leaders or have no leader at all, the highest priority tasks may not be completed in a timely manner or tasks are rushed and completed with less attention to detail. Some Lead roles have not been formally documented (e.g. Training Lead, Help Desk Lead, OCM Strategic Manager) which can lead to confusion and hinder communications for stakeholders referencing an org chart that is missing these key roles.	<ul style="list-style-type: none"><li>• Evaluate which project resources are needed to allow for dedicated strategic leadership in key positions (e.g. OCM and Training) and to alleviate existing project resources with multiple project leadership responsibilities.</li><li>• Assign a single, dedicated strategic management lead for key areas such as OCM and Training.</li><li>• Create and utilize a resource management plan to assure planful, instead of reactive, addition and management of resources. Plan should address movement of resources as project transitions to different phases (e.g. moving from DD&amp;I to M&amp;O).</li><li>• Formalize and document (e.g. org charts, POC lists/directories) all leadership roles and project points of contact for key areas and ensure stakeholders have easy access to comprehensive project role lists that include contact info.</li></ul>	6/15/18 - Function Track Lead seems to be making good progress in passing down some responsibilities to functional analysts.  6/15/18 - Currently the Functional Track Lead is the acting Training Lead, the OCM Lead is the acting Help Desk Lead, and the Business Process Track Lead is the acting OCM Strategic Manager.  6/15/18 - IV&V learned that the project has acquired 2 additional help desk resources in support of group 2 rollout. IV&V also learned that some state personnel currently assigned to the project for DD&I will eventually roll off development and fill M&O roles.  6/15/18 - IV&V learned that the functional lead, who also acts as the training manager, will be working 12-14 hours per day as well as weekends during the week before rollout. Recommend Resource Management Plan detail transition of roles.  6/15/18 - SOH has hired and continuing to hire and onboard new Help Desk support staff.	Human Resource Management	Risk	Medium	Open
7	5/17/2018	High volume of manual processes at cutover	The number of manual processes that need to be executed during the cutover window and post implementation for future Group deployments may grow to a level of effort that cannot be accomplished during the designated timeframes thereby causing a delay in the implementation schedule.	During the cutover and post implementation a number of manual processes are executed to produce the appropriate conversion and configuration of data needed to operate the system. While avoiding manual processes is unavoidable, since some are needed to ensure the proper sequencing of activities and to avoid post implementation pre-notes and paper checks, the timeframes for manual processing are constrained to data conversion dependencies. During Group 1 deployment, the pilot and smallest of the three deployments, these processes were able to be executed in a timely manner. However, new data and functional anomalies were identified during Group 1 deployment and additional manual processes have been added to the rollout schedules for future Groups 2 and 3. It is unknown at this time since these groups involve much larger end user communities, whether, in the aggregate, all manual processes will be able to be executed during the cutover and post implementation windows. Further, the project is strategically reaching out to Agencies less than 60 days in advance of go live and providing them instructions for required data cleanup prior to go live (e.g., social security number mismatches in Central Payroll). These pre-go-live activities are not directly under the control of the project since they need to be performed by external project stakeholders and it is unknown if the time provided will be enough for all Agencies to complete within the implementation schedule.	N/A	6/8/18 - Though the project focuses on identifying and sequencing the cutover tasks appropriately, IV&V has not observed progress towards mitigating the risk of cutover tasks not being able to complete during the timeframe.	Operational Preparedness	Preliminary Concern	N/A	Open

Id	Identified Date	Title / Summary	Finding Description	Significance	Recommendation	Updates		Process Area	Type	Priority	Status
8	5/17/2018	Detailed processes for Help Desk and end user support not finalized	Though Group 1 is in production, tools and detailed process to provide end user support may not yet be in place which may impact project and production support teams' abilities to provide adequate support to end users or the system and cause a delay in the implementation schedule for future Group deployments or the transition of the system from CherryRoad to the State at project close-out.	Group 1 is now in production and Group 2 is scheduled for deployment in June/July yet, while there is an agreed upon approach for end user support and defect management), the detailed processes are net yet finalized or documented. The project implemented tools in February 2017 for Group 1 such as TalkDesk and ETS Service Ticket and trained service desk staff on basic operating procedures. However, Group 2 implementation stage is underway and service level agreements and compliance requirements for departments are not yet finalized. The project is in the midst of moving to a new service cloud and implementing a new Help Desk tool which requires updated process and training documentation for project and production support teams.	N/A	6/8/18 - The HIP Service Center is tracking the top questions for Group 1 as well as for Groups 2/3, and is monitoring the volume and response time of calls. New Service Center Staff have been hired for Group 1 and additional staff are still pending onboarding for Groups 2/3. Specialized guidance (to deal with irate callers) has also been developed.		Operational Preparedness	Preliminary Concern	N/A	Open
9	5/17/2018	Robust and high-quality Training for Group 1	The training approach for Group 1 was robust and high-quality offering end user's insight into how the system will meet their business needs (not just how the system will work) which resulted in a high degree of system adoption by end users at go live.	Treated as a pilot effort, the Training for Group 1 involved a high degree of in-person education and communication and resulted in several lessons learned that the team has already built into the planning for training for Groups 2 and 3. The use of the Learning Management System (LMS) allowed for robust reporting on training outcomes and trainees offered a lot of insight into what additional content could be included in the training materials to provide clarifications to end users. Also, many trainees are intentionally included in testing activities and receive pre-training to facilitate testing activities. Feedback from testing is also incorporated into training materials.	N/A			Organizational Change Management	Positive	N/A	Open
10	5/17/2018	Confirmation of business processes	Visiting key departments after development and prior to go live to review how business processes will be satisfied by the new system offers additional mitigation opportunity for any process gaps identified during the implementation phase.	Project team members closely review the Departmental Change Impact document for each Group in conjunction with training materials before meeting with departments to discuss their, perhaps individualized, processes to ensure all business processes will be executable at go live. If department business process gaps are identified, the project is able to evaluate development and work around options in advance of go live. This high-touch activity helps assuage departmental concerns and angst related to the roll-out of the new system and streamline post implementation support.	N/A			Organizational Change Management	Positive	N/A	Open
11	5/17/2018	Established tools for tracking progress	The implementation of established tools for tracking the transition engagement and progress provides project leadership with the decision-making information necessary to evaluate the readiness of both the system and stakeholders for implementation.	The project has established several tools (e.g., Implementation Readiness Tracker) and mechanisms (e.g., tracking website hits) that enable the evaluation of the state of readiness of stakeholders to go live. Monitoring stakeholder groups individually is a critical mitigation activity for reducing implementation shortcomings at go live.	N/A			Organizational Change Management	Positive	N/A	Open
12	5/17/2018	Less than optimal OCM management structure	The absence of more formal structure to provide outreach to departments and agencies may increase risk that critical information and training is not provided to all HawaiiPay end users or stakeholders which could result in higher levels of post-implementation support to ensure appropriate adoption of the new system.	Though OCM efforts for Group 1 were substantial and appear to be mostly effective, some of the OCM processes may not be sufficiently formal and therefore may lack consistency and not provide the same level of guidance to the entire population. Although the Communication Plan outlines the roles and responsibilities for Change Agents as a key part of the OCM activities, it was unclear during the IV&V initial review if the project staff clearly understood the use and necessity of these agents or that they have an appropriate level of authority to communicate or delegate within or across the State's organization.	<ul style="list-style-type: none"><li>Clearly define how the change agents (Super SMEs) will accomplish the following:<ul style="list-style-type: none"><li>o Complete training to ensure they understand the role</li><li>o Ensure their time is sufficiently allocated to perform the Change Agent / Super SME tasks</li><li>o Report to both project leadership and department leadership any issues concerns</li></ul></li><li>Update the project's roles and responsibilities (document) to clearly define the assigned resources for each OCM task</li><li>Appoint an OCM strategy manager whose primary responsibility is to own/drive the OCM strategy and help direct OCM activities</li><li>Stepped up OCM efforts to ensure the project scope and approach is clearly and often communicated</li><li>Follow through to validate communications are effectual and the message is being received by appropriate stakeholders.</li><li>Targeted communication to stakeholders who have expressed frustration and to large organizations who may have internal communication challenges. Over-communicate important messages and provide simplified, clarifying details/instructions, especially for stakeholders who may misunderstand or misconstrue messages/instructions.</li></ul>	6/21/18 - HawaiiPay met with the Board of Education (DoE leadership) who expressed a good deal of frustration and concern. Many of their concerns seem to be due to a lack of clear communication (or understanding) regarding project scope and approach. For example, one board member expressed frustration that the HIP system lacked functionality commonly seen in other apps (e.g. banking apps). Seems the project needs to find more effective ways to communicate the approach they've taken (i.e. initially limiting functionality) that were intended to mitigate the risks of implementing a solution for a large base of users/employees and ensure initial rollout success.  6/15/18 - One credit union mistakenly sent a letter to all state employee members regarding the new system and the need to enroll when the should have sent only to group 1 members. Additionally, risk #19 calls out some miscommunication or lack of effectual communication with regard to interfaces that occurred. Seems like some communications appear to be ineffectual, that is, stakeholders are getting the communications, but they are either misunderstanding it, not knowing what to do with it, or lacking follow-through to get communications to the right people in their organization.		Organizational Change Management	Risk	Medium	Open
13	5/17/2018	High-performing HawaiiPay project team	The HawaiiPay project team embodies characteristics of a high-performing, highly-collaborative team operating under established processes to meet commonly understood project objectives which results in open communication as well as efficient and flexible execution of project activities.	The HawaiiPay team demonstrates several hallmarks high-performing teams, including: <ul style="list-style-type: none"><li>Team members work well together in a collaborative environment that encourages participation, each member working toward the same goals.</li><li>Team members actively pursue innovative ways to efficiently complete tasks.</li><li>Team members' views disagreements as a positive thing, constructively problem solve and work to diffuse friction and tension.</li><li>Criticism is upbeat and constructive and focuses on solving problems through removing obstacles.</li><li>Team members have a deep sense of trust in each other and in the team's purpose.</li></ul> Not all teams are created equal. Staffing for quality talented resources (especially PeopleSoft) is no simple task in a state where IT workforce development has always been a challenge. HawaiiPay leadership seems to have found a way to bring together exceptionally talented individuals, establish a culture of excellence and trust, and develop team members into a high-performing team.	N/A			Project Organization & Management	Positive	N/A	Open
14	5/17/2018	Group deployment strategy effectively mitigates risk	The Group deployment strategy provides mitigation opportunities for reducing risk with each, more complex, Group roll-out	The project team was able to learn significantly from the roll-out experience of the less complex Group 1 deployment. This intelligence enables the project team to make process and execution improvements for the more complex and riskier Group deployments in the future.	N/A			Project Organization & Management	Positive	N/A	Open
15	5/17/2018	Impact of Legislative Actions	Changes mandated by Legislative actions may drive changes to the HawaiiPay solution thereby impacting the project's scope, schedule, and budget.	The State Legislature may make laws that could require significant system changes thereby disrupting the project's activities, schedule, and/or budget. These laws could change SOH processes without consideration of impact to the project or providing the project time to react to such changes. For example, in the last legislative season, Act 007, HB 1725 was passed and requires union dues collected by the SOH based on an anniversary date. The project may be required to implement this change in order to be compliant with the new law. The project has already defined a mitigation strategy for implementing this change and is monitoring potential new legislation for similar impact.	<ul style="list-style-type: none"><li>Establish increased communication with lawmakers and legislative analysts to ensure informed legislative decisions.</li><li>Closely track legislative actions and legal cases that could impact HawaiiPay and be proactive in preparation for them.</li></ul>	6/20/18 - The federal supreme court's recent Janus case decision, enabling union members to opt-out of paying union dues if they chose not to join the union, has impacted the HawaiiPay project. Details of the impact are not completely clear, but the project has taken steps to meet process and legal requirements associated with this case to mitigate risks. They have made good progress in working closely with the unions and legal entities to ensure compliance, limit liability concerns, and limit impact to the project.		Project Organization & Management	Risk	Medium	Open

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16	5/17/2018	Lessons Learned for Group 1	If lessons learned are not captured from Group 1 deployment, the project will lose the opportunity to incorporate process improvements for future Group deployments thereby reducing the associated risk.	The project schedule does not include tasks associated with conducting or documenting formal Lessons Learned from Group 1 deployment. Lessons have been identified and are being incorporated piece meal across the teams but there is no centralized aggregation of this information where the project team can holistically analyze the data and determine, perhaps, over-arching lessons for future Group deployments. Further, a summarized debrief of lessons learned cannot be clearly communicated to the entire project or leadership teams and risk mitigation strategies cannot be developed for identified process improvements.	Formally collect lessons learned for Group1 from various segments of project stakeholders <ul style="list-style-type: none"><li>• Document and summarize Group 1 lessons learned, and broadly communicate them</li><li>• Identify what (if any) actions need to be taken for Groups 2 and 3</li><li>• Include actions resulting from lessons learned analysis for Group 1 into the schedule</li></ul>	6/22/15 - Since the project has moved on to Groups 2 and 3, IV&V consider this risk as having been overcome by events and is closing this risk. 6/8/18 - IV&V has not observed progress towards mitigating this risk.	Project Organization & Management	Risk	Low	Closed
17	5/17/2018	Planned and executed ADA testing	The project has planned for and executed specialized testing activities to ensure ADA requirements are satisfied which reduces the risk of the system being non-compliant with the federal accessibility standards.	Per the Americans Disabilities Act (ADA), the HawaiiPay solution must meet accessibility requirements in order to be compliant with this legislation. The project has planned for and engaged in specialized testing efforts (e.g., blind tester) to confirm system compliance.	N/A		Quality Management	Positive	N/A	Open
18	5/17/2018	Increasing parallel testing defect resolution scope	An increasing number of manual workarounds to resolve defects discovered during parallel testing may cause delays during the production cutover or confusion for end users who require supplemental training regarding work around functionality.	A continuing number of defects discovered during Parallel testing are being rectified with manual workaround. It is unclear if all the workarounds are documented in the cutover plan and schedule. The project should plan to ensure that all defect resolutions are prioritized and tracked in the cutover plan and that manual workarounds are resourced with appropriate staff. Further, as function work arounds are identified for end users, they may or may not be receiving supplemental training in a timely manner.	N/A	6/8/18 - The Cutover Planning is very detailed for steps and workarounds identified during parallel.	Quality Management	Preliminary Concern	N/A	Open
19	5/17/2018	Inadequate interface development and testing coordination	The lack of a functioning process and signoff to coordinate both parties regarding the development and comprehensive end to end testing of interfaces may cause unnecessary risk.	It is unclear if each party responsible for the complete end to end testing of an interface has the capacity and capability to complete detailed testing. There does not appear to be any method for the project to get assurance that the testing is planned and executed as needed. To date, there seems to be a low volume of feedback from TPAs and approval of TPA readiness lacks rigorous evaluation from the project. For example, contacts for interfaces need to be confirmed as having the appropriate IT skills and availability to perform the required tasks in the project's timeline.	<ul style="list-style-type: none"><li>• Establish a communications plan and signoff procedure that ensure all parties clearly understand the expectation related to interface testing and signoff that they have the capacity to complete the testing, document defects, re-test and signoff that the interface is fully functional.</li></ul>	6/25/18 - IV&V is reducing severity from Medium to Low. Since Group 1 - lots of process improvements; moved responsibilities from Technical to PMO tracts to craft clear communication and guidance for TPAs for testing and cutover; Jen put together a process that tracks testing activity of TPAs more accurately - when file received and reviewed (from CRT) before sending to TPAs' IT contact with instructions for FTP site, credentials, reporting issues, testing, etc.; get technical and functional sign off (b/c lesson learned from P1 where functions didn't work but technically it processed); 60% are complete and remainder are Mainframe-to-mainframe jobs and are tricky b/c ETS needs to participate in testing and requires coordination; sign-off is in the form of email (P/F) from various levels of the TPA org) 6/8/18 - IV&V has not observed progress towards mitigating this risk.	Quality Management	Risk	Low	Open
20	5/17/2018	Mitigation strategies and activities not documented	Insufficiently defined / documented mitigation strategies and unscheduled mitigation activities could result in missed opportunities to reduce risk or lessen the impact of project issues and potentially cause delays in the project's progress.	The RIOD workbook does not have documented mitigation strategies for risks or issues that can be translated into activities and tracked in the project's schedule.	<ul style="list-style-type: none"><li>• Review current risks and issues and document appropriate mitigation strategies</li><li>• Define mitigation activities, as appropriate, for open items in the RIOD workbook</li><li>• Add mitigation tasks to the project schedule and assign resources to complete the tasks in a timely manner to reduce the risk or impact to the project</li></ul>	6/22/18 - The project has improved its process to more consistently utilize the existing column in the Risk tracking log for recording 'mitigation strategies' for each risk. 6/8/18 - IV&V has not observed progress towards mitigating this risk.	Risk Management	Risk	Low	Open
21	5/17/2018	Negative impacts from user generated PS queries	Queries generated from PS Query can be constructed in a manner that may cause unnecessary burden to the production system.	PS queries written without sufficient control, i.e. excessive outer joins, may overuse system resources and cause the production environment to slow or stall to a point where end user transactions cannot be processed. Some users may be given access to PeopleSoft reporting/querying tools in production and have no restrictions that would prevent them from inadvertently creating a query with multiple joins that could cripple system performance. While these users have required training that instructs on how to avoid these kinds of large, "run-away" queries, there is currently nothing to prevent them from crippling the production environment. The State will need to design, document and implement training programs and other controls that help to ensure "poor" queries are either modified to perform better or are not run during business hours.	N/A		Systems Architecture and Design	Preliminary Concern	N/A	Open
22	6/15/2018	Lack of departmental readiness could impact project budget/schedule	Departments transitioning to the Hawaii Information Portal (HIP) as part of the HawaiiPay project are expected to perform readiness activities and meet specified milestone deadlines. If any department does not transition to HIP by their designated rollout date, the HawaiiPay project schedule and budget could be negatively impacted.	Departments transitioning to HawaiiPay have each been assigned to one of three rollout groups and the project's budget and planned coordination activities allow for little to no flexibility in group rollout dates. The HawaiiPay project contract and budget is currently limited to the three rollout groups, departments who have not transitioned by the final rollout group will need to find alternative means for producing payroll outside of HIP. While details of the impact of any department not transitioning to HawaiiPay in their planned group is unclear, there will likely be a negative impact to DAGS and the HawaiiPay project schedule and budget.  Any department unable to transition to HIP would likely either request extended use of the existing DAGS mainframe or seek non-DAGS payroll alternatives. If departments are allowed to continue on the mainframe payroll system, the planned benefits of moving off this antiquated and problematic system may not be fully realized. DAGS would then be faced with having to plan for and acquire additional resources for maintaining two payroll systems (HIP and the mainframe system). Departments that opt out of DAGS payroll services altogether would have little time to plan for, procure and implement their own payroll system. Further, DAGS, and/or the HawaiiPay project team, will likely have limited time and resources to assist departments with any alternative as they will be in the midst of HawaiiPay group implementation.  As of the time of this report, the project has identified readiness concerns for the Department of Education (DoE), one of the state's largest departments. The DoE has faced challenges with preliminary HawaiiPay readiness deadlines and the project has responded by providing additional support. While the project is confident in a smooth technical transition for DoE in the Group 3 rollout, the readiness confidence level of DoE Leadership has yet to be clarified. IV&V has identified some communication and collaboration challenges between DoE and HawaiiPay which could further erode readiness confidence. If the DoE is not able to go-live with their assigned group there could be a significant impact to project budget and schedule. Further, IV&V was informed that additional funding for the project will likely not be approved by the state legislature, therefore expansion of HawaiiPay contract scope to accommodate departments that are unable to meet readiness deadlines may not be possible.	<ul style="list-style-type: none"><li>• Ensure readiness deadlines/milestones are clearly communicated to department leaders.</li><li>• Provide clear expectations regarding readiness activity deadlines and important milestones to each department.</li><li>• Document missed readiness deadlines, communicate the possible consequences of missed deadlines clearly to department leaders in a timely manner to help ensure leadership is not surprised and has ample opportunity to respond and manage the risks.</li><li>• Consider implementing a strategy of over-communication for departments that may have communication challenges.</li><li>• Coordinate regular readiness discussions between HawaiiPay and departments that may have readiness challenges.</li><li>• Regularly provide clear and timely communication to appropriate governing bodies (e.g. legislature, unions, etc.), as appropriate, to ensure they are not caught off guard by a department that is at risk of not meeting readiness requirements/deadlines.</li></ul>	7/6/18 - HawaiiPay met with DoE leadership to address their concerns. IV&V will update this risk with the outcome of this meeting in the next monthly report.	Cost and Schedule Management	Risk	High	Open

Id	Identified Date	Title / Summary	Finding Description	Significance	Recommendation	Updates		Process Area	Type	Priority	Status
23	6/15/2018	Lack of detailed turnover plan	The lack of a detailed turnover plan may lead to insufficient planning and execution of important turnover activities which could lead to stakeholder confusion and cause a delay in project closure or transitioning of system support responsibilities to appropriate state staff.	<p>Turnover plans typically describe the detailed activities involved in transitioning a new system to the new owners, usually in the form of detailed checklists that assign accountability to individuals responsible for ensuring activities get done and are validated. Turnover plans are typically utilized to ensure that important transition details are not overlooked and are effectively coordinated. Turnover plans can also be used as an effective communication tool to stakeholders to ensure there is full understanding of turnover activities, roles, and responsibilities. Proper awareness of turnover plans and activities provided early on to stakeholders can go a long way toward managing stakeholder expectations and triggering important discussions, help manage expectations and support effective resource planning.</p> <p>Commonly reported system turnover challenges include stakeholders being caught unaware of activities, roles, and responsibilities they were expected to perform. Typically, turnover activities involve a multitude of activities carried out by multiple groups and stakeholders. Coordination of these activities can be a significant challenge; ensuring turnover effectiveness can be even more challenging. Ensuring proper understanding by state personnel of each process the SI has been performing for the past several months/years requires careful planning. Ensuring they are fully equipped to not only maintain and enhance the system but are also fully able to troubleshoot problems when critical system incidents occur (e.g. when the system goes down) can be even more challenging without a detailed plan.</p> <p>The SI is typically responsible for producing a transition plan deliverable, however, this deliverable was not a contractual deliverable for HawaiiPay.</p> <p>A project turnover phase typically has a limited budget and has limited timeframes to ensure turnover success. Organizations that fail to effectively turnover systems during this phase can be left ill-equipped to effectively maintain the system once the SI contract has closed out and they have left the project. Leadership can be left scrambling to acquire/procure the proper support to ensure system viability.</p>	<ul style="list-style-type: none"><li>• Request the SI utilize detailed checklists for turnover to ensure an effective turnover to the state and that nothing is overlooked.</li><li>• The state immediately draft and take ownership of a turnover plan and request the SI review and offer guidance.</li><li>• Assign turnover tasks to individuals and require task signoff by task owners once they validate tasks have been effectively completed.</li><li>• Utilize readiness checkpoints and key performance indicators (KPI's) to monitor readiness effectiveness and report to project leadership. KPI's can be utilized to assure a timely and effective system turnover as well as provide project leadership an opportunity to shore up efforts when turnover efforts are not achieving expected results.</li></ul>			Knowledge Transfer	Risk	Low	Open
24	6/15/2018	Project instituted incentives to increase department engagement	HawaiiPay leadership instituted a competition among the departments by awarding departments with the highest enrollment participation an ice cream party.	Gamification of project activities to increase engagement has proven to be a successful motivator to encourage stakeholders to complete project related tasks in a timely manner, especially for stakeholder groups outside of the project direct control. Project enrollment participation seems to have increased since this strategy was implemented with 40% of Group 2 participants enrolling in direct deposit on the first few days of ESS go-live.	N/A			Project Organization & Management	Positive	N/A	Open