OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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March 4, 2019

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

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

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

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached IV&V Initial Assessment Report the Office of Enterprise Technology Services received for the State of Hawaii Department of Taxation's Tax Modernization Program.
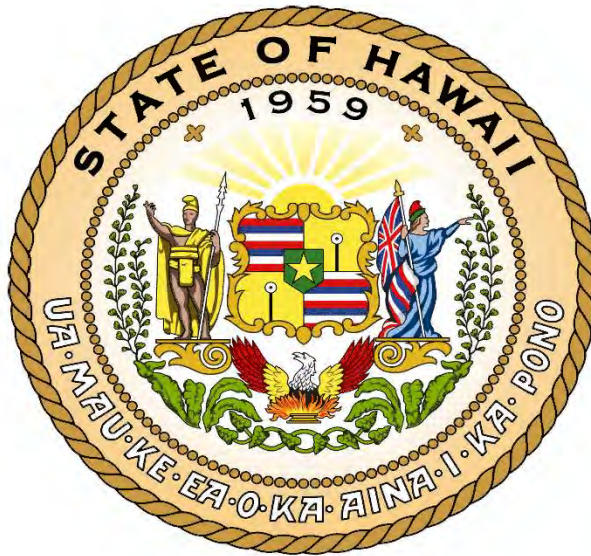
In accordance with HRS section 93-16, this report may be viewed electronically at http://ets.hawaii.gov (see "Reports").

Sincerely,

DOUGLAS MURDOCK
Chief Information Officer
State of Hawaiʻi

Attachment (1)

State of Hawaii Department of Taxation, Tax System Modernization IV&V Project
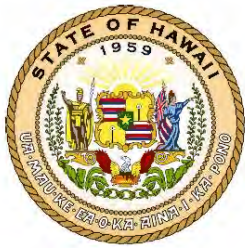
Initial Assessment Report

Table of Contents

1.0 Document History

This document history reflects the Team Accuity Document Management Process for this document. To verify that the document is the latest version, please contact any member of the TSM IV&V Team.

Date	Description	Author	Version
12/26/18	Initial Assessment Report Created	Elizabeth Grisham	1.0
01/08/19	Internal peer review and updates	Elizabeth Grisham	1.1
01/09/19	Internal QA review and updates	Elizabeth Grisham	1.2
01/11/19	Final DRAFT review and updates	Elizabeth Grisham	2.0
01/11/19	Final DRAFT prepared for submission to ETS	Accuity	2.1
01/17/19	Revision of DRAFT from first pass comment review for the FINAL - Updated Section 2.0: clarified contract holders - Updated Section 2.0: added references to set up for the next report - Updated IV&V Findings Section 5.2.1: clarified the schedule document reference - Updated IV&V Findings Section 5.4.3: clarified the technical focus	Elizabeth Grisham	2.2
01/23/19	Internal QA review and updates for the FINAL - Updated Section 5.1: added footnote to reference the deliverables crosswalk in the Fast RFP Response	Elizabeth Grisham	2.3
01/24/19	Internal QA review and Updates for the FINAL - Updated Section 5.1.1 and 5.1.2: combined findings and added details about specific plans - Renumbered Section 5.1.1 recommendations - Updated Section 5.1.1.c: referenced industry standards - Updated Section 5.2.2: added footnote for the contract reference - Updated Section 5.2.1.a: provided additional details and clarity - Updated Section 5.3: added clarifying details regarding resource plans and organizational charts - Updated Section 5.3.1: added footnote to for document references	Elizabeth Grisham	2.4

Date	Description	Author	Version
	- Updated Section 5.4.4.c: clarified what types of activities a training coordinator could do - Updated Section 5.4.7a: clarified reason for reassessment		
01/25/19	Formatting corrected and submitted as revised DRAFT for ETS and DoTAX	Accuity	2.5
02/05/19	Removed watermark and prepared for FINAL submission	Elizabeth Grisham	3.0

Table 1 – Document History
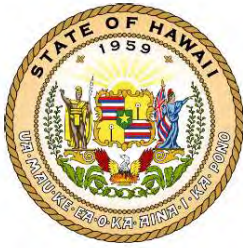
2.0 Executive Summary

The State of Hawaii, Office of Enterprise Technology Services (ETS) contracted Accuity LLP and First Data (Team Accuity) on behalf of the Department of Taxation (DoTAX) to perform an Independent Verification and Validation (IV&V) of the Tax System Modernization (TSM) implementation project, GenTax. Under the terms of a supplemental contract, Team Accuity focused on four key areas for this initial assessment report including a review of the TSM project plans, project schedule, project and contractor staffing levels, and the State of Hawaii's organizational capacity.

DoTAX deployed Phase 4 of the project as approved on November 13, 2018. The final rollout of the five-phased GenTax solution is targeted for July 2019. From July 2019 – July 2020, DoTAX is in the "warranty period" with the GenTax vendor, Fast Enterprises. Effective with the warranty period, DoTAX assumes ownership and responsibility of the GenTax solution as they transition into the Maintenance and Operations (M&O) phase. The final stage of the TSM implementation project warrants a specific focus on preparing DoTAX and the public for a modernized tax system.

Team Accuity interviewed TSM Project Staff and conducted on-site artifact analysis associated with this assessment from December 5, 2018 – December 21, 2018 in order to fashion a comprehensive "snapshot" of the TSM Project's management and technical processes at a given point-in-time.

The overall health of the TSM Project is stabilized for the delivery schedule and current implementation phase of the GenTax solution that supports the infrastructure for Hawaii Tax Online. However, there are concerns that DoTAX may need to increase the level of service for GenTax during the upcoming warranty period for M&O, which would require additional funds to support, as there are findings that support deficits in knowledge transfer and staff capacity.

> *IV&V findings suggest several areas that did not meet industry standards[1] regarding risk management, communications management, organizational change management, knowledge transfer, and staff capacity planning. The latter three are known risk areas from the vendor's own lessons learned from other states' implementation of GenTax[2].*

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[1] IV&V used the following industry standards for this assessment: IEEE Std 1012-2016; ISO/IEC/IEEE 15288:2015; PMI PMBOK 6th Edition; Prosci-ADKAR Model; IIBA BOK 3rd Edition. Additional information is in this report under IV&V Assessment Methodology.

[2] Fast Proposal Response to Hawaii's RFP-13-013-SW, 6.5 Implementation Services, Proposed Implementation Risk, p6d.8-p6d.14

Team Accuity recommends that DoTAX address organizational change management, knowledge transfer, and capacity planning equally in preparation to take ownership of the GenTax solution. The communications management and risk management areas underlie the TSM Project and support other phases of the project lifecycle, and best practice suggests that they are maintained throughout the project. According to PMI's PMBOK Guide 6th Edition, "the effectiveness of project risk management is directly related to project success."

The remainder of the assessment report provides contextual background to the IV&V engagement, in-depth findings, and recommendations for the TSM Project. The next Periodic Assessment Report focuses on outstanding findings, new findings, and DoTAX resolutions to close out IV&V recommendations.

3.0 Background

The State of Hawaii, DoTAX, initiated the TSM project on July 15, 2014. Based on a Request for Proposals (RFP) procurement, DoTAX selected and contracted Fast Enterprises, LLC (Fast) to provide technical services to configure and deploy commercial off-the-shelf (COTS) software – *GenTax* – to modernize its tax operations. The contract includes five (5) phases of work or rollouts. With Rollout 4, Fast deployed functionality related to Individual Income, Fiduciary, Partnership, Estate and Transfer taxes. The fifth and final rollout will deliver the functionality for the final tax types with an original "go live" date of July 2019.

The State of Hawaii contracted with AdvanTech, LLC in March 2016 as the vendor to provide IV&V services for the TSM project. AdvanTech provided seven reports before the contract was terminated in December 2017.

State of Hawaii's Office of Enterprise Technology Services (ETS) RFP-18-406 and Contract 62706 engaged Team Accuity September 1, 2018 to perform limited IV&V services for the DoTAX TSM Project. The requirements of Team Accuity's IV&V contract do not dictate a continuous on-site presence, quality assurance activities, or other remediation; therefore, Team Accuity will not be supporting a continuous IV&V engagement.

Team Accuity was given a Notice to Proceed effective September 27, 2018. ETS and DoTAX suspended Team Accuity's IV&V work as of October 9, 2018 while a contract revision was developed; this postponed Team Accuity's ability to access TSM project documents and staff needed for the assessment. As soon as Team Accuity was able to access TSM project documentation and assets, reviews and initial assessments began. Supplemental Contract Number 1 to Contract 62706 negotiated November 19, 2018 reduced the original scope of work to two IV&V assessment reports.

4.0 IV&V Assessment Methodology

Our methodology employs applications of industry standards and best practices and takes into consideration the unique environment of our individual engagements. When verifying and validating, experience has taught us that the full toolbox of methodologies is not a one size fits all. Using the available tools, such as assessment checklists, Team Accuity selected those appropriate to provide the best results for TSM to support the required IV&V processes and Federal guidelines.

Team Accuity's experienced team utilizes industry standards and best practices from the sources listed below to perform IV&V activities. Team Accuity follows standards recognized both in the U.S. and internationally:

- **The Project Management Institute's (PMI®) Project Management Body of Knowledge (PMBOK, 6th Edition) –** The PMI is project management's leading global professional association and, as such, it administers a recognized, rigorous, and proven project management methodology. Team Accuity has incorported PMBOK's knowledge areas and process groups into our approach to assess and evaluate the project management processes and procedures in place on the TSM project.

- **The International Institute of Business Analysis (IIBA) Business Analysis Body of Knowledge (BABOK, 3rd Edition) –** The IIBA is the leading global independent professional association serving the field of business analysis, supporting the recognition of the profession, and maintaining the standards for the ongoing development and the practice of business analysis knowledge areas. Team Accuity has incorported BABOK's knowledge areas and framework into our approach to assess and evaluate the business analysis processes and procedures in place on the TSM project.

- **The Institute of Electrical and Electronics Engineers, Inc. (IEEE) –** The IEEE was created to help advance global engineering processes and to foster technological innovation. Team Accuity applies IEEE standards to all Independent Verification and Validation efforts. Team Accuity has already incorporated critical guidelines and criteria from the many IEEE standards into our IV&V checklists and methods to apply directly to the TSM project. In particular for this project, Team Accuity utilized IEEE 1012-2016 Standard for System and Software Verification and Validation.

- **International Organization for Standarization (ISO) –** ISO is an independent, non-governmental international organization with a memberhsip of 163 national standards bodies. It brings together experts to share knowledge and develop voluntary consensus-based, market-relevant International Standards that support innovation and provide solutions to global challenges. Team Accuity has already incorporated critical guidelines
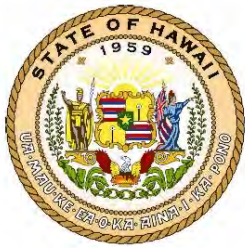
and criteria from the many ISO standards into our IV&V checklists and methods to apply directly to the TSM project.

We also align our IV&V methodology to the following Project Management standards:

- **Standard project processes as defined by the Project Management Body of Knowledge (PMBOK) –** A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – 6th Edition reflects the collaboration and knowledge of working project managers and provides the fundamentals of project management as they apply to a wide range of projects. This internationally recognized standard gives project managers the essential tools to practice project management and deliver organizational results.

- **The phases as defined in the System Development Life Cycle (SDLC)** – A key to successful IT management is a solid project management methodology that incorporates the best government and commercial practices through a consistent and repeatable process, and provides a standard structure for planning, managing, and overseeing IT projects over their entire life cycle.

Team Accuity utilizes best practices for change management capabilities:

- **Prosci's Change Management ADKAR™ Model –** A global team of change advocates focused on customer success, Prosci combines scientific principles and a focus on the people side of change. They maintain the world's largest body of change management knowledge, and provide a goal-oriented change management model that guides individual and organization change. ADKAR – *awareness, desire, knowledge, ability, and reinforcement* – is an effective tool for addressing organizational change management activities.

Team Accuity assessed the Project's overall health utilizing a "green-yellow-red stoplight" visual representation for each area.

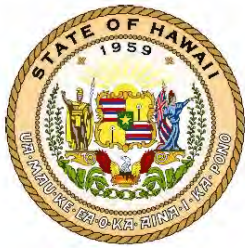| G-Y-R Stoplight Legend	
🟢	Satisfactory – Meets most industry standards. Few Recommendations.
🟡	Cautionary – Partially meets most industry standards. Key Recommendations.
🔴	Unsatisfactory – Does not meet most industry standards. Multiple Recommendations.

Table 2 – G-Y-R Stoplight Legend

5.0 Overall Project Health – Initial Assessment

DoTAX Executives and TSM Project stakeholders will need to assess the feasibility and prioritization of recommendations relative to DoTAX's business model and objectives given the current phase of the TSM Project implementation schedule.

Per Supplemental Contract No 1 to Contract 62706 (RFP-18-406), Team Accuity reports a status on these assessment areas, with the details to follow:

Overall Project Health		
Health Assessment Rating		**Assessment Area**
🟡	**Cautionary**	TSM Project Plans
🟢	**Satisfactory**	TSM Project Schedule
🟡	**Cautionary**	TSM Project and Contractor Staffing Levels
🔴	**Unsatisfactory**	The State's Organizational Capacity

Table 3 – Overall Project Health Stoplight

5.1 TSM Project Plans

Status: Cautionary – Partially meets most industry standards. Key Recommendations.
Best practice recommends updated plans, when applicable, as the project evolves. Some deliverables are "one-time use", developed for a specific project activity within the scope of the project – such as conversion. Other deliverables are maintained during the project as it evolves – such as communication and requirements. Specific types of deliverable plans assist stakeholders in managing the project lifecycle consistently by aligning to business goals and objectives. Fast Enterprises provided in their RFP response a crosswalk of the 29 deliverables they provide and where they map to the 65 required deliverables for the TSM Project[3]. Fast identifies 28 required deliverables for which they have no equivalent, and offer 6 deliverables for which there is not a DoTAX equivalent.

At this stage in the project, updating all required project plans is not as relevant or useful to the project team. However, Team Accuity recommends that the project plans identified below be updated to align with industry standards as these plans are critical for the successful transition to the TSM Project M&O phase.

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[3] Fast Proposal Response to Hawaii's RFP-13-013-SW, Volume 8A Implementation Plan, Project Deliverables, p8a.28-p8d.33
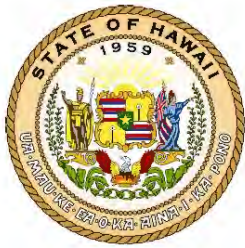
IV&V Findings – TSM Project Plans

5.1.1 Several deliverables created for the TSM effort show a last updated date of 2017 or earlier; these deliverables include: Project Management Plan, Resource Plan, Communication Strategy and Plan, Requirements Management Plan, Issue and Action Item Tracking, OCM Approach, OCM Effectiveness Assessment, Knowledge Transfer Plan, to name a few. Although a Risk Management Plan is not in the required deliverables, the Issue and Action Item Tracking is part of the deliverables, which should address risks. A Risk Management procedure exists, but is outdated. In addition, a schedule management approach does not appear to exist. As IV&V assesses the project using proprietary checklists against industry standards, predominately IEEE and PMBOK for this project, several standard plans were absent and equivalents could not be found in the documents that Fast supplied. Requirements traceability plans have not been updated since June 2016. Team Accuity was not able to verify that TSM Project staff follow all deliverable plans, and in some instances, outdated tools indicate that activities associated with plans, such as risk management, have halted.

Table 4- IV&V Findings – TSM Project Plans

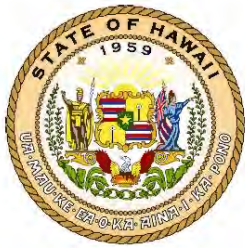## IV&V Recommendations – TSM Project Plans

5.1.1.a Update the Knowledge Transfer (KT) Plan(s). Last updated with Rollout 3, this plan is vital guidance for DoTAX to prepare for GenTax ownership. The KT Tool implemented to track DoTAX knowledge acquisition has not been maintained, thereby creating a challenge to ascertain DoTAX's readiness for transition (see Section 5.4 regarding the KT Tool). This activity runs conjunctively with Organizational Change Management (OCM).

5.1.1.b Update the OCM Plan. Paired with the KT Plan(s) and Communication Plan, DoTAX manages the OCM. Fast collected and documented Change Readiness Assessment data that DoTAX can use to define the road map to progression. Current stakeholders and sponsors are part of the business process reengineering and organizational change, driving project success from the top down. Given the implementation timeline, an outside change management vendor may not be cost beneficial, while utilizing existing resources from Fast as mentors and engaging DoTAX staff as change champions might be cost neutral.

5.1.1.c Update the Risk Management Procedure and Risk Management Tool per best practices and industry standards (PMBOK, ADKAR, ISO/IEC/IEEE 15288-2015, ISO/IEC/12207-2017, IEEE 828 -2012). Address risks currently listed in the Risk Tool. Identify responsible parties for risk management activities, including reporting lines of communication and stakeholders, frequency and documentation of risk management meetings, risk factor(s), risk owner, mitigation options, solution options, discovery/closure dates, and escalation protocol. Engage stakeholders to participate in the Risk Management protocol. Document and communicate risks with a consistent frequency. Update the current Risks and Issues log (new or mitigated) with any items as a result of this assessment.

5.1.1.d Update the Communications Plan. Identify the current project stakeholder groups and the types of communication needed for each audience. The public is part of the communications plan when they are also users of the system. Identify, test, and maintain project communication channels. Identify Risk Management stakeholders as a group and cross-reference in the Risk Management Plan. Communication related to OCM should be included and cross-referenced in the OCM Plan as well.

IV&V Recommendations – TSM Project Plans
5.1.1.e Update the Requirements Management Plan along with the requirements traceability matrix to include all missing rollout information. Requirements traceability is *"used to help ensure that the solution conforms to requirements and to assist in scope, change, risk, time, cost, and communication management. It is also used to detect missing functionality or to identify if there is implemented functionality that is not supported by any requirement."*[4]

Table 5 – IV&V Recommendations – TSM Project Plans

5.2   TSM Project Schedule

Status: Satisfactory – Meets most industry standards. Few Recommendations.

Team Accuity recommends the use of a detailed project schedule that can identify tasks, resources, and duration to manage outcomes and prepare for risks and issues. The TSM implementation and roll out schedule is milestone-based and is on time for the current phase. Phase 4 deployed as approved on November 13, 2018. Phase 5 rollout activities are in progress.

IV&V Findings – TSM Project Schedule
5.2.1 A current project schedule was found in the central repository (FCR) within a Word document listing only milestone/phased rollout "go live" dates; however, the schedule did not provide detailed tasks, dates, or responsible parties for the tasks. Team Accuity could not verify progress percentages, over/under allocated resources, schedule feasibility, or other values of schedule completeness.
5.2.2 The current Fast supplemental contract[5] still identifies Phase 5 "go live" date as July 2019, yet the milestone schedule indicates a "go live" date of September 2019.

Table 6 – IV&V Findings – TSM Project Schedule

IV&V Recommendations – TSM Project Schedule
5.2.1.a Revise and continuously update the project implementation schedule with a work breakdown structure, including task start and stop dates, and responsible parties. The activities include the estimated duration and the required resources. Every activity, except the first and last activities, should be connected to at least one predecessor and at least one successor with an appropriate logical relationship. In addition, the critical path is determined including identifying any high risk activities and any activities with lead or lag times. A resource breakdown structure may be necessary to determine the number of available resources with the required skills.
5.2.1.b Devote attention to the current project phase for the final rollout and transition period for DoTAX to take ownership of GenTax, identifying KT activities and owners. This will enable DoTAX to monitor productivity within the schedule, which could influence changes in scope and resources (monetary and personnel), and manage potential risks more effectively.

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[4] Industry Standard: IIBA BOK 3rd Edition, Trace Requirements, Section 5.1.2, p89

[5] Hawaii State Department of Tax Supplemental Contract 3 with Fast Enterprises, effective 10/08/18
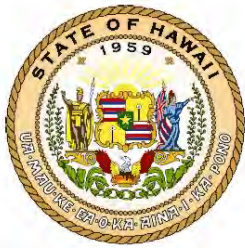
IV&V Recommendations – TSM Project Schedule
5.2.2.a DoTAX should assess if there is a contract modification needed to alter the Rollout 5 "go live" date and the current contract is milestone based for invoicing and payment.

Table 7 – IV&V Recommendations – TSM Project Schedule

5.3 TSM Project and Contractor Staffing Levels

Status: Cautionary – Partially meets most industry standards. Key Recommendations.
Team Accuity recommends adequate staffing levels identified by appropriately allocated resources over the life of the project given the tasks needed to complete the scope. Resource levels affect the schedule as well as the cost of the project. Over or under allocated resources risks need mitigation though balanced staffing levels. The Resource Plan assists with estimating and planning for personnel resources over the life of a project to support the organizations business needs and operations, and the frequency with which to obtain those resources, by identifying the organization's structure, the business functions/purpose, skill set, key performance indicators, length of term, and number staff needed. The organization chart only defines the hierarchy of people and titles.

IV&V Findings – TSM Project and Contractor Staffing Levels
5.3.1 Team Accuity found the resource plan deliverable document updated in July 2016 (Rollout 3), and the resource spreadsheet updated in March 2016 (Rollout 2)[6]. There are formal resource plans and tracking spreadsheets used in prior rollouts; however, there does not appear to be an updated resource plan Rollout 4 or for Rollout 5.
5.3.2 Fast deliverables recommend specific DoTAX roles to assume ownership of GenTax, based on their solution delivery history and lessons learned from other states – particularly for organizational change and KT. Team Accuity was unable to validate the number of TSM Project and contractor staff, as references were not complete or absent for the assessment (TSM Project Schedule, resource plans, and spreadsheet), specifically Rollout 4 and Rollout 5 documents.
5.3.3 Lessons Learned documented from Rollout 3 identified ten (10) entries related to staffing levels, particularly with DoTAX developers and subject matter experts (SMEs) for testing.

Table 8 – IV&V Findings - TSM Project and Contractor Staffing Levels

IV&V Recommendations – TSM Project and Contractor Staffing Levels
5.3.1.a Utilize a Project Plan/Scheduler with tasks, duration, and staff assigned to determine over/under allocated resources to assist with staff load balancing and projections.

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[6] Resource Spreadsheet R2 03152016.xlsx; file last modified 3/1/16; • All TSM Resource Spreadsheet R2, All TSM Resource Spreadsheet.xlsx; file last modified 3/29/16; Del. #5 Resource Plan – R3.docx version 2.0, version date 7/28/16.

IV&V Recommendations – TSM Project and Contractor Staffing Levels
5.3.1.b If under allocated resources cannot be reallocated from within DoTAX, a feasibility study or cost benefit analysis may support resource acquisition from outside the DoTAX resource pool.
5.3.2.a Define the TSM Project personnel expectations, positions, and level of engagement required, post implementation phase.
5.3.2.b Engage DoTAX personnel who have the authority to adjust staffing changes within the department to support the M&O of GenTax as the responsible party.
5.3.2.c Engage personnel and/or other administrative offices to assist with regard to staffing changes, skill set requirements, civil-service classes, and budgeting (personnel costs).
5.3.3.a Research the R3 Lessons Learned (LL) entries focused on staffing and determine if they are still applicable to the current business model and schedule, and if there have been any changes to correct deficiencies: LL#49 Increased involvement of DoTAX developers, LL#52 Include DoTAX developers more on configuration, LL#71 DoTAX resource testing better, LL#80 Lack of involvement from ITSO developers in Service Desk review, LL#84 Determine who is direct contact for disaster recovery and security, LL#113 Not enough testing resources, LL#114 Testing resources pulled back by section managers, LL#116 Need for testers with prior TSM testing experience, LL#177 State-side training resource, LL#190 Issues related to testing resources.

Table 9 – IV&V Recommendations – TSM Project and Contractor Staffing Levels

5.4 The State's Organizational Capacity

Status: Unsatisfactory – Does not meet most industry standards. Multiple Recommendations.
Best practice recommends project human resource management (staffing, training, turnover, KT, change champion) to be engaged as early as possible in the project life cycle. Furthermore, human behavior changes and business process re-engineering are more challenging to redirect and consume a longer runway due to the impact on the project schedule and cost. The capacity to support an on-going solution involves assessing the personnel assigned and needed to support the long-term viability of the project. Team Accuity was unable to validate DoTAX's organizational capacity due to the absence of some verifiable information.

IV&V Findings – The State's Organizational Capacity
5.4.1 There is no formal DoTAX organizational Resource Plan for post-implementation (after Rollout 5). The DoTAX resource roles are not defined and allocated in the Resource Plan to support the GenTax application for post implementation. The skillset of DoTAX's staff was not documented and not available to determine gaps in the "as-is" and "to-be" processes to accommodate the on-going M&O of the GenTax solution. Please see Section 5.3 narrative regarding resource plans.
5.4.2 The KT Tool implemented to track DoTAX knowledge acquisition was last modified 8/31/2017, thereby creating a challenge to ascertain DoTAX's readiness for transition (see Section 5.1 regarding the KT Plan).
5.4.3 There is no documented Systems Turnover/Transition Strategy for GenTax and systems outside of GenTax for the participating DoTAX teams. This strategy outlines the process for DoTAX assuming

IV&V Findings – The State's Organizational Capacity
system responsibilities, when and how, and impacts the number and type of human resources needed to carry out the process.
5.4.4 Neither DoTAX nor Fast has identified an OCM role. DoTAX has not identified a training coordinator.
5.4.5 The DoTAX developers assigned to the TSM Project are not co-located with the rest of the TSM Project Team, specifically the Fast developers, to engage in the iterative development approach and KT.
5.4.6 The KT period is to occur during the warranty period, according to the last updated risk log. Team Accuity could not validate if this risk has been mitigated. If initiated during the warranty period, access to Fast staff may be reduced as they transition off the project due to the service level agreements that start during the warranty period.
5.4.7 A finding made by the prior IV&V vendor described the risk of insufficient call center capacity to handle increased call volume after a rollout and the related recommendation to adjust the configuration in the IVR system to enable the planned level of callers on hold, and analyze if an increase in call center staffing is needed. Team Accuity could not verify if an analysis from Rollout 3 on call center volume, wait times, dropped calls, and issues logged was conducted to determine the impact on IVR with the expected increase of Rollout 4 online users.

Table 10 - IV&V Findings - The State's Organizational Capacity

| IV&V Recommendations – The State's Organizational Capacity |
|---|
| **5.4.1.a** Develop a Resource Plan for post-implementation (after Rollout 5) that defines the skillset needed for each role defined and allocated for M&O. |
| **5.4.1.b** Assess the current skillset of assigned TSM DoTAX resources and do a gap analysis with the desired skillset required to support the staffing model post implementation. |
| **5.4.2.a** Reexamine the staffing lessons learned from prior Rollouts to close any outstanding gaps previously identified and include in the KT Tool and Plan (see Section 5.1). |
| **5.4.3.a** Develop a Transition Plan that addresses the staffing capacity for DoTAX that compensates for the loss of GenTax vendor support in alignment with the M&O for the software. Consider defining a functional and technical Transition Plan to correlate the systems maintenance to the operational support. |
| **5.4.4.a** Fast should assign a SME to address OCM and recommend amount of role types typically needed to support M&O for a project of similar size and scope used in DoTAX. |
| **5.4.4.b** DoTAX should assign a SME to lead OCM and engage the Fast SME to assist with planning and documentation and be listed in the Resource Plan. |
| **5.4.4.c** DoTAX should identify a training coordinator in the Resource Plan who can provide the document updates to existing production training materials, CBTs, course updates/development, training schedules for system changes, FAQ updates, and coordination of new hire training package (modules). |
| **5.4.5.a** DoTAX should look at co-location alternatives that can house all the developers (Fast and DoTAX) together to facilitate KT. |

IV&V Recommendations – The State's Organizational Capacity
5.4.6.a DoTAX to clarify when the KT period is to occur. Team Accuity recommends that DoTAX document and engage the KT process prior to the reduction in vendor SMEs familiar with GenTax configurations for DoTAX. The risk to not adopting this recommendation may lead DoTAX to increase their service level during the warranty period for the maintenance and operations, which would require additional funds to support.
5.4.7.a Utilize metrics associated to call volumes that are relative to the time periods from prior years and analyze if the current IVR staffing model will support the increased public users of Hawaii Tax Online. Team Accuity recommends DoTAX to assess if the current IVR staffing model will support the increased public users for Rollout 4. Analyze data from Rollouts 3 and 4 on call center volume, wait times, dropped calls, and issues logged.
5.4.7.b Document a contingency plan to acquire additional call center support staff should the analysis warrant an increase in resources.

Table 11 - IV&V Recommendations – The State's Organizational Capacity
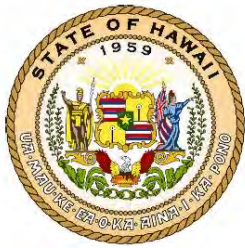
6.0   Approval and Sign-Off

The following reviewers and approvers are authorized project officials whose signature can attest to the deliverable meeting the acceptance criteria. An e-signature is also acceptable with a corresponding acceptance email as confirmation.

This Deliverable has amendments. ☐

*I have reviewed this **TSM IV&V Initial Assessment** and attachments as submitted for approval. My signature/e-signature via email attests that this document has undergone a peer and quality assurance review.*

IV&V Deliverable Project Submitter – Sign Off	
Signature:	Date: 02/15/2019
Printed Name: Chris Ichiki	
Role/Title: IV&V Project Manager	
Agency: Team Accuity	

*I have received this **TSM IV&V Initial Assessment** and all attachments as submitted. My signature/e-signature via email attests that this document has meet the requirements and is accepted as approved.*

IV&V Deliverable Project Approvers – Sign Off	
Signature:	Date: 02/22/2019
Printed Name: Todd Omura	
Role/Title: Project Sponsor – IT Governance	
Agency: State of Hawaii, Enterprise Technology Services	

Appendix A – IV&V Activities

Meetings Observed

- December 12, 2018: TSM Technical Team Meeting (DoTAX and Fast)
- December 13, 2018: TSM Team Leads Meeting (DoTAX and Fast)

Interviews Conducted

DoTAX Project Management was present at every interview.

- December 10, 2018: DoTAX Project Management
- December 10, 2018: TSM Project Management (DoTAX and Fast)
- December 11, 2018: TSM Project Testing Team (DoTAX)
- December 13, 2018: TSM Project Production Support (Fast)
- December 14, 2018: TSM Project Training Team (Fast)
- December 18, 2018: TSM Development/Infrastructure (Fast)
- January 10, 2019: DoTAX ITSO Manager
- January 10, 2019: DoTAX Executive Director
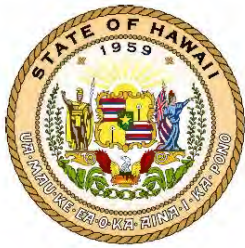
Appendix B – References and Documents Reviewed

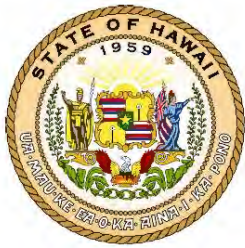| Appendix B – TSM References and Documents Reviewed |
| --- |
| All TSM Resource Spreadsheet R2 |
| All TSM Resource Spreadsheet; updated 3/29/16; Don't have this file for R3 or R4 |
| Application Security Plan – R4 (updated 9/1/2018) Del# 25 |
| BPR Recommendations |
| Build and Release Management Plan – R4 (updated 9/30/2018) Del# 40 |
| Captiva Designer OpenText Content Suite (updated 4/2017) |
| Client Developer Training R3 |
| Communication Strategy and Plan – R3 (3/9/17) Del# 6 |
| Configuration Management Policies and Procedures – R5 (updated 6/29/2018) Del# 26,29 |
| Conversion Plan – R4 (updated 6/30/2018) Del# 20,37 |
| Conversion Plan – R5 (updated 11/7/2018) Del# 20,37 |
| Developer Meeting Presentations R4 |
| Developers Guide |
| Document Output Management – R4; updated 06/26/2018 Del #28 |
| DoTAX Resources >Identification of DoTAX Resources for Security and Training DB |
| EMC Captiva Capture v7.5 Installation guide (updated March 2016) |
| ESC Status Reports |
| eServices Risk Mitigation Strategy (updated 07/03/2017) |
| eServices Risk Mitigation Strategy DDB (updated 08/07/2017) |
| Fast Proposal Response to Hawaii RFP 13-013-SW updated 08/26/2014, p309-317, p348, p382-425 |
| Fast Best and Final Offer (BAFO) to Hawaii RFP 13-013-SW dated 06/08/15 |
| FSET Design (updated 2/7/2017) |
| Functional Guides |
| Hardware Software Plan – R4 (updated 6/30/18) |
| Hardware Software Plan – R5 (updated 6/30/2018) Del# 22 |
| Hawaii DoTAX Business Process Reengineering Recommendations Final 12 May 2017 |
| Hawaii State Procurement Office RFP 13-013-SW Modernizing The Department of Taxation's Technology |
| Hawaii State Department of Tax Contract with Fast Enterprises, effective 07/15/15 |
| Hawaii State Department of Tax Supplemental Contract 1 with Fast Enterprises, effective 01/22/18 |
| Hawaii State Department of Tax Supplemental Contract 2 with Fast Enterprises, effective 08/14/18 |
| Hawaii State Department of Tax Supplemental Contract 3 with Fast Enterprises, effective 10/08/18 |
| How to Create Logon |
| How to File a Return without Signing in |
| How to Navigate a Tax Account Period |
| How to Pay a Payment Plan Installment |

Appendix B – TSM References and Documents Reviewed
How to Request a Tax Clearance
Identification of DoTAX Resources for Security and Training DB; Jenna Kovacs updated 1/8/17
Interaction Center Installation and Configuration Guide (updated 10/6/2015)
Interface Diagram.pdf
Interface Diagram.vsd
Interface Inventory
Interface Summary
Interface Testing HIC
Interview with Victor Qin, Mark Choi on 12/18/2018
Issue and Action Item Tracking
Issue Log
Knowledge Transfer Plan R3
Knowledge Transfer Tracking Document
Lessons Learned R3
MEF Test Plan (updated 9/28/2015)
Notes from 12/12 Tech Team Meeting
OCM Approach for Hawaii R3 (updated 8/4/17)
OCM Effectiveness Assessment R2
OCM Plan
OCM Transition Plan R3 – Conversion v1.doc (updated 6/1/17)
OCM Transition Plan R3 – External Communications v1.doc (updated 7/3/17)
OCM Transition Plan R3 – Installment Taxes Implementation v1.doc (updated 7/26/17)
OCM Transition Plan R3 – Internal Communications v1.doc (updated 7/9/17)
OCM Transition Plan R3 – Miscellaneous Mail Tracking v1.doc (updated 6/1/17)
OCM Update R3
Operation and Support Plan –R4 (updated 8/31/2018) Del# 1,7,10,36,39,64,65
Operations and Support Plan –R5 (updated 8/31/2018) Del# 1,7,10,36,39,64,65
Org Chart R5
Patch Processes (updated 6/2/2015)
Performance Management Policies and Procedures – R4 Del #61 (updated 06/25/2018)
Project Management Plan Del #3 (updated 01/11/2017)
R2 Risk and Issue Log updated 10/27/16
R3 Lessons Learned-All; updated 1/5/18
R5 Org.pdf
Requirements Management Plan Del# 8 (updated 6/2016)
Requirements Traceability Matrix Del# 9
Resource Memo
Resource Plan – R3; v2.0, 7/28/16 Del #5
Resource Spreadsheet 03152016; updated 3/1/16

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Resource Spreadsheet R2
Risk and Issue Log (updated 11/24/2017)
Risk and Issue Log R2 (updated 11/27/2016)
Rollout 4 Testing Progress – Shortfall
Rollout 4 Training Statistics
Solution Optimization Best Practices – R4 Del #60 (updated 06/29/2018)
Technology Plan R4 (update 6/30/18)
Training Plan – R4 Del # 48,49,52,53,54,55 (updated 3/8/2018)
Training Plan R4
Transition Plans R3
TSM ESC Status Report 05162017
TSM ESC Status Report 05302017
TSM ESC Status Report 06272017
TSM ESC Status Report 07182017
TSM ESC Status Report 08012017
TSM Operations and Support Plan – R4 (updated 8/31/2018)
TSM PMP (v3.0 updated 1/11/17) Del # 3
TSM Production Support Work Flow (flow chart with no formal v-control or approvals noted)
TSM Program Charter; updated December 2014 Del #2
TSM R4 Operations and Support Plan; v0.03, 8/31/18
TSM Risk Management Procedure (updated 10/24/2016)
TSM Rollout 1 Implementation Plan (updated 9/302015)
TSM Service Ticket
TSM Service Ticket work flow
TSM Training Team minutes from interviews conducted 12/14/2018 with Katie Christianson (Fast Training Lead), Courtney Goslin (Fast Training Team) and Mark Choi (DoTAX TSM PM)
Various Interface Artifacts
Variously project artifacts (htm, docx, xlsx and etc.) that include file layout to include Field Size, Start/End positions/Data Types

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1	5.1 TSM Project Plans	IV&V Findings - TSM Project Plans 5.1.1 Several standard TSM project plans are absent or incomplete/outdated	9	The TSM Request for Proposals (subsequently incorporated into the contract) identifies 65 deliverable documents (Section 2.2.7). The contractor has developed and delivered an extensive library of deliverable documents to meet the contractual requirements (see attached Word document for additional comment information).	General statement. Team Accuity is aware of the 65 deliverable documents as identified in the vendor contract. No change to the report.

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2	5.1 TSM Project Plans	IV&V Findings - TSM Project Plans 5.1.1 Several standard TSM project plans are absent or incomplete/outdated	9	Did the IV&V team review these documents? Were deliverable documents missing?	Yes. The list of documents are included in the report. Several deliverables created for the TSM effort show a last updated date of 2017 or earlier; these deliverables include: Project Management Plan, Resource Plan, Communication Strategy and Plan, Requirements Management Plan, Issue and Action Item Tracking, OCM Approach, OCM Effectiveness Assessment, Knowledge Transfer Plan, to name a few. Although a Risk Management Plan is not in the required deliverables, the Issue and Action Item Tracking is part of the deliverables, which should address risks. A Risk Management procedure exists, but is outdated. In addition, a schedule management approach does not appear to exist. As IV&V assesses the project using proprietary checklists against industry standards, predominately IEEE and PMBOK for this project, several standard plans were absent and equivalents could not be found in the documents that Fast supplied. Section 5.1.1 was consolidated with Section 5.1.2 and details about specific plans were added for clarification.

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3	5.1 TSM Project Plans	IV&V Findings - TSM Project Plans 5.1.1 Several standard TSM project plans are absent or incomplete/outdated	9	We agree that the TSM project has not followed all of the deliverable plan documents. This is a situation that the present project leadership has identified as a gap. Rather than spending time substantially re-doing the documents, which would require extensive time and staff, we have focused on a more agile approach to project management to ensure that we are focused on solving problems and delivering necessary technical capabilities.	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. Section 5.1.1 was consolidated with Section 5.1.2 and details about specific plans were added for clarification.
4	5.1 TSM Project Plans	IV&V Recommendations - TSM Project Plans 5.1.1c Update the Risk Management Plan and Risk Management Tool	9	A risk management plan is not one of the contractual deliverables. Project risks are discussed by DOTAX and project leadership on an on-going basis. Mitigation approaches are also discussed and operationalized	Industry Standards provide (PMBOK, ADKAR, ISO/IEC/IEEE 15288-2015, ISO/IEC/12207-2017, IEEE 828 -2012) that a risk management approach and procedures should be documented, and the managed risks should be listed including updates and when closed. Current project risks and mitigation approaches/procedures could not be validated. Section 5.1.1 and Section 5.1.2 were consolidated and details added to 5.1.1.c for clarification.

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5	5.1 TSM Project Plans	IV&V Findings - TSM Project Plans 5.1.2 Requirements Traceability Matrix	9	The requirements traceability worksheet has been replaced with information in the Delivery Workbench	Team Accuity will perform a requirements analysis using the Delivery Workbench and include the results in our next Periodic Report. Removed the comments related to the Requirements Traceability Matrix (RTM) tool that was originally under 5.1.2. (Clarified where it was removed since there are still some references to RT plans and matrix in other places) Section 5.1.1 was consolidated with Section 5.1.2 and details about specific plans were added for clarification.
6	5.1 TSM Project Plans	IV&V Findings - TSM Project Plans 5.1.2 Requirements Traceability Matrix	9	Delivery workbench is being used as the final repository for DOTAX to work with the vendor to clarify the status of the 600+ contract requirements	Team Accuity will perform a requirements analysis using the Delivery Workbench and include the results in our next Periodic Report. Removed the comments related to the Requirements Traceability Matrix (RTM) tool that was originally under 5.1.2. Section 5.1.1 was consolidated with Section 5.1.2 and details about specific plans were added for clarification.
7	5.2 TSM Project Schedule	TSM Project Schedule	10	Is this section intended to address typical project success metrics ... schedule, budget, scope?	This section addresses the TSM Project Schedule as recommended according to industry standards for a project lifecycle. Budget and scope are dependencies of a project schedule, but are not specifically addressed in this assessment area. No change to the report.

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8	5.2 TSM Project Schedule	TSM Project Schedule	10	The project is on schedule because the schedule is based on milestones (going live with functionality on certain dates).	Agreed, hence, the Satisfactory rating for the TSM Project Schedule in Table 2 - Overall Project Health Stoplight. No change to the report.
9	5.2 TSM Project Schedule	TSM Project Schedule	10	The project is on budget because it is based on milestone payments. One of the changes we made in 2018 was that we started to comply with the 10% "retainage" provision on services payments.	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.

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10	5.2 TSM Project Schedule	TSM Project Schedule	10	Is budget not addressed for a reason?	The RFP identifies in Task PM-4: Evaluate project progress, resources, budget, schedules, work flow, and reporting, and in PM-25: Evaluate and make recommendations on the estimating and scheduling process of the project to validate that the project budget and resources are adequate for the work-breakdown structure and schedule. Team Accuity could not perform this task as the work-breakdown structure was absent by not using a detailed project schedule. Per the Project Management Plan (page 10), "...the Fast Program Director and DoTAX project manager will jointly prepare a bi-weekly status report for presentation to the Executive Steering Committee. This report will include status reporting on scope, schedule and budget…" Team Accuity could not locate a current bi-weekly status report identifying budget parameters or a Cost Management Plan. Additionally, the Supplemental Contract did not specifically require that the project budget be assessed. No change to the report.
11	5.2 TSM Project Schedule	TSM Project Schedule	10	Project scope is somewhat addressed in the discussion in 5.1.2 re the requirements tracing. We discussed putting additional effort into the requirements tracing in the next IV&V to ensure that we can close the functional requirements for this contract.	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.

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12	5.2 TSM Project Schedule	IV&V Findings - TSM Project Schedule 5.2.1 Project Schedule	10	Is the "table document" referenced in this finding the schedule in the contract? The contract is structured for milestone payments.	No, this is in reference to a Word document in the Fast Central Repository (FCR) that contained the implementation schedule in a table format. Updated the report.

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13	5.2 TSM Project Schedule	IV&V Findings - TSM Project Schedule 5.2.1 Project Schedule	10	Additional details regarding the project schedule (tasks, activities, development items) are tracked in Delivery Workbench	Team Accuity may need a demonstration of how tasks and resources are listed in the Delivery Workbench that are traced to deadlines. The project schedule is based on the scheduled management plan, which can be a component of the project managment plan, and is the process of establishing and documenting policies and procedures for planning, executing, and controlling the project schedule. The process should be performed for each Release. The fully formed and complete project schedule contains the sequenced activities necessary to produce the project deliverables. The activities include the estimated duration and the required resources. Every activity, except the first and last activities, should be connected to at least one predecessor and at least one successor with an appropriate logical relationship. In addition, the critical path is determined including identifying any high risk activities and any activities with lead or lag times. A resource breakdown structure may be necessary to determine the number of available resources with the required skills. Added this information to the recommendations in Section 5.2.1.a

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14	5.2 TSM Project Schedule	IV&V Findings - TSM Project Schedule 5.2.2 Phase 5 go live date	10	The contract is being amended to reflect the new go live date for Rollout 5. Additional changes and clarifications will be included in this contract amendment to prepare for the functional closing of this project	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.
15	5.3 TSM Project and Contractor Staffing Levels	IV&V Findings - TSM Project and Contractor Staffing Levels 5.3.1 Resource Plan document and spreadsheet	10, 11	Which resource plan documents for R2 and R3 are referenced in this finding? In general, the organizational chart for each rollout has been the main document utilized to reflect the resource allocations. For R4 and R5, an organization chart was used to reflect the staffing assignments by FAST and DOTAX. [see attached]	Resource Spreadsheet R2 03152016.xlsx; file last modified 3/1/16; • All TSM Resource Spreadsheet R2, All TSM Resource Spreadsheet.xlsx; file last modified 3/29/16; Del. #5 Resource Plan – R3.docx version 2.0, version date 7/28/16. An organizational chart is different that a resource plan. The Resource Plan assists with estimating and planning for personnel resources over the life of a project to support the organizations business needs and operations, and the frequency with which to obtain those resources, by identifying the organization's structure, the business functions/purpose, skill set, key performance indicators, length of term, and number staff needed. The organization chart only defines the hierarchy of people and titles. Added this clarity to Section 5.3

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16	5.3 TSM Project and Contractor Staffing Levels	IV&V Findings - TSM Project and Contractor Staffing Levels 5.3.2 Organizational Change and Knowledge Transfer	11	DOTAX managers and supervisors are responsible for Organizational Change Management and staff training. The DOTAX management staff have not been consistently reflected in the project documents.	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.
17	5.3 TSM Project and Contractor Staffing Levels	IV&V Findings - TSM Project and Contractor Staffing Levels 5.3.2 Organizational Change and Knowledge Transfer	11	In September 2017, the former DOTAX director indicated that technical knowledge transfer was to occur during the warranty period. In January 2018, the new DOTAX Director stressed the importance of technical knowledge transfer to the ITSO Manager. Since then, the DOTAX development staff have been assigned SQRs (change requests), including development responsibilities for Year End Changes	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.
18	5.3 TSM Project and Contractor Staffing Levels	IV&V Findings - TSM Project and Contractor Staffing Levels 5.3.3 Staffing levels for DOTAX developers and SMEs	11	DOTAX has a development team of 14 full time developer positions.	General statement and statement made during interviews. Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess staff/resource findings that can be verified and include in the next Periodic Report. No change to the report.

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19	5.3 TSM Project and Contractor Staffing Levels	IV&V Findings - TSM Project and Contractor Staffing Levels 5.3.3 Staffing levels for DOTAX developers and SMEs	11	SMEs have been assigned to the project as needed. It has been challenging to commit knowledgeable SMEs to the project while maintaining operations.	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.
20	5.3 TSM Project and Contractor Staffing Levels	IV&V Findings - TSM Project and Contractor Staffing Levels 5.3.3 Staffing levels for DOTAX developers and SMEs	11	Testing resources have also been challenging. Testing for GenTax requires that DOTAX staff learn how to use the testing environment. Testers need to learn how to run back-end processes (e.g., batches) in order to execute tests	Comment addresses DoTAX plans to IV&V findings. TTeam Accuity will re-assess and include in the next Periodic Report. No change to the report.
21	5.4 The State's Organizational Capacity	The State's Organizational Capacity	11, 12	The introduction to this section discusses general human resource management:	General statement No change to the report.
22	5.4 The State's Organizational Capacity	The State's Organizational Capacity	11, 12	· DOTAX is organized around operational requirements. There aren't staff who are "experts" in a tax type.	General statement No change to the report.
23	5.4 The State's Organizational Capacity	The State's Organizational Capacity	11, 12	· Operational/Functional managers are responsible for process re-engineering and supporting regular system users (general technical skill, learning how the new software works) in the context of regular operations. Functional requirements were identified based on SME and manager direction, not written procedural documents.	General statement No change to the report.

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24	5.4 The State's Organizational Capacity	The State's Organizational Capacity	11, 12	· Technical staff training and readiness has been a struggle between documentation, existing baseline knowledge, and experience.	General statement No change to the report.
25	5.4 The State's Organizational Capacity	The State's Organizational Capacity	11, 12	It might be helpful to address both needs in the findings	General statement No change to the report.
26	5.4 The State's Organizational Capacity	IV&V Findings - The State's Organizational Capacity 5.4.1 DOTAX Resource Plan for post-implementation	12	Is this finding focused on the technical resources? Developers? The R5 organization chart reflects the assignments for the DOTAX technical team members (development, networking, and system administration). The assignments were made to prepare for the post-implementation responsibilities. The ITSO Manager will be assigned to conduct a situational/gap analysis about the technical readiness	This finding is based on the absence of a post-implementation resource plan that would address both functional and technical staff skill set and capacity. Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.
27	5.4 The State's Organizational Capacity	IV&V Findings - The State's Organizational Capacity 5.4.2 KT Tool to track DOTAX knowledge acquisition was last modified in 8/31/2017	12	Is this finding focused on technical KT? The former DOTAX Director put technical knowledge transfer activities previously underway on hold in September 2017. The new DOTAX Director has re-stated the importance of technical knowledge transfer	This finding is based on the Knowledge Transfer tracking spreadsheet that includes both technical and functional staff. Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.

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28	5.4 The State's Organizational Capacity	IV&V Findings - The State's Organizational Capacity 5.4.3 No documented Systems Turnover/Transition Strategy	12	Is this finding focused on technical team? While technical readiness for system turnover and transition has been identified as a priority, the Systems Turnover/Transition Plan has not been documented. A System Turnover/Transition Plan will be developed based on the Situational/Gap Analysis	This finding is focused on the technical individuals/teams/divisions. Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. Updated report to clarify findings.
29	5.4 The State's Organizational Capacity	IV&V Findings - The State's Organizational Capacity 5.4.4 No identified OCM role. No DOTAX training coordinator	12	FAST brought in SMEs (e.g., fraud, audit, collections) to assist DOTAX with OCM in the course of this project. It does not appear that this effort was well-received.	General statement No change to the report.

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30	5.4 The State's Organizational Capacity	IV&V Findings - The State's Organizational Capacity 5.4.4 No identified OCM role. No DOTAX training coordinator	12	OCM has not been a priority for DOTAX. The development priority was to replicate the functionality from the legacy system instead of business process re-engineering. This has changed in R5 as we are looking at legal compliance (requiring some process re-engineering) instead of replicating existing processes. The new DOTAX Director is undertaking some re-engineering efforts which will need to be addressed as system changes. Isn't it too late for the project to do much for OCM?	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. Although it is best practice to start OCM activities early, it is never too late for OCM. Some activities will not have as much benefit as others; however, the Department should address business changes that will have bearing during the M&O phase, such as organizational redesign that will reflect DoTAX's positions, roles, and skillsets needed post-implementation. This type of engagement can also serve as career planning to achieve the skillsets needed to be a TSM Project team member. No change to the report.
31	5.4 The State's Organizational Capacity	IV&V Findings - The State's Organizational Capacity 5.4.4 No identified OCM role. No DOTAX training coordinator	12	DOTAX doesn't have a training coordinator position. DOTAX managers and supervisors are responsible for training. FAST created help documents for users in the production environment. Training materials (CBTs, courses) were created in collaboration with DOTAX managers/supervisors and project SMEs. Training materials and help documents produced by FAST are focused on how the technology is configured. The training resources need to be enhanced by DOTAX managers and supervisors to incorporate DOTAX business processes. What would a dedicated training coordinator do?	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. Added the following to the recommendation: A dedicated training coordinator would provide the document updates to existing production training materials, CBTs, course updates/development, training schedules for system changes, FAQ updates, coordination of new hire training, etc. Recommendation updated.

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32	5.4 The State's Organizational Capacity	V&V Findings - The State's Organizational Capacity 5.4.5 DOTAX developers not co-located with vendor staff		DOTAX is preparing a workspace in the Punchbowl office to facilitate co-location of DOTAX and vendor technical team members to support technical knowledge transfer	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.
33	5.4 The State's Organizational Capacity	V&V Findings - The State's Organizational Capacity 5.4.6 Technical Knowledge Transfer during the warranty period		In September 2017, the former DOTAX Director indicated technical knowledge transfer would occur during the warranty period. The new DOTAX Director has stressed the importance of technical knowledge transfer activities	Comment addresses DoTAX plans to IV&V findings. Team Accuity will re-assess and include in the next Periodic Report. No change to the report.