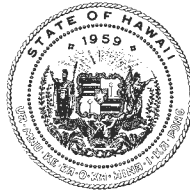


DAVID Y. IGE
GOVERNOR



DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

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June 19, 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 the IV&V report the Office of Enterprise Technology Services received for the State of Hawaii Department of Human Services Systems Modernization Project.

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

Sincerely,


Douglas Murdock (June 19, 2019)

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (2)



Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: June 1 - 30, 2019

Final submitted: July 15, 2019

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
- [IV&V Engagement Status](#)
- [Appendices](#)
 - [A – IV&V Criticality Ratings](#)
 - [B – Risk Identification Report](#)
 - [C – Acronyms and Glossary](#)
 - [D – Background Information](#)



Executive Summary

Executive Summary



IV&V observed progress in the Project Management category during June, resulting in the closure of ten findings and concerns during the reporting period. Recent changes are returning some positive results. The project is seeking to make further improvements in the areas of meeting preparation, tracking and remediation of project risks and issues, and communication. IV&V remains concerned about project productivity, specifically as it relates to core project management tenets such as the efficacy of the project schedule, the project's decision management process, and deliverable quality. Based upon progress made by DHS and the ASI to address outstanding concerns, IV&V is improving the rating of the Project Management category to Medium.

For the June reporting period the Configuration and Development Category remains at a Medium criticality rating. Progress was observed in June regarding the quality and facilitation of JADs/workgroups, although there remain some concerns regarding the consistency of execution across the sessions. Additionally, there remain outstanding questions regarding the vendor's DDI approach. IV&V is aware of ongoing conversations regarding changes to the portal and DDI environments, but has not yet received any updated documentation for review.

Apr	May	Jun	Category	IV&V Observations
			Project Management	IV&V observed progress in the Project Management category in June. Improvements are noted in terms of meeting preparedness, risk and issue management, project status reporting, and communications. The project is taking a number of proactive steps to address many of IV&V's concerns, most notably focusing on the improvement and maintenance of the project schedule. The ASI and DHS have established a number of regular check-ins that focus on the quality of JAD/workgroup sessions, and the scheduling thereof. Although concerns remain, IV&V is encouraged by actions taken thus far. While these regular and frequent check-ins are helping to improve project communications, the execution of the project's decision management process still has room for improvement. IV&V also has concerns about project productivity that stem from the postponed JADs/workgroups, a lack of rigor associated with the project schedule, and delays in core deliverables being approved; all of which will IV&V will track in July. IV&V will continue to monitor the efforts – both new and ongoing – to address project management concerns and will work with DHS and the ASI to provide guidance on how to address IV&V findings in a clear and efficient manner. Due to the progress observed, IV&V has improved the criticality rating of the Project Management category to Medium.

Executive Summary (cont.)



Apr	May	Jun	Category	IV&V Observations
M	M	M	Configuration and Development	IV&V's continued rating of Configuration and Development as a Medium criticality stems from the ASI's BI-06 DDI Plan and the BI-08 Technical Environments Specifications deliverable not being approved, and concerns regarding the consistency of JADs/workgroups facilitation. Improvements continue to be made by the ASI with regards to JADs/workgroup quality as more experienced resources have been added, and more frequent meetings with DHS have been established. However, clarity is still needed regarding the ASI's DDI approach, which the ASI is working to remediate. In an effort to more efficiently drive improvement, IV&V has discussed with both DHS and the ASI taking a more proactive approach to providing feedback regarding JADs/workgroups effectiveness and facilitation.

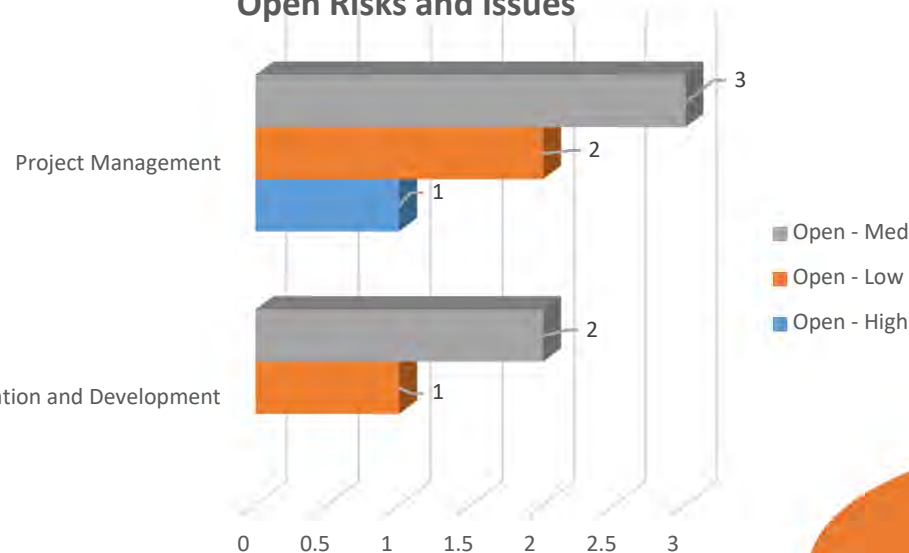
IV&V Findings and Recommendations

IV&V Findings and Recommendations

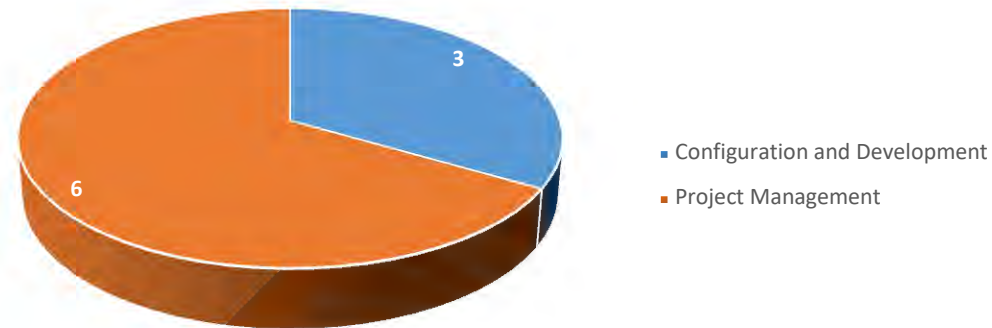


As of the June 2019 reporting period, PCG has identified a total of 9 open findings (8 risks and 1 issue), 21 retired findings, and 2 open concerns. Of the open risks and issues, 6 are related to Project Management and 3 are related to Configuration and Development. 1 new risk was opened during the June reporting period, while 2 preliminary concerns, 6 risks, and 2 issues were closed. The following figures provide a breakdown of our open risks and issues by priority and category.

Open Risks and Issues



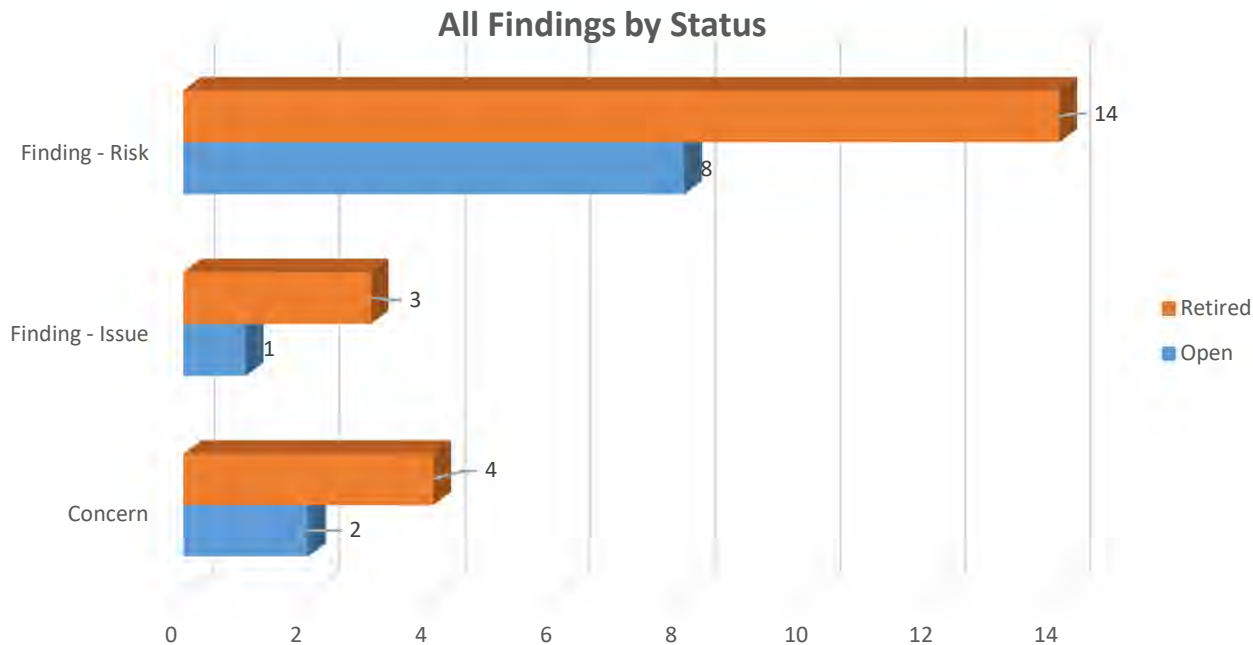
Open Risks and Issues by Category



IV&V Findings and Recommendations



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



IV&V Findings and Recommendations



New Findings Opened During the Reporting Period

#	Finding	Category
26	New Risk (escalated from Preliminary Concern) - Due to the lack of detail in the draft baseline schedule, unanticipated schedule delays may occur.	Project Management
31	New Risk (escalated from Preliminary Concern) - As result of the draft baseline project schedule having a large number of late tasks, the project does not have an accurate baseline of tasks or milestones that can be managed to, which could lead to schedule delays and resource overallocation.	Project Management
32	New Risk - The ASI's Decision Management Process is being inconsistently executed, resulting in variation in the level of decision details being tracked, which can lead to a lack of project team awareness of important decision information.	Project Management

IV&V Findings and Recommendations



Findings Closed During the Reporting Period

#	Finding	Category
1	Risk - Current project management techniques in the JAR and JAD sessions may negatively impact system design.	Project Management
3	Risk - Project Status Reporting does not meet with expectations or Best Practices for presenting status updates of schedule, cost, scope, risks, issues, and change management, which may inhibit effective project management and limit project transparency.	Project Management
14	Risk - The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions.	Project Management
17	Risk - The Project may experience the situation where several deliverables may be presented to DHS for review and approval within a short period of time, which may cause schedule delays.	Project Management
18	Issue - Failure to identify project issues (i.e., follow-up/research activities) may result in the development of the application that does not meet the Project goals, objectives and requirements.	Project Management
23	Risk - Lack of overall productivity since project inception.	Project Management
24	Risk - Insufficient utilization of modern productivity tools (e.g. SharePoint)	Project Management
25	Issue - Lack of written communication may cause confusion within the project team.	Project Management
28	Concern - Lack of planning and risk mitigation in response to outstanding key change request decisions could result in unplanned consequences to scope, schedule, cost, or quality.	Project Management
30	Concern - As a result of the ASI's risk management execution not aligning with the published Risk Management Plan, the project may realize unanticipated impacts to schedule and budget.	Project Management

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
22	Lack of a dedicated ASI Quality Assurance Team is resulting in extended deliverable reviews	Project Management
29	Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to project budget, schedule, system design, and planning decisions.	Project Management

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
1	Closed Risk – Current project management techniques in the JAR and JAD sessions may negatively impact system design. IVV has observed that Project Management effectiveness for the JADs and Workgroups has improved over recent weeks. • JAD packets have been provided and approved in advance of each meeting series. • Meeting Minutes are generally provided within a couple days after the meeting. Based on these improvements, IVV is closing this risk as it relates to the JADs project management techniques. However, IVV remains concerned about, and will continue to monitor, the consistency of the effectiveness of JAD facilitation, which may impact the elicitation of information from DHS SMEs.	Closed
Recommendations		Progress
• Implement project management best practices and identify opportunities to improve meeting management techniques. Publish/post missing JAR/JAD session notes on SharePoint, and moving forward, publish notes within a reasonable period of time (e.g., 24 hrs) after completion of any given session.		Complete

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
2	Risk – Late Delivery of project deliverables may result in schedule delays. The most recent Project Schedule dated 6/14/19 (posted to SharePoint on 6/18/19) includes 200 late activities/tasks (via the MS-Project Late Task Report). This accounts for eight percent of the total tasks in the schedule. Examples of late activities/tasks include: • Develop MDM Architecture Discussion 1 Test Scenarios/Cases/Scripts/ALM Updates – Planned Finish – 3/29/2019 – zero percent (0%) complete • Deliver MDM Architecture Requirements FDD to DHS – Planned Finish – 4/5/2019 – 0% complete • Develop Updated and Completed Detailed Functional and Technical RTM (BI-21) – Planned Finish – 4/19/2019 – 0% complete • Deliver Interfaces Standards to DHS - Workgroup Session #1 – Planned Finish – 4/26/2019 – 0% complete • DEV21 (Dev2) Development Environment – Release – Planned Finish – 5/30/19 – four percent complete IVV acknowledges the ASI and DHS are taking the following actions to mitigate this risk: • ASI meeting with DHS to agree on a balance between needed level of detail and manageability of the project schedule. • The ASI is working with DHS to approve the JAD calendar • ASI and DHS conduct daily stand-up meetings to focus the team on the actions needed. Since an updated schedule has not been posted since 6/14/19, some activities/tasks may be complete but the schedule has not yet been updated. IVV acknowledges the progress made in June, however, until the project's critical path is known, and how late deliverables and tasks impact the critical path, IVV maintains this is a high risk to the project.	
Recommendations		Progress
• Review the project schedule to capture and discuss the late deliverables and delivery thereof; complete the Project Management Plan and deliver it for review to DHS and IV&V for review; attain approval of the PMP.		In Process

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
3	Closed Risk – Project Status Reporting does not meet with expectations or Best Practices for presenting status updates of schedule, cost, scope, risks, issues, and change management, which may inhibit effective project management and limit project transparency. Since the format and level of detail of content of the Project Status Report has been static for several weeks with DHS Project Management in agreement on content, IVV is closing this risk as of the June reporting period.	Closed

Recommendations	Progress
Meet jointly (DHS, the ASI, and IV&V) to determine revisions to the Project Status Report that would meet the needs of reporting on all active tasks and activities, and eliminate redundancy between the data contained in the Project Status Reports and SharePoint logs.	Complete

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
5	Risk – The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding. No change; the Project Team logged Action Item Number 190 which documents the action for Unisys to review the MEET Checklists and draft a list of those MEET Criteria that apply and then review with DHS. The action item is in the status of “in progress” with the next step due date of 06/28/2019 for Unisys to provide the date they will be ready to review the MEET Checklist Criteria with DHS. IVV maintains this is a low project risk for the June 2019 reporting period.	

Recommendations	Progress
Continue dialogue with CMS regarding the project’s options approach to the PPU, IAPDU, and confirm that the MEELC process in general is not required to be followed.	In Process

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
14	Closed Risk – The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions. Since consensus has been reached on the Decision Management process and documented within the Project's Change Management Plan, IVV is closing this finding as of the June reporting period. Please see related finding #32 specific to the Decision Process execution.	Closed
Recommendations		Progress
DHS, the ASI, and IV&V meet to determine the parameters that will be used to identify the level and types of decisions that will be entered in the log. This information should then be recorded in the Project Management Plan, Communications Plan, or other appropriate document/artifact.		Complete

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
17	Closed Risk – The Project may experience the situation where several deliverables may be presented to DHS for review and approval within a short period of time, which may cause schedule delays. DHS is committed to and has demonstrated they will review deliverables as quickly as possible. Specifically, in June 2019, three major deliverables were due to have comments returned to the ASI by 6/21/2019, BI-8 Technology Environments Specifications, BI-24 Organizational Change Management and Stakeholder Communication, and Section 1 and 5 of BI-6 DDI plan. All three were completed by the due date. Additionally, the ASI weekly status report includes the status of deliverables in progress providing DHS with advance notice of future required reviews along with progress checks in the weekly project Stand Up meetings. IVV is closing this risk , however, will continue to monitor the flow of deliverables to be reviewed, specifically as functional and technical design documentation is delivered.	Closed

Recommendations	Progress
Options to mitigate the risk include: • Prioritizing the deliverables to identify those that should be reviewed first based on the criteria of schedule impact and/or cross-deliverable integration; • Review of interim drafts; • Addition of DHS resources to review/approve deliverables; • Addition of DHS review time for the larger deliverables; and/or • Adopt an option of 'conditional' approval with specific criteria that must be met to achieve final approval.	Complete

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
18	Closed Issue – Failure to identify project issues (i.e., follow-up/research activities) may result in the development of the application that does not meet the Project goals, objectives and requirements. DHS and the ASI are actively and consistently updating and maintaining the project issue log, action items in the JAD and Workgroup meeting that have re-started, and Project Status issues and action items. The action items and decisions are maintained within SharePoint so that all project team members have access and they are reviewed/updated in the appropriate meetings or project requirement sessions. IVV is closing this issue , due to the improvements noted.	Closed
Recommendations		Progress
It is recommended that the decision process (JAD and Project) be updated to include a process to communicate decisions to the project team and validate the DHS PMO and Unisys Leadership team is in agreement with the decisions		Complete

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
23	Closed Risk - Lack of overall productivity since project inception. In an effort to more accurately and effectively communicate and track IVV's concerns about productivity, specifically regarding performance against the project schedule, JADs, and execution of project management processes, IVV is closing this risk and will be tracking these concerns at a more granular level. IVV is tracking the following productivity-related findings: • Schedule – Findings 2, 26, 27, 31 • JADs – Finding 16 • Project Management Processes – Finding 32	Closed
Recommendations		Progress
• The ASI should produce, communicate, then execute a clear plan for addressing the project's productivity concerns as they relate to lack of quality, poor customer service, resourcing issues, process issues (including JADs), schedule issues, and deliverable/documentation shortcomings.		Closed

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
24	Closed Risk - Insufficient utilization of modern productivity tools (e.g. SharePoint). IVV maintains that the ASI should continue to focus on improving the usage of information sharing and productivity tools, such as SharePoint, however, is closing this risk in the June 2019 report as the risk to the project is currently low, and has been accepted by the project.	Closed

Recommendations	Progress
ASI should collaborate with DHS to identify a process and tools to improve ease of access to, and dissemination of information.	Closed

IV&V Findings and Recommendations



M

Project Management

#	Key Findings	Criticality Rating
25	Closed Issue - Insufficient written communication may cause confusion within the project team. IVV observed progress made by DHS and the ASI in the June reporting period, including DHS entering past key events into the decision log, and the ASI continuing to update the JAD calendar and conducting project Stand Up meetings to share status and identify key activities in progress or planned in the near future. Overall, IVV has observed enough progress to close this issue . However, specific concerns remain regarding communication around architecture decisions and the decision-making process, both of which are tracked under separate findings (#29 and #32).	Closed

Recommendations	Progress
Provide written documentation using the Controlled Correspondence Process or the Project Decision Log for all activities or events that may impact the specific work assigned to staff, the schedule or the budget to (1) clearly articulate the situation (2) document the steps necessary to overcome the situation (3) share with the project team so that downstream impacts are identified (4) identify areas where the staff should be realigned to work on unplanned activities, if necessary.	Closed

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
26	New Risk (escalated from Preliminary Concern) – Due to the lack of detail in the draft baseline schedule, unanticipated schedule delays may occur. The tasks and activities listed in the project schedule for the next 90 days have not been decomposed to a level to where actual progress can accurately be measured. IVV has become aware that some project leads are using Excel, Trello, or other tools to track task and activity details within their respective areas of responsibility. If all tasks and activities are not thoroughly decomposed in a common manner using MS Project, it is highly likely that sub-plans recorded elsewhere will at times not be in sync with and/or congruent with overall project plans. This type of approach often times results in unplanned activity and/or project delays, and hinders the project's ability to sufficiently plan for the appropriate resources to be involved in each task.	M
Recommendations		Progress
IV&V understands DHS and the ASI's efforts to find balance when detailing out the project schedule. It is recommended that all tasks and activities should be decomposed by the individual project leads, and that subsequent details are properly added to the schedule for all current tasks, as well as those commencing within the next 90 days, weekly on a rolling wave basis.		In Process

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
27	Risk - The draft baseline schedule lacks proper resource loading which could result in unanticipated schedule delays. IVV validates that this condition still persists in the latest published version of the schedule (190614). IVV will re-review to determine if this condition persists when an updated schedule is published. IVV notes that DHS and the ASI are collaboratively working to identify an appropriate level of resourcing tasks and activities in the project schedule, and that this finding was included in the DHS Action Plan for the ASI in June 2019. IV&V maintains this is a medium risk to the project as of the June reporting period.	M

Recommendations	Progress
It is recommended that the ASI perform, at a minimum, the following: • Add all project resources to the project schedule. • Assign all project resources in the schedule to as to all current and planned tasks and activities. • Level load for the next 90 days to ensure the accuracy and attainability of the schedule.	In process

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
31	New Risk (escalated from Preliminary Concern) - As result of the draft baseline project schedule having a large number of late tasks, the project does not have an accurate baseline of tasks or milestones that can be managed to, which could lead to schedule delays and resource overallocation. The baselined schedule ('190524 draft baseline') accepted by DHS on May 25, 2019 has 182 tasks that are already late. This number has grown to approximately 200 late tasks as of the end of June. Late tasks typically lead to overall project delays. One of the primary benefits of baselining a schedule is to 'true-up' progress and ensure that any and all late tasks are re-scheduled to a timeframe that they can be accomplished. It is not considered a project management best practice to baseline a schedule with multiple tasks being recorded as late from the outset.	M
Recommendations		Progress
DHS and the ASI should work together to understand and update and re-schedule all late tasks as a component of the baselining effort, to ensure schedule attainability.		In Process

IV&V Findings and Recommendations



M Project Management

#	Key Findings	Criticality Rating
32	New Risk – Due to inconsistent execution of the Decision Management process, the project may not be tracking all relevant information, which could lead to a lack of awareness and an inefficient use of time and resources. IVV has observed that there is inconsistent execution of the Decision log process. • Most entries are missing entry one or more of the following important fields; Decision Date, Decision Comments, Impact of Decision, Alternatives Considered, and/or Links to Supplemental Documents. • The 'Impact of Decision' field is completed as 'Other' for many Decision entries, obscuring access to important historical data. If decisions are inconsistently logged and tracked, communication can become hampered and a common understanding of decisions may be difficult to attain.	M

Recommendations	Progress
• Determine which fields in the Decision Log should be mandatory vs optional. • Force entry going forward for all needed fields, and audit the data entered into the log to ensure consistent use. • Also consider backfilling missing data in the log at the earliest possible juncture, before the data to be entered is forgotten.	New

IV&V Findings and Recommendations



M

Configuration and Development

#	Key Findings	Criticality Rating
12	Risk – Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. The ASI has reported they are working to update the Adobe change request (CR) that includes migrating the KOLEA portal from LifeRay to Adobe at no additional cost to DHS and will likely seek approval at the next CCB meeting. IVV will continue to monitor this finding until the CR is published and IVV can review. IVV maintains this is a low risk as of the June 2019 reporting period.	
13	Issue – Differing ASI and ESI expectations regarding DDI environments may impact project schedule and cost. Documented environment plans have yet to be shared with IVV. IVV is unaware if ESI responsibilities and contractual obligations upon implementation of the new environment plan have been fully resolved. Until IVV has the opportunity to review this documentation, this remains a medium risk to the project. The ASI has stated that there is no difference between ASI and ESI expectations as the ASI BAFO and contract clearly states 10 environments. IVV maintains this is a medium risk as of the June 2019 reporting period.	
Recommendations		Progress
• Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate.		In Process
• ASI work with the State to reach a common understanding of the requirements for the BES DDI environments.		In Process
• ESI and ASI work together to formulate an environment strategy that will meet the project platform and development needs and minimize impact to the State.		

IV&V Findings and Recommendations



M Configuration and Development

#	Key Findings	Criticality Rating
16	Risk – Lack of clear understanding of DDI approach may reduce effectiveness of JARs and JADs. ASI efforts to provide packets/templates and other information before JAD and workgroup sessions has improved understanding of the ASI DDI approach, however, DHS leadership and some participants have stated that pre-read materials are not provided soon enough for them to properly prepare (in Appendix B, IVV has provided 7 examples of this occurring from June 18 – June 28). Further, some confusion around the ASI's DDI approach continues. For example, during the first Eligibility JAD (6/18/19), DHS SMEs asked to stop the session and for ASI staff to leave the room so they could get clarification on the JAD session approach from IVV and an experienced MQD analyst. SMEs expressed frustration that they didn't understand the goal and intended outcome of the meeting. While concern around the ASI's DDI approach and JAD facilitation remains, IV&V has observed progress being made in the JADs and the ASI continues to work to improve their processes and participant understanding and involvement. IVV is downgrading this risk to a medium for the June reporting period, but will continue to follow up on the above concerns.	M
Recommendations		Progress
PCG recommends one or more of the following to mitigate this risk: • SI provide an additional DDI approach overview session for stakeholders and allow for Q&A • SI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint • SI and DHS accelerate review, resubmission and approval of an acceptable DDI Plan DED to facilitate submission of DDI Plan deliverable • SI submit DDI Plan deliverable and make it easily available to all project stakeholders		In Process
• PCG recommends each new JAD series begin with a brief overview of the DDI approach, including a description of the tools being utilized (use cases, function design documents, technical design documents, etc.), the goals of the session, as well as guidance on how to best provide feedback on what's being shown.		New

IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Apr	May	June	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final May IV&V Monthly Status Report.
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is anticipated to be delivered in August 2019 (refer to the PPU submitted to CMS).
CMS Milestone Reviews				The first CMS Milestone Review date has not yet been determined.
IV&V Staffing				IV&V is planning to add resources to the project in July.
IV&V Scope				

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



- IV&V activities in June reporting period:
 - Completed – May Monthly Status Report
 - Submitted – Comments on BI-06 DDI Plan, and BI-08 Technology Environments Specifications, and BI-24 Organizational Change Management Plan
 - Ongoing analysis of Medicaid Eligibility and Enrollment Toolkit (MEET) requirements applicable to BES project
 - Ongoing – Review DEDs and Deliverables for BES project
 - Ongoing – Attend ASI project meetings, including JADs and Workgroups (see [Additional Inputs](#) pages for details)
- Planned IV&V activities for July reporting period:
 - Continued discussion and analysis of Medicaid Eligibility and Enrollment Toolkit (MEET) requirements applicable to BES project with DHS PMO and BES Project Director
 - CMS E&E IV&V Progress Report – Draft submission
 - Ongoing – Observe BES JAD and Workgroup sessions
 - Ongoing – Observe Weekly Project Status meetings
 - Ongoing – Observe bi-weekly BES Project Risk and Issue meetings
 - Ongoing – Twice monthly IV&V findings meetings with Unisys
 - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
 - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-02 Project Status Report Deliverable	Weekly	
BI-05 Project Schedule Deliverable Baseline Draft Re-Assessment	190607 Draft Baselined	N/A
BI-05 Project Schedule Deliverable Baseline Draft Re-Assessment	190614 Draft Baselined	N/A
BI-06 Design Development and Implementation Plan (sections 2 and 4)	05/31/2019	V0.6
BI-06 Design Development and Implementation Plan (sections 1 and 5)	06/07/2019	V0.7
BI-06 Design Development and Implementation Plan (completed draft)	06/14/2019	V0.8
BI-08 Technical Environment Specifications – CNV21 Re-Assessment	06/10/2019	V1.2
BI-08 Technical Environment Specifications – DEV02B Re-Assessment	06/10/2019	V1.2
BI-08 Technical Environment Specifications – DEV21 Re-Assessment	06/10/2019	V1.2
BI-08 Technical Environment Specifications – DRX21 Re-Assessment	06/10/2019	V1.2
BI-08 Technical Environment Specifications – PRD21 Re-Assessment	06/10/2019	V1.2
BI-08 Technical Environment Specifications – SIT21 Re-Assessment	06/10/2019	V1.2

Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-08 Technical Environment Specifications – STG21 Re-Assessment	06/10/2019	V1.2
BI-08 Technical Environment Specifications – TRN21 Re-Assessment	06/10/2019	V1.2
BI-08 Technical Environment Specifications – UAT21 Re-Assessment	06/10/2019	V1.2
BI-24 Organizational Change Management Plan	06/07/2019	V1.3



Additional Inputs – Artifacts

Artifact Name	Artifact Date	Version
Decision Log	6/5/2019 6/12/2019 6/19/2019 6/26/2019	N/A
Functional Design Action Item Process	6/19/2019	N/A
MDM Consent and Referral Management Minutes	6/10/2019 6/18/2019	N/A
BES Risk and Issue Log (Excel)	6/5/2019 6/12/2019 6/19/2019 6/26/2019	
JAD Calendar	6/5/2019 6/19/2019	N/A
BES RFP and Unisys BAFO		
KOLEA Enhancement Schedule – MDM Accelerate Project	6/20/2019	3
Administrative Hearing JAD Documents	6/14/2019	
JAD Process Improvement Plan (PIP)		V2 V7



Meetings and/or Sessions Attended/Observed:

- Project Status Meetings x4 (6/5, 6/12, 6/19, 6/26)
- BESSD PMO, IV&V Weekly Meeting x4 (6/5, 6/12, 6/19, 6/26)
- Internal PCG Team Meetings x6 [6/3, 6/6, 6/10, 6/17, 6/24, 6/27)
- Monthly Change Control Board (6/5)
- Draft Baseline Project Schedule Review (6/19)
- Functional and Technical Standards Workgroup (6/6)
- MDM, Consent Management, Referral Management Workgroup x2 (6/4, 6/10)
- Appeals Workgroup Meetings x3 (6/5, 6/7, 6/21)
- Common Functions Workgroup Meetings x3 (6/5, 6/18, 6/25)
- Administrative Hearings JAD Session (6/14)
- Eligibility JAD Meetings x3 (6/18, 6/19, 6/26)
- IV&V/Unisys Findings Review (6/19)

Appendices



Appendix A – IV&V Criticality Ratings

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 evaluated and 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 – Findings Log



- The complete Findings Log for the BES Project is provided in a separate file.

Appendix C – Acronyms and Glossary



Acronym	Definition
APD	Advance Planning Document
ASI	Application System Integrator
BES	Benefits Eligibility Solution
CCWIS	Comprehensive Child Welfare Information System
CM	Configuration Management
CMMI	Capability Maturity Model Integration
CMS	Center for Medicare and Medicaid Services
CR	Change Request
DDI	Design, Development and Implementation
DED	Deliverable Expectation Document
DHS	Hawaii Department of Human Services
DLV	Deliverable
E&E	Eligibility and Enrollment
EA	Enterprise Architecture
ECM	Enterprise Content Management (FileNet and DataCap)
ESI	Enterprise System Integrator (Platform Vendor)
ETS	State of Hawaii Office of Enterprise Technology Services
FIPS	Federal Information Processing Standard
HIPAA	Health Information Portability and Accountability Act of 1996
IDM	Identity and Access Management (from KOLEA to State Hub)
IEEE	Institute of Electrical and Electronics Engineers
IES	Integrated Eligibility Solution
ITIL	Information Technology Infrastructure Library



Appendix C – Acronyms and Glossary

Acronym	Definition
IV&V	Independent Verification and Validation
KOLEA	Kauhale On-Line Eligibility Assistance
M&O	Maintenance & Operations
MEELC	Medicaid Eligibility and Enrollment Life Cycle
MEET	Medicaid Eligibility and Enrollment Toolkit
MOU	Memorandum of Understanding
MQD	Hawaii Department of Human Services MedQuest Division
NIST	National Institute of Standards and Technology
OE	Operating Environment
OIT	Department of Human Services Office of Information Technology
PIP	Performance/Process Improvement Plan
PMBOK®	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project/Program Management Office
PMP	Project Management Plan
QA	Quality Assurance
QM	Quality Management
RFP	Request for Proposal
ROM	Rough Order of Magnitude
RMP	Requirements Management Plan
RTM	Requirements Traceability Matrix
SEI	Software Engineering Institute
SLA	Service-Level Agreement
SME	Subject Matter Expert

Appendix C – Acronyms and Glossary



Acronym	Definition
SOA	Service Oriented Architecture
SOW	Statement of Work, Scope of Work
VVP	Software Verification and Validation Plan
XLC	Expedited Life Cycle

Appendix D – Background Information



Systems Modernization Project

The DHS Enterprise Program Roadmap includes contracting with three separate vendors with the following high-level scope:

- ESI or Platform Vendor – responsible for the shared technology and services required for multiple Application vendors to implement and support functionality that leverages the DHS Enterprise Platform.
- ASI or ASI Vendor – responsible for the DDI of the Benefits Eligibility Solution (BES Project) enhancing the currently implemented Medicaid E&E Solution (KOLEA) and providing support for the combined Solutions.
- CCWIS Vendor – responsible for the DDI of the CCWIS Solution to meet the needs of child welfare services and adult protective services (CCWIS Project) and providing support for the Solution.

Systems Modernization IV&V Project

IV&V performs objective assessments of the design, development/configuration and implementation (DDI) of DHS' System Modernization Projects. DHS has identified three high-risk areas where IV&V services are required:

- Transition of M&O from DHS' incumbent vendor to the ESI and ASI vendors
- BES DDI
- CCWIS DDI

On the BES DDI Project, IV&V is responsible for:

- Evaluating efforts performed by the Project (processes, methods, activities) for consistency with federal requirements and industry best practices and standards
- Reviewing or validating the work effort performed and deliverables produced by the ASI vendor as well as that of DHS to ensure alignment with project requirements
- Anticipating project risks, monitoring project issues and risks, and recommending potential risk mitigation strategies and issue resolutions throughout the project's life cycle
- Developing and providing independent project oversight reports to DHS, ASI vendors, State of Hawaii Office of Enterprise Technology Services (ETS) and DHS' Federal partners

Appendix D – Background Information



What is Independent Verification and Validation (IV&V)?

- Oversight by an independent third party that assesses the project against industry standards to provide an unbiased view to stakeholders
- The goal of IV&V is to help the State get the solution they want based on requirements and have it built according to best practices
- IV&V helps improve design visibility and traceability and identifies (potential) problems early
- IV&V objectively identifies risks and communicates to project leadership for risk management

PCG's Eclipse IV&V® Technical Assessment Methodology

- Consists of a 4-part process made up of the following areas:
 1. **Discovery** – Discovery consists of reviewing documentation, work products and deliverables, interviewing project team members, and determining applicable standards, best practices and tools.
 2. **Research and Analysis** – Research and analysis is conducted in order to form an objective opinion.
 3. **Clarification** – Clarification from project team members is sought to ensure agreement and concurrence of facts between the State, the Vendor, and PCG.
 4. **Delivery of Findings** – Findings, observations, and risk assessments are documented in this monthly report and the accompanying Findings and Recommendations log. These documents are then shared with project leadership on both the State and Vendor side for them to consider and take appropriate action on.

IV&V Assessment Categories for the BES Project

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



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Finding Number	Title	Owner	Finding Type	Project	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments	
32	Due to inconsistent execution of the Decision Management process, the project may not be tracking all relevant information, which could lead to a lack of awareness and an inefficient use of time and resources	Darren	Finding - Risk	BES IVV	6/28/2019	Project Management	IVV has observed that there is inconsistent execution of the Decision log process. - Most entries are missing entry one or more of the following important fields: Decision Date, Decision Comments, Impact of Decision, Alternatives Considered, and/or Links to Supplemental Documents. - The 'Impact of Decision' field is completed as 'Other' for many Decision entries, obscuring access to important historical data.	If Decision logs are inconsistently used, communication can become hampered and a common understanding of decisions may be difficult to attain.	- Determine which fields in the Decision Log should be mandatory vs optional. - Force entry going forward for all needed fields, and audit the data entered into the log to ensure consistent use. - Also consider backfilling missing data in the log at the earliest possible juncture, before the data to be entered is forgotten.	Q3 2019	3	2	Low	Open					
31	As result of the draft baseline project schedule having a large number of late tasks, the project does not have an accurate baseline of tasks or milestones that can be managed to, which could lead to schedule delays and resource overallocation.	Darren	Finding - Risk	BES IVV	5/31/2019	Project Management	The baselined schedule ("190524 draft baseline") accepted by DHS on May 25, 2019 has 182 tasks that are already late.	Late tasks typically lead to overall project delays. One of the primary benefits of baselining a schedule is to "true-up" progress and ensure that any and all late tasks are re-scheduled to a timeframe that they can be accomplished. It is not considered a project management best practice to baseline a schedule with multiple tasks being recorded as late from the outset.	The ASI should update and re-schedule all late tasks as a component of the baselining effort, to ensure schedule attainability.	June 2019	3	3	Med	Open		06/28/2019 - IVV validates that this condition still persists in the latest published version of the schedule (190614). The number of late tasks has grown from 182 to 200 in the last two versions of the schedule. IVV will plan to re-review to determine if this condition persists when updated schedules are published and made available for review.	06/11/19 S Brown: The submission of B15 Project Schedule is a point in time schedule. The ASI is actively reviewing and updating the schedule, with a weekly update provided to the client.		
30	As a result of the ASI's risk management execution not aligning with the published Risk Management Plan, the project may realize unanticipated impacts to schedule and budget.	mfors	Concern	BES IVV	5/31/2019	Project Management	The Issue Log "Action Plan" field does not seem to be utilized for the action plan, rather, it contains risk update notes. Further, the Risk log seems to be missing several fields that were identified in the Risk Management Plan, namely: Severity, Impact Category, Source, Probability, Risk Triggering Event, Monitoring Plan, Mitigation Plan, Contingency Plan. It is unclear if risk mitigation plans/strategies have been developed/documentated for current project risks.	Failure to effectively track important risk details and mitigation plans can lead to ineffective risk management which can increase the likelihood of impactful risks (schedule and budget) being realized.	It is recommended that the ASI review their Risk Management Plan and ensure that their risk management log and their risk management process execution aligns with the plan. This includes the following: - The plan states, "the contingency plan is developed in the Contingency Plan field and notes surrounding the execution of the plan are documented in the Notes filed. At a minimum, monthly, the owner should record that the risk and the risk action plan is still appropriate". - The Risk Management Plan states, "Risk tracking is essential to effective action plan implementation. This means devising the risk metrics and triggering events needed to make sure that the planned risk actions are working". - The plan states, "Risk tracking is essential to effective action plan implementation. This means devising the risk metrics and triggering events needed to make sure that the planned risk actions are working".	ASAP	0	0	NA	Retired	6/30/2019	6/30/19 - The ASI has updated fields in their risk/issue log to better reflect what has been stated in their risk management plan. IVV will close this finding. 6/26/19 - The ASI recognizes they need to make efforts to properly update fields/data elements in their risk and issue management tools and have indicated their intent to resolve this risk. IVV will continue to monitor corrective measures and progress.	06/11/19 S Brown: The ASI requests specifics related to this finding.		
29	Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to project budget, schedule, system design, and planning decisions.	mfors	Concern	BES IVV	5/28/2019	Project Management	Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Siebel instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud.	The current project architecture and design should be as representative and inclusive of all known future solution plans as possible. As an example, if KOLEA and BES are to move to a single instance of Siebel in the future, planning for that integration should be incorporated into the project now. If such significant future changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two databases.	It is recommended that DHS request ASI perform due diligence in any recommendation for foundational architecture change decisions. Additionally, the project should vet possible architectural change impacts to platform, M&O, MQO, and BES systems before finalizing architectural decisions.	ASAP	0	0	NA	Open		6/26/19 - While DHS has indicated architecture changes are currently being discussed, no clear details have been made available to IVV. Until such details are provided, IVV will continue to track this as a preliminary concern.	06/11/19 S Brown: The ASI requests clarity on what long term architectural decisions are being referred to.		
28	Lack of planning and risk mitigation in response to outstanding key change request decisions could result in unplanned consequences to scope, schedule, cost, or quality.	Darren	Concern	BES IVV	5/28/2019	Project Management	IVV has observed multiple CRs that have been open for three months or more with little updates and contingency planning communicated to the project. Two examples include: CR 2018-0036 for use of Adobe as opposed to Liferay was submitted on 12/12/2018, and it has had a status of 'being 'under evaluation' since 2/12/2019 and CR 2018-0054 for single Siebel instance was opened on 2/8/2019 and put ON HOLD on 4/23/2019. Both of these CRs present notable change to project scope and are likely to impact current and future project planning, cost, schedule, and resources. As final decisions on these CRs remain outstanding, there has been no formal communication of action plans or risk mitigation strategies to the project until a decision is made.	When key project change decisions are delayed or put on hold, the project may lack clear understanding of status and direction on how to proceed until a final decision is made. This lack of direction can result in delayed or unplanned affects to project scope, schedule, cost, or quality	In instances where CR delays are unavoidable, the project should document action plans and risk mitigation strategies in advance of final CR decisions and ensure that those plans are clearly communicated to the project in a timely manner.	Q3 2019	0	0	NA	Retired	6/28/2019	IVV is closing this finding based on progress in June on both CRs. DHS and the ASI have agreed to submit and process a replacement CR for using Adobe for the KOLEA portal, and IVV has been made aware that executive-level discussions are taking place surrounding other architectural components. IVV will continue to monitor this project area.	06/11/19 S Brown: CR's are addressed on the standing CCR monthly meeting. At this time, all open CR's are with the client for next steps. The ASI has identified potential impacts to the project in our status reporting.		
27	The draft baseline schedule lacks proper resource loading which could result in unanticipated schedule delays	Darren	Finding - Risk	BES IVV	5/28/2019	Project Management	The draft baseline schedule does not include all resource assignments, and most of the lead resources that are added to the schedule are largely overallocated. The RFP and the ASI proposal both require a fully resource-loaded project schedule. - All lead project staff are all overallocated through the next 90 days. Overallocation ranges from 16 hrs/day to 136 hrs/day. The ASI has stated that they will only track resource assignments for lead staff, which obfuscates transparency. - "Unknown" project staff (Identify Mgmt Lead, Integration Lead, Siebel Dev Lead, OPA Lead, BI Architect, Data Architect, Tech Writer) are ALL overallocated. Overallocation ranges from 24-36 hrs/day. - There are over 68,000 hours of work assigned to 'Unlvs'. - There are over 19,000 hours of work assigned to 'DHS'. - There are over 7,000 hours of work assigned to 'DHS Technical'.	The project's ability to understand 'which' staff are working on 'what' project tasks is obscured. Such extreme overallocation of resources can result in unplanned schedule delays, and undesirable task end dates and milestones. This condition in the schedule is an indication that one or more of the following may be occurring: there may not be enough resources to accomplish the planned tasks in accordance with the schedule; tasks may not have been fully decomposed to the appropriate level; resource assignments may not have been fully planned out and/or assigned.	It is recommended that the ASI perform, at a minimum, the following: - Add all project resources to the project schedule. - Assign all project resources in the schedule to do as to all current and planned tasks and activities. - Level load for the next 90 days to ensure the accuracy and attainability of the schedule. If, upon completing the above, resource gaps exist, the project may want need to consider bringing on additional resources as needed to meet the schedule.	July 2019	4	4	Med	Open		06/28/2019 - IVV validates that this condition still persists in the latest published version of the schedule (190614). IVV will re-review to determine if this condition persists when an updated schedule is published. IVV notes that DHS and the ASI are collaboratively working to identify an appropriate level of resourcing tasks and activities in the project schedule, and that this finding was included in the DHS Action Plan for the ASI in June 2019. IV&V maintains this is a medium risk to the project as of the June reporting period.	06/11/19 S Brown: The ASI will continue to update and level resource allocations.		
26	Due to the lack of detail in the draft baseline schedule, unanticipated schedule delays may occur	Darren	Finding - Risk	BES IVV	5/28/2019	Project Management	The tasks and activities listed in the project schedule for the next 90 days have not been decomposed to a level to where actual progress can accurately be measured. IVV has become aware that some project leads are using Excel, Trello, or other tools to track task and activity details within their respective areas of responsibility.	If all tasks and activities are not thoroughly decomposed in a common manner using MS Project, it is highly likely that sub-plans recorded elsewhere will at times not be in sync with and/or congruent with overall project plans. This type of approach often times results in unplanned activity and/or project delays, and hinders the project's ability to sufficiently plan for the appropriate resources to be involved in each task.	IVV continues to recommend that all tasks and activities are thoroughly decomposed by the individual project leads, and that subsequent details are properly added to the schedule for all current tasks, as well as those commencing within the next 90 days, weekly on a rolling wave basis.	July 2019	3	3	Med	Open		06/28/2019 - IVV validates that this condition still persists in the latest published version of the schedule (190614). IVV will re-review to determine if this condition persists when an updated schedule is published. IVV notes that DHS and the ASI are collaboratively working to identify an appropriate level of task details in the project schedule, and that this finding was included in the DHS Action Plan for the ASI in June 2019.	06/11/19 S Brown: The ASI agreed to add additional detail once the schedule is baselined, as discussed with the client.		
25	Lack of written communication may cause confusion within the project team.	Jolene	Finding - Issue	BES IVV	5/13/2019	Project Management	The Project Leadership Team (DHS and Univis) does not provide written documentation regarding significant events that should be communicated to the project team to avoid confusion, validate DHS and Univis have a common understanding, and/or document required action for unplanned activities. Specific examples include the DHS request to Univis for the JAR/JAD corrective action plan (CAP), the delivery of the CAP from Univis to DHS, DHS comments and/or acceptance of the JAD CAP; DHS request to halt the JAD sessions until the CAP is approved; the list of activities necessary for the State to review/approve the Project Schedule.	Insufficient documentation of key decisions may lead to confusion within the project team regarding work assignments that are no longer priority, shifting of resources to new work and overall alignment of the project to the changed goals and objectives. It may also cause confusion within the project team regarding the key activities and their chronological order as agreed to by the Projects Sponsor and Stakeholders.	Provide written documentation using the Controlled Correspondence Process or the Project Decision Log for all activities or events that may impact the specific work assigned to staff, the schedule or the budget to (1) clearly articulate the situation (2) document the steps necessary to overcome the situation (3) share with the project team so that downstream impacts are identified (4) identify areas where the staff should be realigned to work on unplanned activities, if necessary.	ASAP	2	2	Med	Retired	6/28/2019	6/28/2019 - IVV observed progress made by DHS and the ASI in the June reporting period, including DHS entering past key events into the decision log, and the ASI continuing to update the JAD calendar and conducting project Stand Up meetings to share status and identify key activities in progress or planned in the near future. Overall, IVV has observed enough progress to close this finding. However, specific concerns remain regarding communication around architecture decisions and the decision-making process, both of which are tracked under separate findings #29 and #32). 5/13/2019 - Originally this finding was opened as a concern. After discussions with the DHS PMO and Univis in separate meetings on 5/15/2019, IVV changed it from a concern to an issue as both DHS PMO and Univis agreed these events should be formally documented. DHS PMO indicated they would prefer to use the Projects Decision Log vs. Controlled Correspondence, both are good options. IVV notes the ASI provided the IVV with the Functional Cycle Performance Improvement Plan 02092019 V3 (7).ppt that provides the high-level plan and steps necessary to re-start the JAD/Workgroup Sessions. IVV also notes that DHS and the ASI have logged some of the past events in the Decision Log. IVV will monitor this over the next couple of months.	06/11/19 S Brown: The ASI disagrees with the rating of this item. As evidence that written communication has been provided, the ASI provided status updates to the client of week on week progress against items identified in the Performance Improvement plan, scheduled and held of weekly Design Leadership meetings and published agenda's and minutes. The ASI and client are also holding daily stand up meetings to ensure the workgroups and JADs are progressing as expected and taking any corrective action needed.		
24	Insufficient utilization of modern productivity tools (e.g. SharePoint)	mfors	Finding - Risk	BES IVV	4/10/2019	Project Management	The ASI prefers to use traditional tools (e.g., Excel) as opposed to modern, more efficient productivity tools (e.g., SharePoint) that provide greater functionality and empower stronger collaboration on and sharing of project information.	Usage of modern productivity tools are typically proven effective in organizing and providing visibility to information that can increase stakeholder awareness and productivity as well as encourage project engagement. For example, while some project information would be better stored in a SharePoint list the project often chooses to utilize traditional Excel spreadsheets that lack the same versioning and shared use capabilities as SharePoint lists. SharePoint Lists are often utilized as up to date repositories for information that can easily be accessed, updated, filtered, and sorted (without the need to open a document). Often, stakeholders will avoid looking for information if they need to search through SharePoint document libraries and then search through multiple documents to compile information that is buried in one or more Word/Excel document.	It is recommended that the ASI acquire modern productivity tool (e.g. SharePoint) expertise to ensure effective use of more advanced tool productivity capabilities. Additionally, the ASI should collaborate with DHS to identify information/spreadsheets that could be more effectively stored in SharePoint Lists for better shared use, easy access, and dissemination of information.	May 2019	1	3	Low	Retired	6/28/2019	6/26/19 - IVV maintains that the ASI should continue to focus on improving the usage of information sharing and productivity tools, such as SharePoint, however, is closing this risk in the June 2019 report as the risk to the project is currently low, and has been accepted by the project. 5/22/19 - The ASI has indicated that DHS approved use of some manual methods (e.g., spreadsheets) over modern productivity tools (e.g., SharePoint), however, DHS clarified that this is not their preferred method. IVV maintains this is a low risk as of the May 2019 reporting period.	06/11/19 S Brown: The ASI requests additional detail regarding the classification and measurement of this as a risk to the project.		

Finding Number	Title	Owner	Finding Type	Project	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
23	Lack of overall productivity since project inception.	mfors	Finding - Risk	BES IVV	4/30/2019	Project Management	Some of DHS stakeholders have expressed frustration that the project has not met expectations and, though the project schedule has yet to be re-baselined and finalized, there is a perceived lack of ASI progress over the past 7 months (since project kickoff) by many stakeholders. It is unclear if the ASI has accounted for or has a mitigation plan for this shortfall in productivity or if they can assure key milestones will be met now that JAD's have been put on hold.	The perceived lack of ASI productivity by the client can hinder client engagement and negatively impact team buy-in and morale. Waning productivity can lead to negative impacts to project quality, schedule, budget, and resources and compromise the project's return on investment. While the ASI maintains the project end date remains unchanged, it is not clear how this can be verified given the unapproved schedule, JADs being on hold, and the number of deliverables that have been submitted as draft and are still not approved. This lack of productivity can result in unexpected schedule extensions and budget cuts that could negatively impact the quality of project deliverables as well as limit contract flexibility.	The ASI should produce, communicate, then execute a clear plan for addressing the project's productivity concerns as they relate to lack of quality, poor customer service, resourcing issues, process issues (including JADs), schedule issues, and deliverable/documentation shortcomings. Additionally, the ASI should ensure that senior resources are appropriately assigned and effectively involved in the project, in an effort to improve quality and restore confidence in the ASI's ability to effectively execute their contract.	ASAP	4	4	High	Retired	6/28/2019	6/23/19 - In an effort to more accurately and effectively communicate and track IVV's concerns about productivity, specifically regarding performance against the project schedule, JADs, and execution of project management processes, IVV is closing this risk and will be tracking these concerns at a more granular level. IVV is tracking the following productivity-related findings: • Schedule – Findings 2, 26, 27, 31 • JADs – Finding 16 • Project Management Processes – Findings 30, 32, 5/31/19 While both the PMP and Project Schedule were approved in May, IVV remains concerned about the overall productivity of the ASI. Some observations and concerns are below: • There are indications of schedule slippage, such as JAD sessions that were originally scheduled for completion in June 2019 are now slated for completion in December 2019 (when comparing 11/24/2018 schedule and the 5/24/2019 schedule). • DHS leadership remains concerned that the project team's overall lack of experience has led to several unproductive meetings/work sessions and delayed project activities. • It is unclear if ASI leadership shares the DHS perception of a lack of experienced BA Leads - Unisys has stated that an action plan document is underway to address productivity and quality concerns, however this plan is largely undocumented. • As part of this action plan, the ASI has provided an updated org chart, however, changes mostly reflect a reshuffle of existing resources and therefore may not sufficiently address the team's overall perceived lack of experience. • IVV is aware that the ASI is taking steps to make improvements in certain areas, such as improving their QA approach, and analyzing the project schedule to identify activities and tasks that are candidates for fast-tracking, in an effort to increase productivity. • Additionally, the ASI received approval to restart three workgroups in May. Despite some improvements, IVV maintains this is a high risk to the project as of the May 2019 reporting period, and will continue to monitor productivity improvement efforts. • 5/6/19 MF - ASI leadership maintains that the project is progressing as expected and contends that stakeholder perception of lack of productivity is unwarranted.	06/11/19's Brown: There are a number of concerns nested in this item and the ASI requests they be either separated or documented in a more organized manner. To address the items specifically: 1. the ASI requests the specific detail regarding a JAD session moving from June to December as being due to slippage vs a mutual decision to reprioritize the sequence of the sessions. Given that there is no specific JAD named, the ASI contends that it is likely the latter, and if so, is a sign of collaboration between the ASI and client. 2. as to the concern that the project team's overall lack of experience, the ASI requests specific detail as this is a very high level and broad brush assessment. The ASI requests a measurable and quantifiable metric of this item - 10% of meetings, 30% of meetings or just a couple. 3. the ASI requests clarification and quantification on lack of experience, given that numerous team members have multi project and multi year experience specifically in Integrated Eligibility and complex Systems integration projects. 4. regarding whether ASI leadership shares the DHS perception of a lack of experience, the ASI has assessed a need for additional training for BA's supporting Kolea. A training schedule has been developed and over 50% of the training sessions have been completed in this reporting period, leveraging the recorded transition sessions and other project artifacts. The ASI requests clarification on whether there is a perception re BA experience in other segments of the team, and would ask for clarity on how change in perception is quantified and measured by IV and V. 5. The ASI directs IV and V to the meeting agendas and associated minutes for the Design Leadership meetings held on a weekly basis for additional documentation of the performance.	
22	Lack of a dedicated ASI Quality Assurance Team is resulting in extended deliverable reviews	Darren	Concern	BES IVV	4/15/2019	Project Management	ASI deliverables have consistently exhibited the lack of QA. Poor quality (grammar issues, incomplete sentences, and content issues (duplicative content, missing content, duplicative content), etc.) has directly caused several unnecessary rounds of deliverable reviews. The ASI's draft PMP states that quality assurance is performed through peer reviews prior to delivery, however there has been no evidence to substantiate that this process is utilized. If it is being utilized, it simply is not meeting the needs of the project.	If the ASI does not properly perform QA, the onus for correction inappropriately falls on the deliverable review team to identify issues that render deliverables as poor and/or unreadable. Poor quality results in additional unplanned ASI rework and unplanned rounds of review for DHS and IVV. Continued unplanned review cycles due to lack of ASI is likely to result in schedule delays.	The ASI should immediately implement a process to improve deliverable readability and quality (examples: for grammar, incomplete sentences, duplicative content, missing content, and conflicting content) prior to delivery to DHS.	Q3 2019	0	0	NA	Open		06/28/2019 - There was an insufficient volume of new ASI deliverables in June by which to re-assess this item. IVV will continue to monitor this concern until more net new ASI deliverables can be validated as having increased in quality. 05/31/2019 - The QA Team made strides in May. The ASI developed and delivered QA Process improvement training to its staff. Deliverable quality seemed to improve with the delivery of BI-24 in May. Improvement will be monitored and validated as more new deliverables are completed and delivered by the ASI. Other deliverables reviewed in May were re-submissions of deliverables that had already been submitted multiple times. IV&V remains concerned that the quality effort is made up solely of PMO staff as opposed to a dedicated quality assurance team. 4/30/2019: Before the end of the month of April, the new PMO Lead was also named as QA Team Lead. IVV will keep this open as a preliminary concern to be further monitored in May.	06/11/19's Brown: The ASI has provide an additional QA training session to the team. Peer review is required prior to submission for QA. The ASI has added an additional QA resource to the PMO. The ASI requests quantifiable measurement of this item rather than a description of seems to improve. Deliverable review from the client is occurring in the expected timeframe.	
21	The ASI (Unisys) PMO Lead and Data Conversion Lead roles are held by a single staff member, which may cause the Project to suffer due to staff over-allocation and competing priorities.	Darren	Concern	BES IVV	2/28/2019	Project Management	One ASI staff member holds two positions on the team, including PMO Lead and Data Conversion Lead. Due to the attention required in each of the roles, these two roles are better resourced as individual, full time staff members. This finding is entered as a concern with further observation and discovery to be conducted by IV&V.	If the single staff member holding both positions runs into unexpected challenges for either role, both workstreams may end up suffering from lack of resource attention. Both positions and workstreams are very important to the success of the project effort.	IVV recommend that the PMO Lead position and the Data Conversion Lead position are both resourced at full time levels.	Q2 2019	2	2	Low	Retired	3/13/2019	3/13/19: Unisys introduced Vic Dudoit as the new PMO Lead for the project. The addition of Mr. Dudoit alleviates the concern, which is now retired.	3/13/19 Bill Thornton, Unisys: ASI agrees with this recommendation and has added an additional full time, dedicated resource for the PMO Lead position.	
20	The Change Request decision process is inordinately slow, which may delay the project schedule	Darren	Concern	BES IVV	2/28/2019	Project Management	IV&V has observed that the Change Management process, specifically the Change Request decision process, has been inordinately slow, and certainly slower than needed for the project. The same Change Requests have been outstanding for several months, without final approval or denial. These include Liferay to Adobe; One Siebel instance; Review Updated BPR Manual; and ODM Migration. This finding is entered as a concern with further observation and discovery to be conducted by IVV.	Change Management is a process that requires some level of expediency. Delays in decisions regarding Change Requests can negatively affect the project schedule.	IV&V recommends that the project determines acceptable durations for each step of the Change Management process, in order to ensure that they are fully evaluated and adjudicated on a predictable and timely basis.	Q2 2019	3	3	Med	Retired	5/31/2019	05/31/2019 - IVV is closing this concern, and opening new related concern # 28. 4/29/2019 - IVV has no material update for the April reporting period. In May, IVV will work with DHS to better understand the CR process and the information being provided by the ASI, and will either substantiate this concern, or close it. 3/26/19: No change. The process is slow for the reasons stated by DHS below. IV&V will continue to monitor this concern and CRs as they come in. 3/6/2019: The DHS PMO noted that the CRs to date have been fairly large, and there have been many questions about the ROM and Project Impact Assessments (PIA) given. The decision process in these situations needs to be deliberate and careful to assure Hawaii funds are expended properly. IV&V will investigate further, and make recommendations for target timeframes or other process improvements.		
19	The lack of an approved, baselined project schedule obscures the ability of stakeholders to accurately measure project progress and/or impacts to the schedule.	Darren	Finding - Issue	BES IVV	2/28/2019	Project Management	Despite on-going efforts to establish project management processes, the project schedule baseline was neither completed by the ASI nor accepted by DHS for the majority of the March reporting period. The ASI has made assertions that delays on some tasks have affected the project timeline, however without a completed baselined schedule, transparency in this regard was obscured. The ASI has been re-structuring and baselining the schedule throughout the month of February, with a goal of delivering the revised, baselined schedule by the end of February. A baselined schedule was not delivered nor approved by the end of February, however, Gary Hirata, DHS BESSD Project Manager reported that a draft project schedule had been shown to him on February 28. In anticipation of a draft project schedule being formally delivered in early March, this finding was initially entered as a concern. When the project schedule was not delivered in early March, this finding was escalated to an issue.	Without a baselined schedule, project team members are unaware when tasks and activities are due to be completed, and it is nearly impossible to fully understand the impact of delayed tasks. Without an realistic, approved baselined project schedule, the project is likely to miss deadlines without knowing the overall impact to the project.	IV&V recommends that the completed Schedule be utilized as both a guide and a communication vehicle on a weekly basis by all project participants, to ensure that all needed tasks and activities are executed in accordance with the detailed dates within the plan, with adherence to the Schedule Management Plan. The Schedule should be used to provide information on what tasks and activities are in-flight, their status, key resources involved, and downstream dependencies, and should be reported out to DHS weekly.	Immediately	5	4	High	Retired	5/31/2019	05/31/2019: All outstanding DCF comments for the BI-OS deliverable have been resolved, and DHS has provided conditional approval of the deliverable on 5/24/19. As such, IVV is closing this finding, however will continue to review and analyze the project schedule for adherence to requirements. IVV has opened three new findings and/or concerns related to the conditionally approved baseline schedule (B-26, 27, and 31). IVV is closing this issue as of the May 2019 reporting period. 04/30/2019: The ASI produced two draft revisions of the schedule in April, showing marked improvement from previous months. IVV provided DCF comments to DHS and the ASI, and also provided DHS with a list of priority recommendations for incorporation, to help ensure it is thorough, logical, manageable, and maintainable prior to acceptance. IVV will continue to monitor the progress the ASI makes on developing the project schedule. IVV maintains this is a High risk to the project as of the April 2019 reporting period. 3/26/2019: IV&V has no material update on this issue for the March report. A draft copy of the schedule was presented and delivered on 3/27/19. IV&V would like to review and analyze the schedule before taking any further action on this finding. 3/13/2019: This has been re-prioritized as an issue. The lack of an approved, baselined schedule is currently impeding transparency into schedule impacts due to CRs and other project events. The project schedule was promised to be delivered at the beginning of February, then moved to the end of February, and now in the last half of March. IV&V acknowledges that Unisys is currently working to complete the project schedule.		

Finding Number	Title	Owner	Finding Type	Project	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
18	Failure to identify project issues (i.e., follow-up/research activities) may result in the development of the application that does not meet the Project goals, objectives and requirements.	Jolene	Finding - Issue	BES IVV	2/27/2019	Project Management	IVV is concerned that there are few issues raised by the project team. IVV understands the Issue Management process was only recently approved and are in the early stages of identifying and managing issues; and that JAD sessions are on hold until the PIP is completed. However, requirement research to include DHS/MQD/BES discussions and research of the KOLEA should continue. In Project meetings, DHS has asked the ASI team to research KOLEA, and BES has offered to assist the ASI on multiple occasions. Issues are a proven method to manage tasks/activities that are in question and work to a common resolution between DHS and the project team. At this phase of the project, it is typical for there to be many issues raised by the project team as requirements are researched and discussed with the users (DHS PMO/BAS/BES/MQD). This concern requires further observation and discovery by IVV.	The absence of any recorded issues could lead to a situation where the end solution does not meet the business needs or intent of the requirements in some or multiple areas. The sooner issues are identified and resolved by the project team, the less potential for the impact to the project.	5/31/2019 - IVV recommends the decision process (JAD and Project) be updated to include a process to communicate decisions to the project team and validate the DHS PMO and Unisys Leadership team is in agreement with the decisions. One option is to review the decision log during the project status meeting and DHS/Unisys internal team meetings. This will aid in the validation step of the decision and identification of possible downstream or cross-functional impacts of a decision. The DHS and ASI leadership team should encourage the project team to identify and document issues so that they are resolved timely with the appropriate staff. Reinforce the concept that the Issue Management process is positive and healthy for the overall success of the project.	Requirement Phase Concludes	3	5	Med	Retired	6/24/2019	6/24/2019 - DHS and the ASI are actively and consistently updating and maintaining the project issue log, action items in the JAD and Workgroup meeting that have re-started, Project Status issues and action items. The action items and decisions are maintained within SharePoint so that all project team members have access and they are reviewed/updated in the appropriate meetings or project requirement sessions. IVV is closing this issue, due to the improvements noted. 5/31/2019: IVV notes continued improvement in the tracking of action items, issues and decisions during the committee meetings. Currently the JAD calendar is being updated to reflect current dates since the DHS PMO provided Unisys approval for some of the JAD sessions to move forward. On 5/15/2019, IVV noted to Unisys that some of the decisions in the decision log were in a "In progress" status however, the Decision process for the JAD sessions and Project (Change Management Plan) did not provide the process to close these decisions. Subsequently, Unisys has placed these decisions in a "closed" status. IVV is concerned that decisions made are (1) not communicated to the project team, and (2) validation of the decisions made by the project team are supported by the projects leadership team and stakeholders, when appropriate. IVV is escalating this to an issue until validation from both DHS PMO and Unisys is received and the process is updated to reflect the validation step. IVV will continue to monitor actions items, decisions, issues and risks. 4/30/2019: IVV notes improvement in the Requirements Committee Sessions in that data is now captured to improve managing action items to include target complete dates and status. IVV notes decisions are now logged in the Project Decision Log however, some are noted with a status of In Progress. IVV will further research and discuss with the project team to determine where the actions are documented to finalize the decisions to avoid confusion with the project team. IVV will keep this concern open until the JAD sessions are reestablished and conducted for a minimum of one month to ensure consistency and execution to the defined process. 03/31/2019, DHS, Unisys and IVV met to review the process to manage action/research items and decisions during the Requirement Workgroup and JAD sessions on 3/25/2019. Action items will be maintained in each of Requirement Workgroup and JAD sessions Meeting Minutes. Decisions will be logged in the Project Decision Log to provide an audit trail of decisions. Round Table sessions are planned for those commitments that cross Workgroup/JAD.	06/11/19 S Brown: The ASI requests a defined timeline of successful delivery of this item that is required for IV and V to close/retire.	
17	The Project may experience the situation where several deliverables may be presented to DHS for review and approval within a short period of time, which may cause schedule delays.	Jolene	Finding - Risk	BES IVV	1/16/2019	Project Management	The lack of a deliverable review process, delays occurring in the QED review and approval process and final approved DED's may result in the ASI to submitting multiple deliverables for review/approval at the same time or within a short time frame. Following the early identification of this risk, DHS, ASI and IV&V met to gain a better understanding of revised deliverable schedule. The ASI has not published an updated schedule (as of the end of January), therefore it is unknown at this point when the project deliverables will be available for review.	An unusually high number of deliverables submitted for review in the same general time frame may be more than available State staff are able to process in desired review cycle times. This will in turn cause new delays in approvals of the submitted deliverables; increasing the risk for negative project schedule impact.	Options to mitigate the risk include: * Prioritizing the deliverables to identify those that should be reviewed first based on the criteria of schedule impact and/or cross-deliverable integration; * Review of interim drafts; * Addition of DHS resources to review/approve deliverables; * Addition of DHS review time for the larger deliverables; and/or * Adopt an option of "conditional" approval with specific criteria that must be met to achieve final approval.	Unknown at this time	4	2	Low	Retired	6/24/2019	6/24/2019 - DHS is committed to and has demonstrated they will review deliverables as quickly as possible. Specifically, in June 2019, three major deliverables were due to have comments returned to the ASI by 6/21/2019, BI-8 Technology Environments Specifications, BI-24 Organizational Change Management and Stakeholder Communication, and Section 1 and 5 of BI-6 DOI plan. All three were completed by the due date. Additionally, the ASI weekly status report includes the status of deliverables in progress providing DHS with advance notice of future required reviews along with progress checks in the weekly project Stand Up meetings. IVV is closing this risk, however, will continue to monitor the flow of deliverables to be reviewed, specifically as functional and technical design documentation is delivered. 5/31/2019 - DHS provided the ASI with conditional approval of the Schedule on May 24, 2019. IVV is in process of reviewing the revised schedule and will provide an update next month to determine if this risk is still valid. IVV maintains this is a low risk as of the May 2019 reporting period. 4/30/2019 - A revised draft of the schedule was published on April 12, 2019 and has still not been approved. IVV plans to review and analyze the revised schedule before taking any further action on this finding. The ASI is also working with BES/PMO to identify deliverable review/approval process changes to streamline the process. As many of the up-front deliverables have been approved, IVV dropped the priority of this risk from Medium to Low in the April 2019 reporting period. IVV will continue to monitor this risk. 03/31/2019 - A draft version of the schedule was presented and delivered on 3/27/2019, however IV&V would like to review and analyze the schedule before taking any further action on this finding, and anticipates having a more detailed update in the April report. 02/28/2019 - Progress was made this month in that DHS developed, and the Project Team adopted, a deliverable review and approval process. The ASI has not yet published the revised project schedule. It is noted many of the DED's are now approved, however the downstream impact will not be known until the revised schedule is published. 01/31/2019 - The ASI has not published the revised schedule yet. We will continue to monitor this risk.	06/11/19 S Brown: Daily and weekly stand up meetings are held to actively and collaboratively manage the schedule.	
16	Lack of clear understanding of SI DDI approach may reduce effectiveness of JARs and JADs	mfrs	Finding - Risk	BES IVV	12/17/2018	Configuration and Development	Several DHS stakeholders have commented that the SI Design, Development, and Implementation (DDI) approach is unclear. While stakeholders can observe SI activity and have participated in some SI activities, they do not understand how it all fits together and some activity objectives seem unclear. The SI conducted a DDI approach overview session during an initial JAR session, however not all stakeholders were present. IV&V did not locate any DDI approach documentation or materials that could be referenced by stakeholders who may have missed to the overview session, by new members of the team, or by other interested parties.	Lack of stakeholder understanding and buy-in to the SI DDI approach and project activity objectives may reduce the effectiveness of JAR and JAD sessions as well as other BES project activities and decisions.	PCG recommends one or more of the following to mitigate this risk: * SI provide an additional DDI approach overview session for stakeholders and allow for Q&A * SI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint * SI submit DDI Plan deliverable and make it easily available to all project stakeholders	1/31/19	4	3	Med	Open	6/26/19 - ASI efforts to provide packages/templates and other information before JAD and workgroup sessions has improved understanding of the ASI DDI approach, however, DHS leadership and some participants have stated that pre-read materials are not provided soon enough for them to properly prepare. Examples include: Eligibility JAD 1 Session 2 Agenda - Sent- 6/18, 4pm - Session - 6/19, 9am Eligibility JAD 1 Session 5 Agenda - Sent- 6/25, 6pm - Session - 6/26, 9am Eligibility JAD 1 Session 6 Agenda - Sent- 6/26, 8:30 pm - Session - 6/27, 1pm Common Functions JAD (Agenda, Use Cases; Functional Design) - Sent- 3pm, 6/27 - Session - 8am, 6/28 Common Functions JAD (Agenda; Use Cases; Functional Design) - Sent- 11am, 6/20 - Session - 8am, 6/21 Administrative Hearings Workgroup Agenda - Sent- 8:30pm, 6/26 - Session - 9am, 6/27 Administrative Hearings Workgroup Agenda - Sent- 5pm, 6/27 - Session - 9am, 6/28 Further, some confusion around the ASI's DDI approach continues. For example, during the first Eligibility JAD (6/18/19), DHS SMEs asked to stop the session and for ASI staff to leave the room so they could get clarification on the JAD session approach from IVV and an experienced MQD analyst. SMEs expressed frustration that they didn't understand the goal and the intent of the session. We have concern around the ASI's DDI approach and JAD facilitation remains, IVV has observed progress being made in the JADs and the ASI continues to work to improve their processes and participant understanding and involvement. IVV is downgrading this risk to a medium for the June reporting period, but will continue to follow up on the above concerns. 5/31/19 - The DDI Plan largely remains in ASI rework, as only two of the document's six sections were delivered for review in May (5/31). Additionally, walkthrough sessions will be planned as needed, upon review of each section. IVV continues to have very limited insight into the vendor's SDC methodology and approach, largely as a result of the outstanding DDI Plan. Given the delays in producing the Plan, and the lack of understanding of the ASI's DDI methodology, IVV is escalating this risk to a High risk in the May reporting period. 4/29/2019 - IVV and DHS have provided feedback on the DDI Plan and the ASI rework is ongoing. IVV recommends that the ASI provide a walkthrough of the next version of the DDI Plan. ASI and DHS are currently leveraging weekly meetings (Thursdays) to increase understanding of the ASI process and to collaborate on JAD session preparation. Review of these weekly meetings will continue. 3/27/19, IVV has	06/11/19 S Brown: The ASI disagrees with this finding and associated rating. The DDI plan has been presented to the client in its entirety and the ASI is executing delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the methodology to the client. The ASI is in the process of updating the deliverable based on the DCF comments, with many of them from IV and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments still due to the client this week. Walkthroughs will be scheduled as needed. 1/3/19 - Unisys (Bill Thornton) reports that they offered to provide the approach materials in the pre-JAD package and conduct an overview prior to each JAD session, however, DHS has declined this offer.		

Finding Number	Title	Owner	Finding Type	Project	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
15	The Decision Log lacks data elements needed for tracking and reporting on key Project Decisions, which may hamper discovery of decisions.	Darren Macdonald	Finding - Risk	BES IVV	11/27/2018	Project Management	The SharePoint Decision Log requires additional data elements for tracking and reporting on Decisions such as: Decision Types, Decision Sub-Categories, etc.	If material data about the decision is not tracked and recorded, the Project may miss opportunities to benefit from trends in key decisions. Additionally, inadequate data capture may hamper reporting on decisions and ultimately obscure discovery of key changes by project team members.	DHS, the ASI, and IV&V meet to determine all elements needed to support the Decision Log and associated processes. Following that activity, IV&V recommends that the DHS SharePoint Decisions log is updated to reflect all agreed-to needed elements and decisions.	First Key Decision	3	3	Low	Retired	5/31/2019	05/31/2019 - 5/31/2019: As the data elements have been determined to meet the needs of the project, IVV is closing this finding. However, IVV maintains that related finding #14 and new finding #25 are valid and remain open as they focus more on the project's decision making process and execution. IVV is closing this risk as of the May 2019 reporting period. 04/28/2019 - The ASI and DHS have come to agreement as to how the log will be utilized. Nested directories will be utilized in the SharePoint Decision Log. IVV will continue to monitor this risk in May to ensure that the SharePoint Decision Log data elements mirror the needs of the revised Decision Management process. IV&V maintains this is a low risk to the project in the April 2019 reporting period. 03/26/2019: IV&V has no material update to this risk. Review of the third draft of the PMP is complete, however the Decision Log data elements were still not included. IV&V is adding a comment to the PMP document DCF to bring attention to this item, and anticipates having additional information in the April report. 02/28/2019: No change. Review of the second draft of the PMP is complete, however Decision Log elements were not present in the second draft of the PMP. 01/29/19: No change. Review of the draft PMP is underway, however Decision Log elements were not found in the initial review of the PMP. 12/31/18: No change. The necessary data elements for the Decision Log have not yet been finalized by the ASI or PMAO. It is assumed that this may be documented in the Project Management Plan, which has not yet been delivered to DHS. 12/6/18: Rated Low by the analyst due to only one Decision in play at this point in time.		
14	The Decision Log process is undefined, which may hamper communication and discovery of Project Decisions.	Darren Macdonald	Finding - Risk	BES IVV	11/27/2018	Project Management	The process by which key project decisions should be added to the Decision Log is undefined and unclear. While it is not realistic to add each and every detailed project decision to a Decision Log, parameters need to be determined and documented that clearly indicate which decisions should be added to the log versus which decisions should not be added to the log.	If guidance is undefined/unclear on how the Decision Log will be utilized, it is highly likely that the log's purpose will not be met. Decisions at a too-detailed level will 'clutter' the log, and decisions at a too-broad level will cause decisions to be remain undiscovered; both of which will cause team members to be unaware of such decisions. The impact of both may cause rework in the project, which could lead to project delays and diminish project quality.	IV&V recommends that DHS, the ASI, and IV&V meet to determine the parameters that will be used to identify the level and types of decisions that will be entered in the log. This information should then be recorded in the Project Management Plan, Communications Plan, or other appropriate document/artifact.	First Key Decision	4	4	Med	Retired	6/24/2019	06/24/2019 - Since the Decision Management process was agreed to by the ASI and DHS, and documented within the Project's Change Management Plan, this finding is being closed by IVV. Please see related finding #32 specific to the Decision Process execution. 05/31/2019 - While agreement on the decision log process was reached in May, IVV observed that execution of the process is inefficient, preventing the project from benefiting from a clear decision-logging and communication process. Specific observations are provided below: There are very few 'project-level' decisions recorded in the Decision Log; most Decision entries are MMW group-related, or have been carried over from workgroups and shared services. There is inconsistent use of fields provided on the log. 15 of the total 18 Decision entries are missing one or more of the following important fields; Decision Date, Decision Comments, Impact of Decision, Alternatives Considered, and/or Links to Supplemental Documents. The 'Impact of Decision' field is completed as 'Other' for most Decision entries, obscuring access to important historical data. On the positive side, the ASI modified the Decision Log in late May log to allow for recording outstanding (not yet made) decisions. This will assist in ensuring that outstanding decisions can be prioritized and made for expedient review. This finding is closely related to new finding #25. IVV maintains this is a medium risk as of the May 2019 reporting period. 04/28/2019 - The ASI and DHS have come to agreement for the process to be used for Decision Management. Nested directories will be utilized in the SharePoint Decision Log to differentiate the varying levels of decisions attained for the project. IVV will continue to monitor this risk in the May to ensure that the revised approach and new process is successful, repeatable, and meets the Decision Management needs of the project. IV&V maintains this is a low risk to the project in the April 2019 reporting period. 03/26/2019: IV&V has no material update to this risk. Review of the third draft of the PMP is complete, however the Decision Log parameters were still not included. IV&V is adding a comment to the PMP document DCF to bring attention to this item, and anticipates having additional information in the April report. 02/28/2019: Review of the second draft of the PMP is complete, however, the Decision Log process was not present in the second draft of the PMP. 01/29/19: No change. Review of the draft PMP is underway, however the Decision Log process was not found in the initial review of the PMP. 12/31/18: No change. 12/6/18: Documented environment plans have yet to be shared with IVV. IVV is unaware if ESI responsibilities and contractual obligations upon implementation of the new environment plan have been fully resolved. Until IVV has the opportunity to review this documentation, this remains a medium risk to the project. The ASI has stated that there is no difference between ASI and ESI expectations as the ASI BAFO and contract clearly states 10 environments. 5/31/19 - DHS has indicated that the ASI has provided them with a revised environment plan, however, this revised plan has not been shared with IV&V, and nothing was entered into the Decision Log in relation to this topic in May. IVV maintains this is a medium risk as of the May 2019 reporting period. 4/29/19 - The ASI has indicated that their original environment strategy may change, and internal discussions of these changes are ongoing. These changes could significantly impact ESI and ASI responsibilities and ultimately impact the project's schedule. IVV recommends DHS request the ASK work quickly to solidify and vet this plan with the appropriate stakeholders as well as determine cost and schedule impacts. To date, there is still no resolution between ESI and DHS regarding the number of environments to be provisioned on the platform on-premise, the platform to be used. DHS has indicated they are waiting for the newly hired DHS Enterprise Officer to come onboard before addressing this topic further. This lack of resolution may have contributed to the ASI decision to move their development environments to the cloud, therefore, IVV has now characterized this finding as an issue. 3/27/19 - It is IV&V's understanding that, in an effort to mitigate the current need for a development environment, Unisys is in process of provisioning and standing up an Oracle Cloud environment. It is anticipated that this environment should be ready for use by approximately the end of April. It remains unclear if/how reimbursement for the funding for this environment is envisioned by DHS. 1/31/19 - February comments corrected as noted. 2/28/19 - The ASI has stated their intention to implement development environments in the cloud and will soon submit a proposed solution to implement this change. Costs to DHS remain unclear. Some environments will remain on premise and be managed by the ESI (e.g., the DR environment). ASI has also stated their intention to utilize cloud environments to mitigate DHS security concerns with regard to Unisys off-shore resources. To date, however, details for implementation and finalization of the environment plan have not been shared with IVV. 1/4/2019, Doug Murdock, CIO - ETS: DHS is aware of the environments issue and we are working with Oracle, Unisys and BIAS to find a resolution. BIAS and Unisys have indicated a need for more environments than expected and we have a disagreement about exactly what the contracts require or allow. We had a big meeting at Unisys to discuss the problem and BIAS and Unisys have submitted preliminary solutions. Both solutions involve setting up BES environments on the cloud and they require additional funding. I plan to meet with both next week and I have a meeting with Oracle Thursday to discuss price of cloud capacity. We recently signed the year 2 extension for BIAS and there is a priced option for us to build the environments. I would also note that Unisys has a deliverable for their environments plan that we have not received yet, so I believe requests for environments without an approved plan is premature.	06/11/19 S Brown: The ASI disagrees with the rating of this item. We request quantifiable and measurable criteria be provided that rates a maturation of a process such as the use of the decision log as a high impact risk. The ASI notes that the IV and V is not documenting that decisions are not being made at the project level, but the process of recording them is a risk. The ASI provided updated documentation on the agreed to decision log process as part of the PMP in the reporting period.	06/11/19 S Brown: The ASI has provisioned four Oracle cloud environments to reduce impact to the schedule and project. The ASI has statused progress of these build outs as part of the weekly status report and supporting. The ASI has worked with the ESI to develop and support a POC of lift and shift capability of the existing Koles environments to the cloud. The client has escalated issues to the ESI in a timely manner.
13	Offering ASI and ESI expectations regarding DOI environments may impact project schedule and cost	mfor	Finding - Issue	BES IVV	11/28/2018	Configuration and Development	The ASI has requested development environments to support BES DDI that the existing on-premise infrastructure may not support. There is discussion that the underlying challenge relates solely to the number of environments, in fact, the ASI is not requesting more environments than specified in their BAFO. The ASI is requesting development environments for the BES Project that are aligned with the platform and application software upon which the BES solution will reside in production. It is IV&V understanding that the existing KOLEA development environments have not been kept up to date (e.g., tool and operating system patches and updates) and that a concerted effort to bring those environments current would be necessary if the ASI could use the KOLEA environments. However, since the BES solution is planned to be implemented on a higher version (version 17) of Sabrel than KOLEA uses (version 15), the ASI cannot use existing KOLEA environments if those environments were up to date for their platform version(s). The Project requires development environments that align with the future production environment and platform. The cost impact of acquiring suitable development environments could be substantial. The Project is tracking this and has used the ESI and Platform Items as Yellow in the most current status report; nevertheless, IV&V considers this risk to be Red due to the level of complexity and potential cost and schedule impacts.	If the ASI is constrained by having to develop the BES solution in the existing KOLEA development environments (regardless whether those environments are up to date), the quality of the BES solution may be negatively affected. The BES solution could not be fully tested on a production-like platform prior to roll-out or go-live. Nuances between Sabrel versions, among other supporting software versions, between development and production can cause unexpected defects ranging from catastrophic to annoying. Creating suitable development environments for BES is a task that, from all appearances, was not anticipated by the ESI or DHS. Contract details notwithstanding, creation of new or re-purposed environments is complex and will require time and effort from DHS, the ESI, and the ASI. The contract details, particularly around the responsibility for the cost of creating BES development environments, and potential increased licensing fees, may ultimately result in increased costs to DHS. Both of these impacts may subsequently cause delay to the BES project schedule.	• ASI work with the State to reach a common understanding of the requirements for the BES DDI environments. • ESI and ASI work together to formulate an environment strategy that will meet the project platform and development needs and minimize impact to the State.	Q1 2019	3	5	Med	Open		1/4/2019, Doug Murdock, CIO - ETS: DHS is aware of the environments issue and we are working with Oracle, Unisys and BIAS to find a resolution. BIAS and Unisys have indicated a need for more environments than expected and we have a disagreement about exactly what the contracts require or allow. We had a big meeting at Unisys to discuss the problem and BIAS and Unisys have submitted preliminary solutions. Both solutions involve setting up BES environments on the cloud and they require additional funding. I plan to meet with both next week and I have a meeting with Oracle Thursday to discuss price of cloud capacity. We recently signed the year 2 extension for BIAS and there is a priced option for us to build the environments. I would also note that Unisys has a deliverable for their environments plan that we have not received yet, so I believe requests for environments without an approved plan is premature.		

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12	Changes in direction regarding the preferred platform for portal development may impact project schedule and cost. [LifeRay vs. Adobe]	mfor	Finding - Risk	BES IVV	11/28/2018	Configuration and Development	The project intends to utilize Adobe as the preferred platform for portal development, instead of LifeRay (which is currently used for the existing KOLEA portal platform), as the BES project web portal solution. Adobe Forms is currently out of scope for the BES portal but is in scope for BES PDF production. This decision represents a change in scope and requires a CR, which is currently in process. ASI has given DHS a Rough Order of Magnitude (ROM) estimate of \$2.8 million for this CR and has also provided a more details PIA. As of the date of this report, the Project is tracking this as a "Top Level Issue." It is unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope swaps.	If DHS executes a change request to implement Adobe as the BES portal solution, there will be a significant impact to the project budget. The ASI has stated that if the portal platform is not decided soon there will be schedule impacts as they need to staff for the appropriate skillset. ASI has also stated they may begin developing a solution in LifeRay until a CR is executed to move to Adobe. • DHS request more details from the ASI to better understand the details around such a high cost to move to an Adobe-based BES portal solution. • DHS request more details from the ASI to better understand the ASI's urgency to begin portal development now instead of focusing on other areas of design and development.	Q1 2019	3	3	Low	Open	6/27/19 - The ASI has reported they are working to update the Adobe change request (CR) that includes migrating the KOLEA portal from LifeRay to Adobe at no additional cost to DHS and will likely seek approval at the next CCB meeting. IVV will continue to monitor this finding until the CR is published and IVV can review. 5/22/19 - DHS and ASI negotiation with regard to this change request are ongoing. Various options are being discussed but no decisions have been finalized, and there has been limited communication to the project. IVV is opening two new findings related to this one, focusing on the communication around outstanding change requests (#28), and long-term architecture planning (#29). IVV maintains this is a low risk as of the May 2019 reporting period. 4/29/19 - The ASI has indicated that they may be able to lower the original cost estimate of the move from LifeRay to Adobe. However, no additional details on this CR or PIA are available on the project SharePoint site. IVV will continue to monitor this risk and review details as they become available, and maintains this is a Low risk to the project in the April 2019 reporting period. 3/27/19 - IV&V has no update to this risk and is not aware of further PIA details being submitted. 2/28/19 - Recent DHS analysis of the PIA estimate indicates a discrepancy between the hourly rate quoted in the Unisys proposal and rates quoted in the PIA. DHS has requested the ASI provide a more detailed PIA with itemized costs/tasks. 2/13/19 - A Project Impact Analysis (PIA) was submitted by the ASI, with a cost estimate of \$3.76M. 1/31/19 - A project impact assessment (PIA) is being created by the ASI. The ASI previously estimated the overall ROM cost to be approximately \$2.8M. ASI has estimated annual license costs for LifeRay to be \$80K/yr and Adobe at \$140K/yr. 3/1/19 - The ASI has provide PIA (detailed CR estimate) but DHS has requested the ASI update to provide itemized costs to help them understand the seeming high cost. Unclear how much of the existing KOLEA LifeRay portal solution will be reusable for the new Adobe solution and whether reuse could help reduce the cost. 12/29/18: A CR was initiated by DHS and provided to Unisys in December. An Initial Business Review (IBR) of the CR was originally scheduled for 12/28/18 but subsequently moved to early January. The IBR confirms the CR goals. The only impact identified to date is an increase in licensing costs. The CR has not been evaluated for impacts to ASI vendor costs or project schedule changes. However, Adobe is the department's standard for web sites. This low criticality risk remains open pending completion of the 3/27/19 - No change. 2/28/19 - ASI has stated the move to OBIEE will incur no addition cost to DHS and will submit a no cost CR. 1/31/19 - No progress. 12/31/18: A draft CR was initiated by DHS but has not yet been provided to Unisys to start the change management process. The draft CR contains no stated impacts to the schedule, project cost, or platform costs (e.g., licensing, et al). This low criticality risk remains open pending completion of the CR process.	06/11/19 S Brown: The ASI disagrees with the finding that there is limited communication to the project on this item. It is stated on a weekly basis as part of the status report and meeting, with client agreement on status.	03/13/2019 Bill Thornton, Unisys: Clarification has been provided to the composite rate applying to DD enhancements with the existing technology stack. Adobe is a new technology and the composite rate does not apply. We will update the PIA with effort and the roles utilized.		
11	Changes in direction regarding the preferred business intelligence (BI)/reporting tool may impact project schedule and cost. [Cognos vs. OBIEE]	mfor	Finding - Risk	BES IVV	11/28/2018	Configuration and Development	The project intends to utilize OBIEE, instead of Cognos, for the BES project business intelligence (BI)/reporting solution. The Change Request (CR) for this change to the original contract has been drafted and is currently under review. Unclear if DHS will be able to fund this CR or if it will involve de-scoping/scope swaps.	IV&V has insufficient information to fully analyze the impact(s) on this project, thus a low criticality rating has been assigned until such analysis can be performed. • Complete the CR process to obtain a Rough Order of Magnitude (ROM) estimate and/or impact analysis as appropriate	Q1 2019	3	4	Low	Retired	2/28/2019	3/27/19 - No change. 2/28/19 - ASI has stated the move to OBIEE will incur no addition cost to DHS and will submit a no cost CR. 1/31/19 - No progress. 12/31/18: A draft CR was initiated by DHS but has not yet been provided to Unisys to start the change management process. The draft CR contains no stated impacts to the schedule, project cost, or platform costs (e.g., licensing, et al). This low criticality risk remains open pending completion of the CR process.			
10	The number of instances of Siebel to be implemented for BES Project is undecided, which may impact the project schedule and project costs.	mfor	Finding - Risk	BES IVV	11/28/2018	Configuration and Development	Discussions are ongoing regarding the need for single vs. dual instances of Siebel to support the ability to share data between MQD and BESSD. Although the ASI's BAFO proposed dual instances and the ASI has indicated the need to memorialize this in the project Decision Log, DHS has expressed an interest in a single instance. This scope change could introduce a significant cost/schedule impact to the project. The ASI is currently tracking this as a high risk to the project and has indicated this could incur a 1 year delay. Details of moving to a single instance have yet to be resolved. Such a move would be out of scope of the existing contract. The decision on one versus two instances of Siebel could have negative impact to scope, cost and schedule.	This scope change could introduce a significant cost/schedule impact to the project. A decision to move forward with one versus two Siebel instances could result in additional project costs and schedule delay, and would likely be a significant effort that is out of scope of the existing contract. If the decision is delayed, the vision of data sharing between the departments could be compromised. The sooner this decision is finalized, the better the chances for successful mitigation in the best interest of the project. 1. Work collaboratively (DHS, ASI and ESI) to develop a long term infrastructure strategy along with 5+ year ROI, cost/benefit, license strategy, and risk proposition that includes an assessment of a single vs. dual instance assessment. 2. Record the decision in the Decision Log – even if the decision remains within project scope – to memorialize the outcome and alleviate the impact of the topic resurfacing later.	Q1 2019	4	4	High	Retired	5/31/2019	5/22/19 MR - indications are that the ASI will utilize two Siebel instances going forward, with an understanding that moving to a single instance will happen after go-live. While it appears that there is agreement on this between DHS and the ASI, there is no formally documented decision, nor is there any detail on how this decision will impact the project both now and going forward. IVV is retiring this risk given that the decision appears to have been made, however is opening a new risk (#29) specific to the decision-making process and communication regarding architecture decisions such as this one. IVV is closing this risk as of the May 2019 reporting period. 4/29/19 - The ASI has indicated that their original architecture strategy may change, however, internal discussions are underway regarding these potential changes. These changes could significantly impact ESI and ASI responsibilities and ultimately impact the project budget. IVV recommends DHS request the ASI work quickly to solidify and vet this plan with the appropriate stakeholders as well as determine schedule and budget impacts. ASI has indicated that DHS intends to defer merging to a single instance post BES DDL. IVV will seek to validate and gather more information on this decision. IVV maintains this is a High risk to the project as of the April 2019 reporting period. 3/27/19 - IV&V has no material update to this risk and is not aware if the planned working session between the ASI and DHS was held, or, if additional information on the ROM has been provided to DHS. 2/28/19 - DHS has initiated a CR in order to better understand the associated costs of the single instance. This risk remains open with high criticality due to increasingly high potential for rework the longer the decision is pending. 1/31/18 - ASI has provided DHS with Use cases which DHS has reviewed. DHS to determine if a CR will be submitted to develop ROM pricing and schedule impacts for a single instance. 12/31/18: DHS PMO is developing use cases that will describe the DHS business need (i.e., the overarching need for all of DHS vs. only BESSD), and intends to discuss the business need for a single instance with Unisys in January to help bring about an understanding of the importance and urgency. This risk remains high due to increasingly high potential for rework the longer a decision is pending. 12/6/18: The language about a CR caused the finding to be a bit misleading and we have removed the language. Our intent was simply to state that we cannot yet fully analyze the impact. Nevertheless the finding remains open.	12/6/18, Keith Stock, Unisys:10) We agree that this "decision" needs to be finalized and memorialized. However, we are unclear as to how a potential change request (i.e. potentially changing from the proposed dual instance approach to a single instance) is a high risk to the project. It would be a change. If a change is requested, the change would go through the Change Request process where DHS could assess the impact of cost, time, etc. and determine to move forward or not. In other words, if we do nothing, no issue, we are moving forward as proposed -- no risk. If they decide to change, they will do so via the CR process with all available information and schedules and costs would be adjusted accordingly.		

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9	BESSD leads and/or teams have not been assigned to the Project, which negatively impact the schedule and workload.	mfor	Finding - Risk	BES IVV	11/30/2018	Project Management	IV&V has observed that DHS has not designated specific individuals to serve as BESSD leads to support the project. In addition, although the SharePoint site for the project indicates that BESSD teams have been envisaged for BI and Reporting, Data Conversion, Functional, Organizational Change Management, Project Management, Security, Technical, Testing and Training, team members have not been identified.	Without committing dedicated BESSD resources to the project, the schedule is at risk as project demands (e.g., meeting attendance, document review) and workloads increase. For a project of this size and significance, the involvement of subject matter experts to ensure that the solution is designed to meet the business needs is critical.	Identify high-priority areas where BESSD Leads are needed and obtain executive level support to reallocate BESSD staff to the project soon as possible. Re-assess the need for support throughout the project life cycle to ensure that the appropriate subject matter experts are available as required.	January 2019	3	3	Med	Retired	5/31/2019	5/31/19 IV&V remains concerned that there are communication and logistics obstacles between DHS leads and Unisys leads with regards to planning and preparing for JADs/Workgroups, and other project working sessions. However, IV&V is closing this risk as BESSD has assigned the necessary leads to the project. IVV is closing this risk as of the May 2019 reporting period. 5/22/19 MF - DHS has requested the ASI involve DHS leads in preparations for meetings they co-lead with the ASI, however, this does not seem to be happening. Due to this, there is increased risk that ASI co-leads do not have the appropriate input to prepare for these joint meetings, which could impact their value and effectiveness. 4/29/19 - DHS has indicated that their newly hired Business Analyst will be responsible for assisting with updating/reviewing the RTM. DHS/ASI are currently leveraging weekly meetings (Thursdays) to collaborate on JAD session templates. While DHS leads may be in place and each workgroup has been assigned a DHS and ASI co-lead, it is unclear if the co-leads are effectively communicating and/or collaborating. For example, DHS has indicated that the ASI may not be collaborating with DHS leads to develop workgroup session agendas. This could lead to session content that is unexpected or not well thought through, and ultimately result in project team frustration. IVV maintains that this is a Medium risk to the project for the April 2019 reporting period. 3/27/19 - DHS has hired a project management assistant and business analyst, but IV&V is not aware of the details of their roles or responsibilities. IV&V will continue to monitor this risk and will provide updates in the April as more details of roles and responsibilities are learned. 2/28/19 - JAD sessions remain on hold. 1/21/19 - JAD sessions were placed on hold in January. This risk remain open pending resumption of JAD sessions and observation of the results of the BES staffing assignments made in late December. 12/31/18: The DHS Project Manager (PM) provided Unisys with the staffing assignments for deliverable reviews on 12/31/18. Further, the DHS PM advised IV&V that DHS BESSD has defined roles and assigned Lead responsibilities for JADs to their project staff, and an escalation process has been defined. This information was announced the week of December 31st. This risk remains open – downgraded to a Medium criticality – pending observation of results of these actions.	2019 03 14 Aileen Hiramatsu: we (DHS) do not recall any agreement on 3/6 to accept the JAD/workgroup schedule and that work has begun on both. Only the technical workgroups have started.	06/11/19 S Brown: The ASI asks the IV and V to quantify their finding of insufficient utilization, rather than just the broad comment of appears to continue. A DHS lead has been engaged with their ASI counterpart in all of the current workgroups and JAD planning. In this reporting period, packets were being provided on time for DHS review of content and determination of appropriate attendees. Agendas are provided for client review to ensure content is properly defined and any adjustments to attendees be made. As noted in the comments above, we are jointly meeting for a daily standup to assess progress, identify issues and assess opportunities for schedule pull in. Work sessions have been held with a larger team audience to review the schedule and will continue each week.
8	The SharePoint Decision Log is not being used to record project decisions, which will hamper communications and cause decisions to be revisited	Darren	Finding - Risk	BES IVV	11/27/2018	Project Management	The SharePoint Decisions Log is not being used to record and track project decisions, and it requires additional data elements for tracking and reporting on Decisions such as: Decision Types, Decision Sub-Categories, etc.	If Project Decisions are not recorded on a central repository (such as the SharePoint Log developed for this purpose), communications based on Project Decisions are likely to become hampered, and decisions will need to be revisited multiple times.	IV&V recommends that DHS, the ASI, and IV&V meet to determine all elements needed to support the Decision Log and associated processes, and that the project institutionalizes the process. Following that activity, IV&V recommends that the DHS SharePoint Decisions log is updated to reflect all agreed-to needed elements and decisions.	January 2019	3	3	Med	Retired	12/6/2018	12/06/2018: Per the ASI, there are no Decisions to enter into the Decisions Log. This is confirmed with DHS BES. Based on this correction of fact, IV&V will restate this finding, and will open up new findings to address the separate topics of the lack of a documented decision making process and the need for additional data elements in the Decision Log.	12/4/18, Tracey Laride: Key Finding #8, p. 13. Is the IV&V recommending DOB BESSD decisions (requirements, design, etc.) be logged here or BES 8). It is being used there just are not any decisions yet to log	
7	The Change Management Process is not fully documented and approved, which could delay Change Requests and affect scope, schedule, cost, and quality.	Darren	Finding - Risk	BES IVV	11/27/2018	Project Management	The Change Management Process is not yet documented and approved. All three (3) risks currently tracked in the SharePoint Risk and Issues log indicate the potential need for a formalized Change Management process.	If the Change Management process is not developed and instituted, there is a high likelihood that needed Change Requests could be delayed, which could negatively affect scope, schedule, cost, and quality.	IVV recommends that the ASI complete development of the Change Management Plan, and collaborate with DHS to ensure the process is institutionalized for the BES Project.	January 2019	3	2	Med	Retired	4/28/2019	04/28/2019 - As of the end of April, there are no longer open DCF comments on this PMP sub-plan, effectively providing acceptance of this sub-plan. IVV is closing this risk, however will monitor the project's change management activity throughout the life of the project. 03/26/2019: The ASI updated the Change Management Plan as a component of the third draft of the PMP. After incorporation of final comments, IV&V anticipates this finding should be ready for closure in the April reporting period. 02/28/2019: The ASI updated the Change Management Plan as component of the second draft of the PMP. There remain some outstanding comments to be addressed by the ASI, however, the Change Management Plan is now closer to meeting stakeholder expectations. The risk remains at a Medium priority pending finalization and approval of the plan. 01/29/19 - The ASI updated the Change Management Plan sub component of the PMP, and delivered it as a draft. IV&V is in process of review and assessment of all PMP sub plans. 12/31/18: IV&V reviewed the Change Management Plan artifact, and provided assessment comments to DHS and the ASI for resolution. The risk remains open at a Medium criticality pending finalization of the Plan. 12/6/18: IV&V was provided a copy of the Change Management artifact in early December. IV&V will review the document during December and update this finding accordingly.	12/4/18, Tracey Laride: Key Finding #7, p.12. The Change Management process is documented and is in the review process with DHS.	
6	The BES Risk and Issues Log lacks necessary data elements, which are needed to afford complete transparency.	Darren	Finding - Risk	BES IVV	11/26/2018	Project Management	IV&V has observed that the current Risk and Issues log on SharePoint lacks certain necessary data elements to effectively mitigate risks and contain issues. These elements include Risk Exposure, Required Mitigation / Closure Timeframe or Date, Mitigation Steps, and Updates to Mitigation Steps. It should be noted that the current Risk and Issues Log was provided by DHS and is in the default DHS Risk and Issues format.	Complete documentation of risk and issues is critical to mitigate risks on current projects and prevent similar issues on future projects. Without the integration of effective risk and issue tracking with project status reporting, complete transparency is not afforded and the ability to mitigate risk is diminished.	Meet (DHS, ASI, IV&V) to determine all elements needed to support the Risk and Issue Management processes. Following that activity, update the Risk and Issues log to reflect all agreed-upon elements.	February 2019	3	2	Med	Retired	2/28/2019	02/28/2019 - IVV has reviewed the Excel workbook to determine if all needed elements for tracking have been included. The date of last update was missing, and has since been corrected by the ASI. IVV recommends retiring this finding. 01/31/2019 - Late in the month (1/29), the Project decided to abandon the SharePoint log in favor of an Excel workbook developed by the ASI. IVV will review and assess the new workbook in early February to determine if all needed elements for risk and issue tracking have been included. 12/31/18: The planned meeting to review, discuss, and tailor the Risk and Issues Log was not held in December, but is anticipated to be held in early January. 12/06/2018: IVV recognizes that the SharePoint Log was provided by DHS. A meeting to review, discuss, and tailor the log to meet the needs of the BES Project is expected to take place during December.	12/4/18, Tracey Laride: Key Finding #6, p.12. Is the "Risk Exposure" the same as the Severity or Probability fields on SharePoint? If not, then can you clarify what "Risk Exposure" is? I think "Mitigation Steps" may be the same as Recommendation(s) in the log? If yes, the title can be changed to Mitigation Steps. For the "Updates to Mitigation Steps", it is entered with a date of the update into the comments section of the logged item. If needed, the field title can be changed.	12/6/18, Keith Stock, Unisys:6) The risk and issue log has been provided as a default to all DHS projects along with instructions. DHS PMO has asked for clarification from IV and V and will likely agree to add additional fields

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5	The Project Partnership Understanding (PPU) for the BES Project has not been approved by CMS, which may impact the project schedule and funding.	Jolene	Finding - Risk	BES IVV	11/26/2018	Project Management	The CMS Project Partnership Understanding (PPU) is not finalized between the State and CMS for this project. If funding is expected from CMS, they may require alignment to the MITA Framework, Gate Reviews and/or use of the Medicaid Eligibility and Enrollment Toolkit (MEET) Checklists. The MEET checklists are developed prior to the CMS gate reviews and are part of the Medicaid Eligibility and Enrollment Life Cycle (MEELC) that defines the CMS processes for Eligibility and Enrollment projects.	If the PPU is not finalized prior to the State's approval of the functional and technical requirements, the projects Federal funding may be at risk.	The State and CMS complete the PPU and the project incorporate all Federal reporting and process requirements into the appropriate project deliverables.	Prior to Functional and Technical Requirement Approval.	5	1	Low	Open			6/26/2019 - No change; the Project Team logged Action Item Number 190 which documents the action for Unisys to review the MEET Checklists and draft a list of those MEET Criteria that apply and then review with DHS. The action item is in the status of "in progress" with the next step due date of 06/28/2019 for Unisys to provide the date they will be ready to review the MEET Checklist Criteria with DHS. IVV maintains this is a low project risk for the June 2019 reporting period. 5/31/2019 - The Unisys project team is moving forward identifying the MEET requirements that may apply for this project. However, CMS has not provided written guidance regarding the approach or applicability of the MEET requirements for this project. Without clarity from CMS, IVV fully supports Unisys' and DHS' approach to align the project's requirements to the MEET criteria now. This may significantly reduce the resource needs to do this as the project progresses through the SDLC, if CMS does require the use of the MEET Checklists. IVV maintains this is a low project risk for the May 2019 reporting period. 4/30/2019 - CMS indicated to the BES/PMO this month that the MEET Checklists may be optional. IVV will keep this risk open until there is clarity from the BES/PMO regarding the identification of any CMS requirements to secure the funding for the KOLEA Enhancements. The priority of this risk was changed to low in the April 2019 reporting period, based on this information from CMS. 3/31/2019 - As the PPU has not been approved, and the CMS reorganization is still underway, IV&V has not update to this risk. 2/28/2019 - DHS reports that CMS is moving to a new organizational structure where one person will handle all APDs (APD-U, OAPD-U) for the state. Steven Chang is Hawaii's State Officer. The PPU will be transitioned to Steven Chang for disposition. The risk remains a High priority pending CMS approval. 1/31/2019 - No update. 12/31/2018 - On December 17, 2018, the State submitted the PPU to CMS for their review and approval. The PPU limits scope to any new Medicaid Functionality and includes the CMS Status Report Schedule and overall BES high-level schedule.		
4	An unclear deliverable review and acceptance process may be contributing to project delays.	Jolene	Finding - Risk	BES IVV	11/28/2018	Project Management	Project processes for delivering, noticing and reviewing project deliverables are unclear. In order to identify whether a deliverable is available for review, the IV&V team must review the project schedule and check for deliverable postings to SharePoint. While the IV&V team may be submitting deliverables to the BES Project Manager, neither the IV&V team nor the PMO are notified. As a result, review cycle-times may be missed and deliverable acceptance can be delayed, which may inhibit the ASI's ability to move forward on future tasks.	An unclear deliverable review and approval cycle can lead to project delays.	Finalize the deliverable review and acceptance process that clarifies to whom the deliverables are to be submitted, how the deliverables are to be provided, how the recipients are to be notified (e.g., SharePoint alert or email notification), and when review comments are due in order to finalize the deliverables on a timely basis. Include this process in the PMP.	December 2018	3	3	Med	Retired	3/29/2019	3/29/2019 - IV&V is retiring this risk as the deliverable review process has fully adopted and implemented by the project team. 2/28/2019 - The project made progress in mitigating this risk in February. DHS developed, and the project team adopted, a deliverable review and approval process. The project team is adjusting to the process along with revisions to the tracking/reporting methodology for deliverables. With consideration to the deliverables expected to be received in March, IVV will observe the deliverable review process and potential retirement of this risk. 1/31/2019 - Both the ASI and DHS proposed deliverable review and approval processes in January. The DHS PMO and BES Project Manager drafted a deliverable review/approval process that includes the PMO preferred Deliverable Comment Form (DCF) to aggregate reviewer comments. The ASI included a deliverable review/approval process along with an alternate comment form within the draft PMP. The DHS PMO is working with the ASI to determine the process to be implemented and, when agreed upon, roll-out to the Project Team. 12/31/2018 - IVV provided a sample of a deliverable management process on 12/20/18 to the DHS Project Manager that could be modified for the BES Project. The DHS PM and the PMO are developing a review and approval process and are in discussions with the ASI to mitigate the risk. Until a process is developed, finalized, and executed, DHS, the ASI and IV&V will use email notifications to ensure new and/or updated deliverables will be reviewed timely. Additionally, the ASI and IV&V developed MS-Excel spreadsheets to track status.			
3	Project Status Reporting does not meet with expectations or Best Practices for presenting status updates of schedule, cost, scope, risks, issues, and change management, which may inhibit effective project management and limit project transparency.	Darren	Finding - Risk	BES IVV	11/19/2018	Project Management	Although the Project Status Report follows the RFP requirements, IV&V has observed that the Status Report does not list/track all of the current project tasks and activities, and appears to primarily reflect tasks and activities requiring DHS participation. Additionally, the content of the Project Status Report in some areas (e.g., risks and issues) is redundant to BES SharePoint Log. Examples include: 1. The Project Status Report does not include tracking of ALL current tasks and activities. It appears to largely be limited to only tasks and activities requiring DHS participation. 2. The Project Status Report includes multiple sections for Risks and Issues, which are redundant to a corollary SharePoint Risk and Issue Log. 3. All current 'Issues' cited in the Status Report are incorrectly listed as 'Risks' in the Risk and Issues Log on SharePoint.	Reporting Project Status on some, but not all, areas of the project provides an incomplete understanding of the status of the entire project. A complete understanding is necessary to ensure that scope, cost, and schedule parameters are all being met across the project.	IVV recommends that DHS, the ASI, and IVV jointly determine revisions to the Project Status Report that would meet the needs of reporting on all active tasks and activities, and that redundancy between the data contained in the Project Status Reports and the SharePoint logs is removed.	February 2019	5	3	Med	Retired	6/24/2019	06/24/2019 - Since the format and level of detail of content of the Project Status Report has been static for several weeks with DHS Project Management in agreement on content, IVV is closing this finding. 05/31/2019 - Project Status Reporting continues to show improvement. The schedule was conditionally approved in late May and IVV anticipates seeing more schedule information reported on in status reports going forward. IVV will continue to monitor this risk to verify that observed improvements are sustained. IVV maintains this is a medium risk the project as of the May 2019 reporting period. 04/30/2019 - Over the last two weeks in April, the ASI has incorporated several improvements to project status reporting, in terms of both structure and more detailed content. As a result, IVV has noted significantly increased participation from DHS based on the improved status details provided by the ASI. IVV is encouraged by the progress seen in the April 2019 reporting period, however, given that the schedule still lack sufficient detail, DHS has little information to track project status towards or to gain insights into whether project activities will meet established project milestone. Hence, IVV maintains that this remains a Medium risk to the project and will continue to monitor this finding to verify that the changes made thus far continue, and that the status reports and meetings continue to improve. 3/29/2019 - IV&V acknowledges that the ASI has made multiple changes to the weekly status report. Nevertheless, the changes have not satisfactorily improved the State's understanding of project progress nor provided sufficient transparency into ASI activities. The ASI weekly status report must present sufficient project information for the report to independently stand on its own; providing enough content and detail that any project stakeholder reading the report would have a clear understanding of project accomplishments, in-progress work, planned work, changes, and potential challenges. IV&V recommends that the ASI provide additional information that will enable greater insight into project activities, which may include the following: - An aggregate of hours spent on in-progress tasks, activities, and deliverables - In-progress task, activity, deliverable, and work product percent complete, and the delta in progress from week to week - Expected completion dates of all in-progress tasks, activities, deliverables, and work products, updated weekly, directly from the updated schedule. - Detailed description of potential impacts of canceled project risks and issues.	06/11/19 S Brown: The format of the current weekly status report is based on a template provided by the client. The format and level of detail of content has been static for many weeks with client PM agreement after each meeting that the content is as expected. We request IV and V provide a specific timeline that this item is successfully delivered and able to be closed. 2/6/19, Bill Thornton, Unisys: Findings and Recommendations (#3) – Project Management Status reporting – The original status report adhered to the OED – it has been adjusted multiple times based on feedback. 12/6/18, Keith Stock, Unisys: 3) Status report structure is dictated by the RFP. There is an ongoing action item to modify structure and content by mutual agreement		

Finding Number	Title	Owner	Finding Type	Project	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
2	Late delivery of project deliverables may result in schedule delays.	Jolene	Finding - Risk	BES IVV	11/28/2018	Project Management	Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Expectation Documents (DED) requiring approval and acceptance from the State.	Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences in scope, schedule, cost, and quality parameters. Without a schedule that provides the required level of detail to manage the work, the project is at risk to be successful.	IVV recommends that the ASI complete the Project Management Plan deliverable, work with DHS and IVV for review and edit as needed, and attain approval of the PMP. This will help ensure that all processes within the project management entity are thoughtfully and collaboratively developed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverables and tasks and delivery thereof; needed mitigation actions along with identification and agreement with DHS on DDI to resolve the late activities and tasks.	TBD	4	3	High	Open		6/26/2019 - The Project Schedule (Bt-65) dated 06/14/2019, posted to SharePoint on 06/18/2019 has 200 activities/tasks late as reported via the MS-Project Late Task Report. This accounts for eight percent of the total tasks in the schedule. Some of the late activities/tasks are project deliverables, some support the development of deliverables and overall work to be performed. Specific examples of late activities/tasks related to the project deliverables include: Develop MDM Architecture Discussion 1 Test Scenarios/Cases/Scripts/ALM Updates - Planned Finish - 3/29/2019 - zero percent complete Deliver MDM Architecture Requirements FDD to DHS - Planned Finish - 4/5/2019 - zero percent complete Develop Bt-21 Updated and Completed Detailed Functional and Technical RTM - Planned Finish - 4/19/2019 - zero percent complete Develop Interoperability/Interfaces Standards Test Scenarios/Cases/Scripts/ALM Updates - Planned Finish - 4/26/2019 - zero percent complete Deliver Interfaces Standards to DHS - Workgroup Session #1 - Planned Finish - 4/26/2019 - zero percent complete Develop STG21 Security Assessment Plan (SAP) - Planned Finish - 5/8/2019 - zero percent complete DEV21 (Dev2) Development Environment - Release - Planned Finish - 5/30/19 - four percent complete IVV acknowledges the ASI and DHS are taking the following actions to mitigate this risk: ASI meeting with DHS and IVV to agree on a balance between needed level of detail and manageability of the project schedule. The ASI is working with DHS to approve the JAD calendar ASI and DHS conduct daily stand-up meetings to focus the team on the actions needed. The ASI and DHS are working to identify areas to bring the schedule in. Additionally, an updated schedule has not been posted since 06.14.2019 meaning some activities/tasks may be complete but the schedule has not yet been updated. IVV acknowledges the progress made in June, however, until the project's critical path is known, and how these and previously late deliverables and tasks impact the critical path, IVV maintains this is a high risk to the project. 5/31/2019 - DHS approved the PMP and provided conditional approval on the Schedule in May 2019. IVV notes that three (MDM, Common Functions and Appeals) of the sixteen JAD/Workgroups (as defined within the JAD Calendar dated 05/31/2019) received DHS approval to re-start. IVV is analyzing the revised schedule and will continue to monitor and report on this risk in future reports. The risk remains as a high priority for the May 2019 reporting period, pending review and approval of the PMP and the JAD calendar. 06/18/2019 - JADs and Workgroups have improved over recent weeks. - JAD packets have been provided and approved in advance of each meeting series. - Meeting Minutes are generally provided within a couple days after the meeting. Based on these improvements, IVV is closing this risk as it relates to the JADs project management techniques. However, IVV remains concerned about, and will continue to monitor, the consistency of the effectiveness of JAD facilitation, which may impact the elicitation of information from DHS SMEs. 05/31/2019 - DHS approved some of the JAD/workgroup templates provided by the ASI in May (Appeals and Common Functions), and provided feedback to the ASI for correction on others (Random Moment Time Study). IVV continues to observe some PM meeting practices that, while progress in May was observed, are still in need of improvement, as the following occurred multiple times during the month. - unclear meeting logistics and information provided to meeting attendees, including providing clarity on meeting invites as to whether in-person attendance is required or not, and providing multiple call-in phone numbers on meeting invites when only one is used. - not setting up for meetings prior to their scheduled start times, resulting in meetings starting late and not covering all planned agenda items. - IVV will continue to monitor project and meeting management techniques for effectiveness in JADs and Workgroups as this activity is re-initiated. The risk remains a Medium priority for the May 2019 reporting period. 04/30/2019 - Unisys and DHS continue to meet to discuss the JAD templates, and progress has been made. DHS plans to review the latest version of the templates the week of April 29, 2019. Until these templates are approved, JADs will remain on hold, while the MDM and Technical Workgroups continue to meet weekly. IVV will continue to monitor this risk in May, and will review the updated JAD templates as they are made available. The risk remains a Medium priority for the April 2019 reporting period, and IVV will continue to monitor progress made by the ASI. 03/26/2019 - IV&V notes that the third round of PMP comments by IV&V and DHS has been submitted to the ASI, but the deliverable has not yet been accepted. DHS deemed the PMP as sufficient enough to allow ASI-led Workgroup Meetings to commence in March 2019. IV&V will continue to monitor this risk through acceptance of the PMP and upon verification that IVV's are following the redefined process as stated in the DRB and that the	6/11/19- The ASI and client are holding daily stand up meetings to review progress made that day, any issues identified and the plan for the following day. These meetings specifically review the schedule and review opportunities for pull in. The ASI and client are also holding weekly standup meetings with the entire team to review progress, issues, and activities coming up the following week with the objective of collaboration and joint ownership of the projects progress and schedule improvement. 3/13/19 Bill Thornton, Unisys: Specific to the PMP, the DED was approved by DHS on 1/15/2019 and the deliverable submitted on 1/23/2019. Specific to the project schedule, the DED was approved by DHS on 1/23/2019 and the deliverable is planned for submission the week of 3/18/2019. 2/6/19, Bill Thornton, Unisys: Executive Summary Risks Feedback The project schedule has been baselined but it needs to be re-baselined based on the approval dates of the DED's. Deliverable delay - as deliverables are not supposed to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval. Findings and Recommendations (R2) - Project Management ASI submitted 19 deliverables and DEDs - Clarification - there were 2 deliverables submitted (Bt-8 Technical specs for the non-prod environments and Bt-4 the PMP) - the rest were DEDs. Deliverable Review process has not been finalized - this is part of the PMP document Late deliverables - as deliverables are not supposed to be started until the DED is approved, the deliverables are not delayed, they need to be re-baselined based on the DED approval. - 17/6/18_Krith-Stood	
1	Current project management techniques in the JAR and JAD sessions may negatively impact system design	Darren	Finding - Risk	BES IVV	10/31/2018	Project Management	Finding: IV&V has observed weak meeting facilitation skills and noted that meeting minutes or notes from all of the Joint Application Review (JAR) and Joint application Design (JAD) sessions are not posted on the BES SharePoint site. General Observation from October reporting period: During requirements validation, all Policy requirements were "docked", or tabled, for further research and discussion. It is unclear whether Policy requirements should be met within the BES solution, or outside of the BES solution. How the requirements and processes for Preliminary Eligibility requirements can or should be satisfied within BES is a large process change for DHS. It was clear during requirements validation that there was not agreement on how this should work within BES and DHS, so all Preliminary Eligibility requirements were docked for further research.	If JAR and JAD notes are not consistently posted, session participants are unable to validate if input has been accurately recorded, potentially affecting BES system functionality.	•Implement project management best practices and identify opportunities to improve meeting management techniques. Publish/post missing JAR/JAD session notes on SharePoint, and moving forward, publish notes within a reasonable period of time (e.g., 24 hrs) after completion of any given session.	Q3 2019	4	3	Med	Retired	6/28/2019	06/11/19 S Brown: The ASI provided facilitation training to the BA team to ensure standardized facilitation in client meetings. The ASI has also paired senior BA's with less experienced team members to ensure quality facilitation. The IV and V has selectively noted occurrences of issues in setting up meetings. It would be helpful if the IV and V would quantify the percent of meetings where these issues have occurred. As measured by the client PM's feedback, we suggest that these occurrences are infrequent and are becoming even less frequent as the process matures. Meeting minutes are now done by dedicated scribes for key meetings, minutes are QA'd, and posted in a timely manner to SharePoint. All recently submitted packets (5) have been approved by DHS as submitted. 2019/03/13 Bill Thornton, Unisys: Data collected in the initial JADs is useful and will be documented in the use cases and FDDs for those subject areas. 2019/03/13 Bill Thornton, Unisys: Data collected in the initial JADs is useful and will be documented in the use cases and FDDs for those subject areas.		