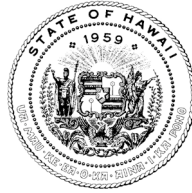


JOSH GREEN, M.D.  
GOVERNOR



DOUGLAS MURDOCK  
CHIEF INFORMATION  
OFFICER

## OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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November 13, 2023

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


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

Aloha Senate 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 initial assessment received by the Office of Enterprise Technology Services for the State of Hawai'i, Department of Accounting and General Services, Enterprise Financial System Project.

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

Sincerely,

  
Douglas Murdock (Nov 13, 2023 15:44 HST)

Douglas Murdock  
Chief Information Officer  
State of Hawai'i

Attachment



Monthly IV&V Status Report  
OF THE  
Hawaii Department of  
Accounting and General  
Services

**Enterprise Financial System Project**

**DRAFT**

March 14, 2023 – For the month of  
February 2023

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## Table of Contents

Section	Page
<b>1.0 Executive Summary .....</b>	<b>1</b>
1.1 EFS Project Overview .....	1
1.2 EFS Project Health Status .....	1
1.3 EFS Project Health Status .....	3
<b>2.0 EFS Project IV&amp;V Methodology .....</b>	<b>6</b>
2.1 EFS Project Critical Components .....	6
2.2 EFS Project Rating Methodology .....	6
2.3 Fact-Finding Process .....	7
<b>3.0 Detailed Findings and Recommendations .....</b>	<b>9</b>
3.1 Updated Risk and Issue Findings and Recommendations .....	9
3.2 Updated Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations .....	34
3.3 New Risk and Issue Findings and Recommendations .....	35
3.4 New Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations .....	36
<b>4.0 BerryDunn .....</b>	<b>37</b>
<b>5.0 Appendix A: EFS Project Critical Components .....</b>	<b>38</b>
<b>6.0 Appendix B: EFS Project Rating Definitions .....</b>	<b>51</b>
<b>7.0 Appendix C: Sample Deliverable Quality Checklist .....</b>	<b>55</b>

**Table i: Version History of the Report**

Version	Delivered Date	Update Reason
DED1	August 22, 2022	Delivery of Deliverable Expectation Document (DED) by BerryDunn to State of Hawaii for review and feedback
DRAFT	March 7, 2023	Delivery of Draft report by BerryDunn to State of Hawaii for review and feedback
FINAL	March 14, 2023	Delivery of Final report by BerryDunn to State of Hawaii

## 1.0 Executive Summary

In this section, BerryDunn has provided an overview of the Enterprise Financial System (EFS) Project (EFS Project) and current EFS Project Health Status.

### 1.1 EFS Project Overview

The EFS Project is designed to modernize and replace many of the State of Hawaii's (State's) financial management systems for executive branch departments. The State is executing a targeted approach to modernizing systems in core enterprise resource planning (ERP) areas. The State separated the large strategic ERP project originally envisioned into transactional pieces to improve the chance of success with each system. To date, the State has modernized human resources, gross-to-net payroll administration and processing, and time and leave management. The EFS Project, representing the finance dimension of ERP, will be the fourth component under this modernization effort.

On November 21, 2021, the State Office of Enterprise Technology Services (ETS) awarded Labyrinth Solutions, Inc. (invenioLSI) the contract for Solicitation RFP-ERP-2020 to implement the proposed system—SAP S/4HANA ERP cloud suite of applications—via a hosted managed service delivery model. The EFS is anticipated to include the following areas:

- Budget/finance
- Accounts payable and purchasing
- Travel and expenses
- Fixed assets
- Project accounting

The State has selected BerryDunn to perform Independent Verification and Validation (IV&V) services to assist the State in identifying and reducing risks and issues as well as implementing best practices to help ensure successful implementation of the EFS.

### 1.2 EFS Project Health Status

Table 1-1 below illustrates the individual health ratings BerryDunn used to rate the EFS Project Critical Components (i.e., key areas of the EFS Project that BerryDunn assessed). Table 1-2 below illustrates the overall ratings for the EFS Project that BerryDunn used to determine the health of the EFS Project and their corresponding rating definitions. The overall rating of the EFS Project reflects the calculated average of the individual EFS Project Critical Component ratings.

**Table 1-1: EFS Project Critical Components Rating Definitions**

Rating	Definition
<b>5 – Excellent</b>	No findings were identified by BerryDunn.
<b>4 – Good</b>	One or a few low-severity risk(s)/issue(s), one medium-severity risk/issue, and/or watch list items and/or observations were identified by BerryDunn.
<b>3 – Average</b>	Many low-severity risks/issues, a few medium-severity risks/issues, and/or one high-severity risk/issue was/were identified by BerryDunn and not logged in the EFS Project’s risk/issue log and/or lessons learned repository—or have been logged, but the plans to address them are not resolving them.
<b>2 – Fair</b>	Many medium-severity risks/issues and/or a few high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project’s risk/issue log and/or lessons learned repository—or have been logged, but the plans to address them are not resolving them.
<b>1 – Poor</b>	Many medium-severity risks/issues and/or many high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project’s risk/issue log and/or lessons learned repository—or have been logged, but the plans to address them are not resolving them.

**Table 1-2: EFS Project Overall Monthly Status Definition**

Rating	Definition
<b>5.0 – 4.5</b>	Excellent health
<b>&lt;4.5 – 4.0</b>	Good health
<b>&lt;4.0 – 3.0</b>	Average health
<b>&lt;3.0 – 2.0</b>	Fair health
<b>&lt;2.0 – 1.0</b>	Poor health

Table 1-3 below shows the health ratings BerryDunn determined for the individual EFS Project Critical Components and overall EFS Project for its initial assessment and all monthly status reports. BerryDunn was unable to assess several EFS Project Critical Components because the efforts to be assessed for the correlating Task Items (i.e., specific evaluation criteria for each EFS Project Critical Component—see Appendix A) are not yet underway. As a result, these EFS Project Critical Components are marked with “N/A” in Table 1-3 below.

**Table 1-3: Executive Summary of Health Ratings**

EFS Project Critical Components	Initial Rating	Oct. 2022 Rating	Nov. 2022 Rating	Dec. 2022 Rating	Jan. 2023 Rating	Feb. 2023 Rating
EFS Project Management	1	1	1	1	1	1
Quality Management	3	3	3	3	3	3
Training	N/A	2	2	2	3	3
Requirements Management	2	2	2	2	2	3
Operating Environment	N/A	N/A	N/A	N/A	N/A	N/A
Development Environment	N/A	N/A	N/A	N/A	N/A	N/A
Software Development	3	3	3	3	3	3
System and Acceptance Testing	N/A	N/A	N/A	N/A	N/A	N/A
Data Management	N/A	N/A	N/A	N/A	N/A	N/A
Operations Oversight	N/A	N/A	N/A	N/A	N/A	N/A
<b>Overall EFS Project Health Rating (Average of EFS Project Critical Component Ratings):</b>	<b>2.25</b>	<b>2.20</b>	<b>2.20</b>	<b>2.20</b>	<b>2.40</b>	<b>2.60</b>

### 1.3 EFS Project Health Status

Below, BerryDunn has highlighted some of the key challenges that are currently resulting in major negative impacts to the completion and success of the EFS Project:

- The initial project management deliverables draft versions have not initially met the State’s quality expectations, resulting in these deliverables not being approved and considerable rework to date.

- End-user departments had minimal input in developing or refining the Request for Proposal (RFP) requirements and have therefore had difficulty understanding and validating them.
- End-user departments have received minimal engagement from the EFS Project, resulting in inefficient meetings and lack of clarity on whether business needs will be addressed by the EFS.
- The EFS Project's contract lacks specificity and details in key areas, resulting in the State and invenioLSI disagreeing on certain roles and responsibilities.
- State departments have high vacancy rates, resulting in overreliance on third-party vendors to complete EFS Project tasks and make correlating decisions that are typically best suited for end-user departments, as they shape the future state of the system.
- Several key State (i.e., Project Manager and Functional Primaries) and invenioLSI resources (i.e., two Project Managers and an Organizational Change Management (OCM) Lead) have left the EFS Project, resulting in additional delays and resourcing constraints.

BerryDunn continues to recommend the EFS Project and executive sponsorship take one of the two approaches outlined below to address the above listed key challenges:

### **Approach #1**

1. Postpone considering a contract supplement with invenioLSI
2. Focus all efforts on completing essential EFS Project foundations, including:
  - a. Develop and execute plans to address/mitigate the challenges listed above
  - b. Clearly document and socialize EFS Project roles and responsibilities
  - c. Identify and engage with State departments that will implement the EFS
  - d. Finalize initial project management plan deliverables
  - e. Gather new and fully vet current EFS requirements
3. Factor State resourcing availability into EFS Project Work Plan and timeline prior to considering a contract supplement with invenioLSI

### **Approach #2**

1. End the current iteration of the EFS Project to:
  - a. Determine in-scope EFS end-user departments and which systems will need to integrate with the EFS
  - b. Assess State resourcing availability and establish realistic EFS Project commitments

- c. Gather a thorough set of EFS requirements that meet all end-user department needs
2. Publish a new SAP System Integrator RFP to allow for potential vendors (including invenioLSI) to respond to a more thorough understanding of the EFS Project scope
3. Restart the EFS Project with a clear understanding of resources, roles and responsibilities, scope, and requirements



## 2.0 EFS Project IV&V Methodology

This section details BerryDunn's EFS Project IV&V Methodology (i.e., EFS Project Critical Components, EFS Project Rating Methodology, and Fact-Finding Process).

### 2.1 EFS Project Critical Components

BerryDunn has listed the following EFS Project Critical Components below:

- EFS Project Management
- Quality Management
- Training
- Requirements Management
- Operating Environment
- Development Environment
- Software Development
- System and Acceptance Testing
- Data Management
- Operations Oversight

These components, as well as their corresponding Task Items and Task Numbers, can be found in Appendix A.

### 2.2 EFS Project Rating Methodology

In Appendix B, BerryDunn has provided definitions for risk, issue, watch list item, observation, lessons learned perspective, and risk-/issue-related definitions (i.e., impact, probability, and severity), as well as tables defining the:

- Individual health ratings for the EFS Project Critical Components
- Overall health ratings for the EFS Project
- Levels of risk impact
- Levels of risk probability
- Levels of risk severity
- Common attributes for the levels of risk severity
- Common attributes for the levels of issue severity

## 2.3 Fact-Finding Process

The subsections below describe the fact-finding activities BerryDunn performed as a part of the Monthly Status Report.

### 2.3.1 Document Review

At the start of this engagement, the State’s IV&V Contract Manager granted BerryDunn access to the EFS Project’s SharePoint site for viewing EFS Project documentation. BerryDunn reviews EFS Project documents on an ongoing basis to better understand the EFS Project’s status and to further inform potential findings and recommendations.

### 2.3.2 Direct Observation of EFS Project Meetings

BerryDunn attended several of the EFS Project’s key recurring meetings to identify findings and potential recommendations for the project. BerryDunn worked with EFS Project leadership and BerryDunn’s State IV&V Contract Manager to determine the meetings BerryDunn would observe. Table 2-1 lists the EFS Project meetings BerryDunn observed.

**Table 2-1: BerryDunn’s Observed Meetings and Related Information**

Meeting Date	Meeting Name/Purpose	IV&V Attendee(s)
2/1/2023	RIO-D Meeting	Jack Kreiser
2/1/2023	PMO Weekly Meeting	Jack Kreiser
2/2/2023	System Administration Meeting	Denise Lang
2/2/2023	Data and Development Meeting	Jack Kreiser
2/3/2023	EFS Project – Targeted Discussions	Denise Lang
2/6/2023	PMO Work Plan Review	Jack Kreiser
2/7/2023	EFS Project – Targeted Discussions	Jack Kreiser
2/8/2023	PMO Weekly Meeting	Denise Lang
2/9/2023	System Administration Meeting	Denise Lang
2/10/2023	EFS Project – Targeted Discussions	Jack Kreiser
2/13/2023	PMO Work Plan Review	Jack Kreiser
2/14/2023	EFS Project – Targeted Discussions	Jack Kreiser
2/15/2023	RIO-D Meeting	Jack Kreiser
2/15/2023	PMO Weekly Meeting	Denise Lang
2/16/2023	Data and Development Meeting	Jack Kreiser
2/17/2023	EFS Project – Targeted Discussions	Denise Lang
2/21/2023	PMO Work Plan Review	Jack Kreiser

Meeting Date	Meeting Name/Purpose	IV&V Attendee(s)
2/22/2023	PMO Weekly Meeting	Jack Kreiser
2/23/2023	System Administration Meeting	Jack Kreiser
2/24/2023	EFS Project – Targeted Discussions	Jack Kreiser
2/27/2023	PMO Work Plan Review	Jack Kreiser
2/28/2023	EFS Project – Targeted Discussions	Denise Lang

### 3.0 Detailed Findings and Recommendations

In this section, BerryDunn has included the findings and recommendations for the risks, issues, observations, watch list items, and lessons learned perspectives (including previously reported findings that remain open) we identified through this month's observed meetings and document review. For each risk and issue identified, BerryDunn provided a severity rating. Please note that observations, watch list items, and lessons learned perspectives do not have correlating severity ratings (see Appendix B for the definitions of these finding terms).

#### 3.1 Updated Risk and Issue Findings and Recommendations

BerryDunn revisited findings from the Initial Assessment Report to determine if risks/issues previously identified by BerryDunn:

- Were closed as resolved by the EFS Project and should be reopened or if BerryDunn agrees with the State's decision to close the respective risk/issue as resolved
- Were/are being mitigated/remediated by the EFS Project and now have an increased or decreased severity
- Were and/or are not being mitigated/remediated sufficiently by the EFS Project and are persisting

Table 3-1 below details:

- Risks and issues that the State closed and that BerryDunn agrees with as being resolved
- Risks and issues that the State closed and that BerryDunn is recommending the State reopen
- Risk and issue refresh findings and correlating recommendations for all open risks/issues

For risks/issues that BerryDunn merges, a new "Merged Finding" description serves as a summation of multiple previous findings. BerryDunn will include the original findings in this update for the month in which the findings are merged. Afterwards, the "Merged Finding" description will become the new "Original Finding", which BerryDunn will provide monthly updates on.

On a monthly basis, BerryDunn is updating the content of the "EFS Project Risk/Issue Log Details" based on the current status reflected in the EFS Project's issue log and risk register.

**Table 3-1: Updated Risk and Issue Findings and Recommendations**

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
<b>Risks/Issues That Are or Are Recommended (by BerryDunn) to be Closed</b>			
<b>EFS Project Management</b>	<b>Original Finding:</b> The EFS Project does not have a clear plan for how Spire Hawaii's role on the EFS Project will be covered by DAGS Accounting Division until a vendor is contracted to perform similar services and the EFS Project might experience misalignment with this vendor once engaged.	<b>(BerryDunn unable to find similar findings logged in the EFS Project's Issue Log or Risk Register – BerryDunn recommends logging this merged find as an Issue with a High Severity).</b>	<b>Updated Finding:</b> BerryDunn understands the DAGS Accounting Division has identified Spire Hawaii as the awarded bidder in response to RFP solicitation # P23001057 (published December 7, 2022). This work will be similar to the services previously provided by Spire Hawaii (for which services ended December 5, 2022).  <b>Updated Recommendation:</b> <i>Please see BerryDunn's recommendation in Issue 32 and 33 for aligning expectations with Spire Hawaii regarding stakeholder engagement.</i>
<b>Risks/Issues That Are Open or Are Recommended (by BerryDunn) to be Reopened</b>			
<b>EFS Project Management</b>	<b>Merged Finding:</b> The EFS Project does not have a documented approach for how it plans to align expectations with	<b>Reference Number:</b> Issue 32  <b>Status:</b> In Process – <b>Low</b>  <b>Reference Number:</b> Issue 33	<b>Updated Finding:</b> BerryDunn understands that Spire Hawaii will be rejoining the EFS Project once their statement of work has been finalized in order to provide operational and EFS Project services to DAGS. BerryDunn previously identified this due to challenges the EFS Project experienced coordinating and aligning work efforts of Spire Hawaii and the EFS Project.

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
	<p>Spire Hawaii to help prevent future instances of misalignment on stakeholder engagement efforts.</p> <p><b>Severity: Medium</b></p> <p><b>Original Finding:</b> There appears to be a misalignment between the EFS Project and Spire Hawaii in regard to EFS Project stakeholder engagement efforts.</p> <p><b>Severity: Low</b></p> <p><b>Original Finding:</b> There appears to be misalignment between the EFS Project, Spire Hawaii, and GFOA in regard to efforts on the EFS Project.</p> <p><b>Severity: Medium</b></p>	<p><b>Status:</b> In Process – <b>Medium</b></p>	<p><b>Updated Recommendation:</b> BerryDunn recommends the EFS Project document and review with Spire Hawaii expectations for how they will conduct stakeholder engagement activities to help prevent future instances of misalignment on these efforts. BerryDunn recommends the invenioLSI OCM Lead meet with Spire Hawaii to discuss the EFS Project's OCM plan and Spire Hawaii's planned role (if any) in stakeholder engagement efforts. Having this meeting will also be beneficial in getting Spire Hawaii updated on the EFS Project's OCM approach, as Spire Hawaii will be unfamiliar with recent changes made in this area of the EFS Project. Given the EFS Project will continue to not hold the contract with Spire Hawaii, BerryDunn also recommends the EFS Project include DAGS Accounting Division in these conversations to help ensure common agreement between invenioLSI, the EFS Project, and Spire Hawaii.</p>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> Key initial EFS</p>	<p><b>Reference Number:</b> Issue 28</p>	<p><b>Updated Finding:</b> BerryDunn observed that the Project Standards deliverables (e.g., Project Charter, Scope Management</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
	<p>Project deliverables have either not been delivered by LSI or have been delivered and not been approved by the State on time.</p> <p><b>Severity: High</b></p>	<p>(The EFS Project added this IV&amp;V finding to previously logged Issue 28)</p> <p><b>Status:</b> In Process – <b>High</b></p>	<p>Strategy, Quality Management Strategy) invenioLSI submitted to the EFS Project for review on October 31, 2022, are still being reviewed and revised. We continue to observe that invenioLSI and the EFS Project team are conducting working sessions to address comments/issues together. BerryDunn continues to hold this issue open pending formal approval of the updated Project Standards.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend using the following techniques for improving the timeliness of finalizing future deliverables:</p> <ul style="list-style-type: none"> <li>• The EFS Project's deliverable owner conducts pre-review sessions of work-in-progress deliverables with invenioLSI prior to their formal submission for approval to help reduce the amount of time the EFS Project and Executive Steering Committee need for review and to help ensure the deliverable invenioLSI is drafting is aligned with the EFS Project's expectations.</li> <li>• The deliverable owner schedules working sessions immediately upon receipt of deliverables to help ensure deliverable reviewers can attend the deliverable review working sessions without cancelling regularly occurring EFS Project meetings.</li> </ul>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> The EFS Project's deliverable review and approval process is not effectively moving deliverables</p>	<p><b>Reference Number:</b> Issue 29</p> <p>(The EFS Project added this IV&amp;V finding to previously logged Issue 29)</p>	<p><b>Updated Finding:</b> BerryDunn understands the PMO was given verbal approval from the Executive Steering Committee on February 16, 2023, to begin using the updated Project Standards deliverables (e.g., Project Charter, Scope Management Strategy, Quality Management Strategy) submitted by invenioLSI in February 2023. The EFS Project PMO is sending the Project Standards to the Executive Steering Committee for signature. BerryDunn also understands these documents are considered</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
	<p>through the approval process.</p> <p><b>Severity: High</b></p>	<p><b>Status:</b> In Process – <b>High</b></p>	<p>living documents and that changes/modifications will continue as needed. In particular, the EFS Project team is still working through changes to the RACI chart.</p> <p>BerryDunn identified this finding due to previous draft versions of the Project Standards not being reviewed and returned for feedback in a timely manner. BerryDunn continues to hold this issue open pending timely submission and approval of upcoming future deliverables.</p> <p><b>Updated Recommendation:</b></p> <p>BerryDunn recommends the EFS Project consider adopting the following deliverable review schedule for the EFS Project deliverable review period:</p> <ul style="list-style-type: none"> <li>• Before Submission: <ul style="list-style-type: none"> <li>○ invenioLSI and the EFS Project review the quality checklist BerryDunn provided, modify it to cover agreed-upon minimal quality expectations, and incorporate it into the EFS Project's deliverable review process.</li> <li>○ invenioLSI conducts an internal signoff of each item in the modified quality checklist to confirm and document invenioLSI's Quality Assurance (QA) review of all deliverables prior to their submission to the EFS Project for review.</li> </ul> </li> <li>• Week 1: <ul style="list-style-type: none"> <li>○ State deliverable review owner conducts initial review and provides feedback.</li> </ul> </li> </ul> <p><i>Please consider this as a point in the review period in which the deliverable owner should</i></p>



EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p><i>reject low-quality deliverables (i.e., substantial gaps in meeting contractual obligations, Deliverable Description Document [DDD] expectations, and/or EFS Project needs). Granting the deliverable owner this authority would help save the deliverable reviewers from needing to provide feedback on deliverables that are unlikely to be approved and allow for invenioLSI to rework its deliverables for resubmission sooner.</i></p> <ul style="list-style-type: none"> <li>○ InvenioLSI addresses/corrects formatting and minor quality issues.</li> </ul> <p><i>InvenioLSI might benefit from developing a checklist of universally applicable quality gaps that have occurred to date on EFS Project deliverables. Using this checklist prior to submitting future deliverables for review will help support internal quality review measures and help prevent recurrence of gaps previously identified by the EFS Project and/or Executive Sponsors.</i></p> <ul style="list-style-type: none"> <li>● Week 2:             <ul style="list-style-type: none"> <li>○ Deliverable reviewers provide written feedback in a shared document.</li> </ul> </li> <li>● Week 3:             <ul style="list-style-type: none"> <li>○ All deliverable reviewers who submitted comments attend working session(s) to review and reach consensus on approving, or steps for</li> </ul> </li> </ul>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>approving (if additional edits are needed), the deliverable.</p> <ul style="list-style-type: none"> <li>○ If additional edits are needed before approving the deliverable, invenioLSI makes updates to the deliverable based on feedback from deliverable reviewers.</li> <li>● Week 4: <ul style="list-style-type: none"> <li>○ If additional edits are needed before approving the deliverable, InvenioLSI and deliverable reviewers conduct additional deliverable review sessions led by the deliverable owner to review invenioLSI's deliverable updates (based on feedback) and either approve the deliverable or reject the deliverable and provide invenioLSI with reasons for the rejection.</li> <li>○ InvenioLSI and EFS Project provide the deliverable to the Executive Steering Committee for their deliverable review and approval period.</li> </ul> </li> </ul>
<b>EFS Project Management</b>	<b>Original Finding:</b> invenioLSI's deliverables and implementation phases/tasks (and related deadlines/durations) have not yet been confirmed and	<b>Reference Number:</b> Issue 18 (The EFS Project added this IV&V finding to previously logged Issue 18) <b>Status:</b> In Process – <b>High</b>	<b>Updated Finding:</b> BerryDunn understands the Scope Management Strategy, DDD, and Revised EFS Project Work Plan were submitted by invenioLSI to the EFS Project on October 31, 2022, and are currently being reviewed by EFS Project executive sponsors. BerryDunn also understands that invenioLSI and the EFS Project are working to draft a proposed contract supplement to adjust the timeline, deliverables, and departments included so they better align with the scale of effort required.

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
	<p>agreed upon with the State.</p> <p><b>Severity: High</b></p>		<p><b>Updated Recommendation:</b> BerryDunn continues to recommend the State focus on establishing a solid project foundation before considering amending the existing contract with invenioLSI. Beyond finalizing the documents listed above, this would include:</p> <ul style="list-style-type: none"> <li>• Identification of which departments will/will not implement the EFS System and the extent of their implementation and/or integration needs</li> <li>• Finishing the vetting of current requirements with department leaders</li> <li>• Development of an agreed-upon approach for the EFS Project and State departments managing involvement of external consultants</li> <li>• Identification of State resources who can commit the time needed for project activities that require State subject matter expertise and/or approval</li> </ul> <p>BerryDunn recommends the EFS Project:</p> <ol style="list-style-type: none"> <li>1. Determine which of the steps mentioned above fall under the current scope of work with invenioLSI.               <ol style="list-style-type: none"> <li>a. If these steps fall under the current contract, BerryDunn recommends the EFS Project prioritize completing these tasks and hold off on any modifications and/or supplementation of the existing contract.</li> <li>b. If any of these steps do not fall under the current contract (e.g., if the scope of the deliverables/tasks needs to be expanded to accommodate the additional State end-user departments being included in the EFS Project),</li> </ol> </li> </ol>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>BerryDunn then recommends the EFS Project shift funding allocations from later tasks in the "Deliverable Schedule with RACI" document (that specifies invenioLSI's required deliverables and related payment amounts) to cover the additional cost associated with completing EFS Project foundational activities.</p> <p>2. Once these fundamental steps have been completed, BerryDunn believes the EFS Project might be in a better position to understand the scope and determine whether to expand the dollar amount and number of departments involved in invenioLSI's contract as part of a contract supplement.</p>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> There appears to be misunderstanding in regard to the OCM approach detailed in the contract.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 30</p> <p><b>Status:</b> In Process – <b>Medium</b></p>	<p><b>Updated Finding:</b> BerryDunn has continued to observe that the OCM workstream has not conducted change management engagement and communication activities (e.g., stakeholder awareness memos, project website, and outreach memos from the EFS Project) that were originally proposed as part of invenioLSI's approach, which was the initial reasoning for BerryDunn identifying this finding. BerryDunn understands the OCM work stream is working to finalize the communications plan and website strategy, which will inform the activities listed above. BerryDunn also observed that the most recent OCM (Comms) meetings was held on November 30, 2022.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend invenioLSI and EFS Project leadership help ensure that OCM efforts align with the critical needs of the EFS Project and contractual expectations by working with the invenioLSI OCM Lead to:</p>

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			<ul style="list-style-type: none"> <li>Identify priorities and direct OCM efforts to tasks that focus on stakeholder engagement, leadership alignment, and user readiness assessment</li> <li>Identify key OCM efforts that can begin or be planned while the contract supplement is being reviewed</li> <li>Draft and distribute messaging to stakeholders identified and involved in the current EFS Project scope to provide them with an understanding of the goals of the EFS Project and the intended benefits of the EFS (both for the State and their specific department); this messaging, once established by the OCM workstream, can be retailored and distributed to new groups of stakeholders if/when the contract supplement is approved</li> </ul> <p>BerryDunn also recommends invenioLSI's Project Manager and OCM Lead present additional steps to the EFS Enterprise Program Manager that might help address negative impacts that have occurred as a result of not having completed the Prepare Phase OCM activities on time.</p>
<b>EFS Project Management</b>	<b>Original Finding:</b> The planned go-live date of November 2023 for the Core Phase might not be achieved.  <b>Severity: High</b>	<b>Reference Number:</b> Risk 45  <b>Status:</b> Implement Mitigation – <b>High</b>	<b>Updated Finding:</b> BerryDunn has continued to observe the EFS Project routinely make updates to the November 2023 workplan despite widespread expectations since BerryDunn became involved with the EFS Project that this go-live date is unlikely to be achieved. BerryDunn understands the EFS Project is working to gain approval of an updated workplan and baseline for the EFS Project, which will be monitored and updated using Smartsheet.  <b>Updated Recommendation:</b> While adjusting the workplan, BerryDunn continues to recommend the EFS Project incorporate adequate time to complete tasks based on the following

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>challenges BerryDunn has observed the EFS Project has experienced to-date:</p> <ul style="list-style-type: none"> <li>• Quality gaps and a review/approval process have led to the initial review period continuing beyond the planned 20 business days for all Project Standards deliverables.</li> <li>• Explore sessions have taken longer than anticipated, as additional attendees from departments have been unprepared to fully participate due to having received minimal stakeholder awareness messaging/engagement regarding the EFS Project beforehand.</li> <li>• The key role of EFS Project Manager remains unfilled, and State resource availability remains critically low.</li> <li>• The expansion to departments outside of DAGS and B&amp;F compounds issues stemming from not having a complete, current, and vetted list of EFS requirements.</li> <li>• Gaps, discrepancies, and/or delays in regard to the State and invenioLSI efforts as a result of unclear expectations on:             <ul style="list-style-type: none"> <li>○ Key roles and responsibilities (e.g., ownership of data extraction efforts)</li> <li>○ Deliverable expectations and due dates</li> <li>○ The number of State end-user departments to engage</li> </ul> </li> </ul> <p>BerryDunn understands invenioLSI and the EFS Project have worked to refine a contract supplement request to the State which, if approved, would extend the timeline. However, based on the minimal rate of progress made to date and the major unmitigated issues listed above, BerryDunn does not believe that extending</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>the timeline will help address the critical underlying challenges facing the EFS Project.</p> <p><i>Please see BerryDunn's recommendation on Reference # Issue 18 in regard to steps to take prior to considering a contract supplement that increases the total dollar amount under contract with invenioLSI.</i></p>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> Functional Primaries are minimally available to provide input to the EFS Project due to high vacancy rates. <b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 26 (The EFS Project added this IV&amp;V finding to previously logged Issue 26) <b>Status:</b> In Process – <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn continues to observe that Functional Primaries remain minimally available to provide input to the EFS Project (e.g., explore sessions and knowledge transfer activities) due to high vacancy rates. BerryDunn understands the resource requirements issue has been escalated to the Executive Steering Committee however, we have not yet observed a clear solution on how sufficient and reliable State resource levels will be maintained throughout the EFS Project.</p> <p>BerryDunn understands that GFOA continues to supplement B&amp;F resources and that Spire Hawaii will be returning to fill DAGS resourcing gaps. BerryDunn remains concerned over these contracts being owned by State departments instead of the EFS Project, as this has previously led to a disconnect between the efforts of these contracted resources, the departments they contracted with, and the EFS Project.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS Project develop a resourcing plan that includes estimates on how many hours will be required from each EFS Project resource to complete tasks and does not exceed EFS Project resource availability (i.e., identifying and leveling periods where resources are overallocated). Developing a resource-loaded workplan will help ensure the EFS Project's workplan is feasible in regard to the planned go-live date and minimally available State</p>

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			<p>resources. The EFS Project might also consider requesting invenioLSI provide support through the use of analogous resource estimating (i.e., estimating duration or cost of an activity or a project using historical data from a similar activity or a project) to inform the EFS Project Work Plan.</p> <p>BerryDunn also recommends the EFS Project meet with DAGS and B&amp;F leadership to review, modify, and agree upon resource availability expectations and the role GFOA and Spire Hawaii will have on the EFS Project.</p>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> The EFS Project has developed a Core Phase schedule prior to allocating the expected State resource hours into the EFS Project Work Plan, confirming these expectations with the State, and ensuring State resources are available as agreed upon.</p> <p><b>Severity: High</b></p>	<p><b>Reference Number:</b> Risk 47</p> <p><b>Status:</b> New – <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn continues to observe the EFS Project has not estimated the number of hours required for each resource to complete EFS Project Work Plan tasks to help ensure resource availability is feasible. BerryDunn initially identified this as a finding due to resourcing challenges and subsequent timeline delays facing the EFS Project. While the EFS Project has established plans to review the alignment of resources and tasks at the start of each phase, BerryDunn has not observed this despite explore sessions already occurring. BerryDunn understands the EFS Project is working to identify a time in which to conduct a stage gate review following the completion of the Project Standard deliverables and other outstanding Prepare Phase tasks, but BerryDunn has not observed plans for the EFS Project to review the alignment of project resources. BerryDunn has not observed the EFS Project communicating expectations to State resources regarding the anticipated number of hours required from them to complete work plan tasks they are expected to be involved in completing.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS Project develop a resourcing plan that includes estimates</p>



EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>on how many hours will be required from each EFS Project resource to complete tasks and does not exceed EFS Project resource availability (i.e., identifying and leveling periods where resources are overallocated). Developing a resource-loaded workplan will help ensure the EFS Project's workplan is feasible in regard to the planned go-live date given the available resources. As the EFS Project continues to further engage stakeholder groups (e.g., explore sessions, knowledge transfer, open houses), it is critical to have accurate and clearly communicated estimates for their expected level of involvement. BerryDunn has experience with similar implementation projects that have successfully used resource-loaded workplans to better understand resourcing needs for their projects.</p>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> The recently hired EFS Project Manager has resigned. <b>Severity: High</b></p>	<p><b>Reference Number:</b> Issue 37 <b>Status:</b> In Process – <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn observed the State has hired a Program Manager for the HI Modernization Program, who will temporarily fulfill some EFS Project Manager roles and responsibilities. The new Program Manager joined the EFS Project the week of February 20. Given the relatively limited opportunities BerryDunn has had to observe, BerryDunn cannot yet state whether this has made a substantial positive impact to the EFS Project. BerryDunn has not observed any updates on the EFS Project identifying a replacement for the previous EFS Project Manager, the departure of whom was the initial reason for BerryDunn identifying this finding.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS Project continue with its current approach of working to identify a contractor to provide project management services. In the interim, BerryDunn agrees with the State's plan to incorporate the new hire as an EFS Project resource and recommends:</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<ul style="list-style-type: none"> <li>Readjusting the EFS Project work plan, issue log, risk register, and action item list to include the interim EFS Project Manager</li> <li>Developing a plan to allocate responsibilities to the interim EFS Project Manager and communicating that plan to the broader EFS Project team and stakeholders</li> </ul>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> The anticipated contract supplement (to expand the number of State agencies implementing the EFS and overall EFS Project timeline) will add significant costs and effort prior to scoping and resourcing the additional work and completing fundamental EFS Project planning deliverables (e.g., Project Standards). <b>Severity: High</b></p>	<p><b>(BerryDunn unable to find similar findings logged in the EFS Project's Issue Log or Risk Register – BerryDunn recommends logging this finding as a risk with a High Severity)</b></p>	<p><b>Updated Finding:</b> BerryDunn continues to observe that the EFS Project and invenioLSI is working with Executive Sponsorship to update a contract supplement that would substantially increase the amount of fees of the current contract with invenioLSI. While this contract supplement adds time to the EFS Project Plan and allows for additional departments to be included under the original scope of work, BerryDunn does not believe the EFS Project has established the critical project foundations needed to successfully execute the EFS Project goals and objectives. BerryDunn continues to observe critical issues negatively affecting progress for the EFS Project including, but not limited to:</p> <ul style="list-style-type: none"> <li>invenioLSI deliverables have substantial quality issues, are going through a delayed deliverable review process. <ul style="list-style-type: none"> <li>Major Impact: Delays to completing Prepare Phase tasks (including Project Standards and initial OCM deliverables) and thereby establishing critical foundations for the EFS Project and guidance for EFS Project stakeholders</li> </ul> </li> <li>Limited resource availability from end-user departments (i.e., DAGS Accounting Division and B&amp;F) and no agreements between EFS Project and end-user</li> </ul>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			<p>departments on expected/realistic level of availability for EFS Project activities</p> <ul style="list-style-type: none"> <li>○ Major Impact: Delays in completing key EFS Project activities including current explore sessions (which are intended to engage potential EFS end users and determine gaps in the GovOne solution) and future data validation, UAT, and training activities</li> <li>● Management of external consultant involvement in EFS Project activities solely occurring outside the EFS Project team <ul style="list-style-type: none"> <li>○ Major Impact: Misaligned and wasted efforts between external consultants and the EFS Project team</li> </ul> </li> <li>● Lack of thorough EFS requirements and identified end-user departments, their level of involvement, and the systems that will be affected <ul style="list-style-type: none"> <li>○ Major Impact: Undefined scope of which departments will be involved in the EFS implementation, their requirements, and their extent of implementation of or integration with the EFS, and therefore, no "Definition of Done" for the EFS Project</li> </ul> </li> </ul> <p><b>BerryDunn's Recommendation:</b>  <i>Please see BerryDunn's recommendation on Reference # Issue 18 in regard to steps for the EFS Project to take before considering amending the existing contract with invenioLSI.</i></p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> Responsibility for data extraction, cleanup, and validation and long-term maintenance of integration crosswalk mapping post go-live is not agreed upon between the State and invenioLSI.</p> <p><b>Severity: High</b></p>	<p><b>(BerryDunn unable to find similar findings logged in the EFS Project's Issue Log or Risk Register – BerryDunn recommends logging this finding as an Issue with a High Severity)</b></p>	<p><b>Updated Finding:</b> BerryDunn did not observe further discussion in this matter in the month of February 2023 and continues to believe that invenioLSI and the EFS Project disagree on whom should assume responsibility for data extraction, cleanup, and validation as well as the long-term maintenance of integration crosswalk mapping post go-live. BerryDunn continues to note that invenioLSI's best and final offer (BAFO-2) contains a sample RACI chart that shows the State as accountable for data extraction from the legacy system and invenioLSI as accountable for designing and building the program(s) to prepare and upload the data to SAP. The State is also shown as accountable for cleansing legacy data as part of the data migration process. The Data Conversion Methodology section of the BAFO-2 contains a narrative that describes the same accountability. BerryDunn did not find details in the BAFO-2 related to long-term maintenance of integration crosswalk mapping post-go-live.</p> <p><b>BerryDunn's Recommendation:</b> BerryDunn recommends that the EFS Project and invenioLSI consider clearly defining the division of responsibilities for data extraction, cleanup, and validation as part of the "Deliverable Schedule with RACI" document. We also recommend that the State and invenioLSI determine whether long-term maintenance of integration crosswalk mapping post-go-live is in scope before then determining division of responsibility and/or duration of support.</p>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> IV&amp;V findings are being misunderstood or not considered for logging in the EFS</p>	<p><b>(BerryDunn unable to find similar findings logged in the EFS Project's Issue Log or Risk Register –</b></p>	<p><b>Updated Finding:</b> BerryDunn continued to observe during RIO-D meetings that some findings that are based on BerryDunn's Initial Risk Assessment and/or Monthly IV&amp;V Status Reports are misunderstood during these meetings. BerryDunn believes that this might be a result of the process and level of detail in which</p>

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	<p>Project's Risk Register and Issue Log.</p> <p><b>Severity: Medium</b></p>	<p><b>BerryDunn recommends logging this finding as an Issue with Medium Severity)</b></p>	<p>these findings have been described in the EFS Project's risk register and issue log, which BerryDunn believes were initially completed by the invenioLSI Deputy Project Director without involvement from the rest of the RIO-D meeting attendees and is currently not being completed by any EFS Project resource. Furthermore, BerryDunn's full finding write-ups do not appear to be reviewed directly during RIO-D meetings. As a result, some of the EFS Project's risks and issues are not being discussed and addressed.</p> <p><b>BerryDunn's Recommendation:</b> BerryDunn continues to recommend that, during RIO-D meetings, the EFS Project review the Monthly IV&amp;V Status Reports, discuss new risks and issues, and incorporate them into the risk register and issue log. The EFS Project might consider adding links to the Monthly IV&amp;V Status Reports and referencing the section numbers where additional info regarding each finding can be found so that owners can review additional details related to the finding not included in the risk register or issue log. BerryDunn believes that reviewing the Monthly IV&amp;V Status Reports will help ensure the EFS Project avoids misunderstanding and effectively manages these findings. BerryDunn also recommends the EFS Project review all open risks and issues to help ensure all risks and issues are assigned owners and that all risks are assigned a status that accurately reflects how the EFS Project is managing each risk.</p>
<p><b>EFS Project Management</b></p>	<p><b>Original Finding:</b> The EFS Project is adjusting the work plan without assessing potential</p>	<p><b>(BerryDunn unable to find similar findings logged in the EFS Project's Issue Log or Risk Register –</b></p>	<p><b>Updated Finding:</b> BerryDunn continued to observe during PMO Work Plan Review Meetings that planned finish dates for tasks are sometimes rescheduled for later dates without discussion among the team on the potential impacts to:</p>

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	<p>impacts to the overall EFS Project timeline or alternatives to extending the task duration.</p> <p><b>Severity: High</b></p>	<p><b>BerryDunn recommends logging this finding as a Risk with High Severity)</b></p>	<ul style="list-style-type: none"> <li>• The critical path (i.e., the set of EFS Project tasks that need to be completed on time for the EFS Project to make the current planned go-live date)</li> <li>• Current or projected overallocation of resources</li> <li>• Other workstreams that have planned activities which are dependent on the timely completion of said task</li> </ul> <p>BerryDunn understands the EFS Project is working with invenioLSI to draft a contract supplement that will include an adjustment to the EFS Project timeline and a revised work plan. However, BerryDunn recommends the EFS Project continue to work to manage the EFS Project timeline as currently approved without assuming the contract supplement with invenioLSI (and subsequent adjustment to the EFS Project timeline) will be approved. BerryDunn also believes not applying analysis to the impact of adjusting task completion dates poses a risk to the EFS Project's timely completion regardless of whether the planned go-live date is modified, as such adjustments are likely to extend the total duration required to complete the EFS Project.</p> <p><b>BerryDunn's Recommendation:</b> BerryDunn continues to recommend the EFS Project use the PMO Work Plan Review Meetings to discuss with attendees potential options available for tasks that are trending late. During PMO Work Plan Review Meetings, BerryDunn recommends the EFS Project discuss:</p> <ul style="list-style-type: none"> <li>• Current and upcoming tasks that are on the EFS Project's critical path and any early indications these tasks might not be completed on time</li> <li>• Resources that are currently or expected to be overallocated and potential remediations</li> </ul>

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			<ul style="list-style-type: none"> <li>• Tasks that are dependent upon completion of other workstreams' efforts and the how these dependencies impact the overall EFS Project</li> </ul> <p>BerryDunn also recommends the EFS Project ask meeting attendees to review the status of their current assigned tasks in the workplan, identify those that are expected to be late, and propose potential adjustments based on impacts to successor tasks, including:</p> <ul style="list-style-type: none"> <li>• Pausing or reassigning other tasks currently being worked on by the resource</li> <li>• Assigning additional resources to support the completion of the task</li> <li>• Discussing with owner(s) of successor tasks potential ways to reschedule tasks with minimal disruption</li> </ul> <p>BerryDunn believes that the EFS Project might be able to better maintain its planned timeline duration by discussing barriers to timely completion to tasks and having task owners discuss alternatives to delaying task completion dates during the PMO Work Plan Review Meetings.</p>
<b>Quality Management</b>	<b>Original Finding:</b> The Executive Sponsors and State EFS Project leadership feel deliverables provided by invenioLSI to date have not met the	<b>Reference Number:</b> Issue 34  <b>Status:</b> In Process – <b>High</b>	<b>Updated Finding:</b> While Project Standards are in the final stages of approval, BerryDunn continues to observe the State provide feedback on the quality of invenioLSI documents (e.g., Conversion Agreement and Development Strategy). BerryDunn also continues to note invenioLSI has had instances in which deliverables were submitted without full compliance with the State's deliverable submission process (e.g., including the Deliverable Description Document, providing a Table of Tables). These has resulted in an extended period of review and revisioning of the Project Standard



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	<p>State's quality expectations.</p> <p><b>Severity: High</b></p>		<p>deliverables, which in turn has prevented the timely approval and adoption of the Project Standards, quality gaps have resulted in delays to using these deliverables by the EFS Project.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to caution the EFS Project and the State on approving a contract supplement that increases the total amount of funding the State is committing to pay invenioLSI for work on the EFS Project. Given the amount of delays the EFS Project has experienced to date, quality gaps, and open questions on EFS Project resourcing, BerryDunn recommends the EFS Project and State consider the potential consequences of increasing the amount of funding committed to invenioLSI if the State's quality expectations have not been met to date.</p> <p><i>Please see BerryDunn's recommendation on Reference # Issue 28 in regard to timely feedback loops for EFS Project deliverables.</i></p> <p><i>Please see BerryDunn's recommendation on Reference # Issue 29 in regard to using quality checklist to support a formal quality control process prior to submission of draft deliverables from invenioLSI to the EFS Project.</i></p>
<p><b>Requirements Management</b></p>	<p><b>Original Finding:</b> The EFS Project has not yet identified and documented a comprehensive list of EFS end-users and system interfaces, and invenioLSI and the State are not aligned on</p>	<p><b>Reference Number:</b> Issue 35</p> <p><b>Status:</b> In Process – <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn observed that, while the EFS Project has updated this finding in the Issue Log to develop a list of systems the EFS will interface with in response to this previously reported and outstanding finding, the EFS Project is continuing to work on developing a plan to identify and finalize a list of systems and interfaces the EFS will need to interact with. The planned completion listed in the EFS Project's issue log has been pushed out most recently from 2/28/2023 until 3/31/2023.</p>



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	<p>expectations for who will identify them.</p> <p><b>Severity: High</b></p>		<p><b>Updated Recommendation:</b> <i>Please see BerryDunn's recommendation on Reference # Issue 18 in regard to steps to take prior to executing a contract supplement.</i></p> <p>NOTE: By "comprehensive list of EFS end-users," BerryDunn is referring to the departments that need to implement or integrate with the EFS System.</p>
<p><b>Requirements Management</b></p>	<p><b>Original Finding:</b> The SAP configuration for user security currently planned for the State's implementation might not have the capabilities to meet the State's needs for managing user roles and privileges.</p> <p><b>Severity: Medium</b></p>	<p><b>Reference Number:</b> Risk 49</p> <p><b>Status:</b> Monitor – <b>Medium</b></p>	<p><b>Updated Finding:</b> BerryDunn understands the EFS Project will be using SAP Cloud Identity Services to manage user roles and privileges, which will provide technical capabilities to satisfy the needs of DAGS and B&amp;F. While the EFS Project expects SAP Cloud Identify Services would address the original concerns BerryDunn expressed regarding this finding, BerryDunn is further concerned that if the current version of the contract supplement is approved, the needs of the additional State departments might not be covered.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend monitoring this risk as the EFS Project works to determine which State departments will adopt the EFS and their associated security requirements.</p>
<p><b>Software Development</b></p>	<p><b>Merged Finding:</b> The EFS Project does not have a clear approach for validation that all end-user requirements are understood and being satisfied by the</p>	<p><b>Reference Number:</b> Risk 50</p> <p><b>Status:</b> Implement Mitigation – <b>High</b></p> <p><b>Reference Number:</b> Risk 16</p> <p><b>Status:</b> Monitor– <b>High</b></p>	<p><b>Updated Finding:</b> BerryDunn observed the invenioLSI Project Manager is working with the EFS Project Program Manager to develop a document detailing how the EFS Project will work with EFS project end-users to help ensure the needs and requirements of each department are fully addressed. BerryDunn initially identified this concern when the EFS Project planned to use an iterative approach to refining the GovOne solution via a series of workshops with EFS end users as opposed to a comprehensive requirement gathering phase. BerryDunn remains concerned the</p>

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	<p>configuration of the EFS.</p> <p><b>Original Finding:</b> The EFS Project does not have a clear "Definition of Done" for configuration of the EFS. <b>Severity: High</b></p> <p><b>Original Finding:</b> Not all the specific needs of departments will be met by standard GovOne functionality and will not be identified or addressed during the Explore and Realize phases. <b>Severity: High</b></p> <p><b>Original Finding:</b> Functional Primaries are now unable to validate the EFS requirements</p>	<p><b>Reference Number:</b> Risk 48</p> <p><b>Status:</b> New – <b>High</b></p>	<p>EFS Project might still encounter situations in which end-user expectations evolve other the course of the project and result in either an expansion of scope or excessive iterations of the EFS' configuration due to the challenges experienced during the initial requirements that were used in the RFP.</p> <p><b>Updated Recommendation:</b> BerryDunn encourages the invenioLSI Project Manager and EFS Project Program Manager to continue working to develop documentation that addresses these findings.</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
	<p>because they were not involved in requirements gathering and had minimal involvement in reviewing the requirements prior to their posting in the State's EFS RFP.</p> <p><b>Severity: High</b></p>		
<p><b>Software Development</b></p>	<p><b>Original Finding:</b> Some invenioLSI EFS Project resources might not be able to efficiently execute invenioLSI's EFS Project approach.</p> <p><b>Severity: Medium</b></p>	<p><b>Reference Number:</b> Risk 46</p> <p><b>Status:</b> Monitor – <b>Medium</b></p>	<p><b>Updated Finding:</b> BerryDunn has begun to observe a demonstrated understanding of the EFS Project's approach from invenioLSI resources as the EFS Project begins to exit the Prepare Phase. BerryDunn initially identified this concern due to invenioLSI's team including staff and subcontractors that did not have experience with SAP and/or invenioLSI's implementation approach.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend monitoring this risk as the EFS Project works to finalize EFS Project Standards. BerryDunn believes the EFS Project has begun to close the gap in understanding invenioLSI's approach for the EFS Project by developing the EFS Project Standards and expects efforts to socialize these expectations will further inform resources on the EFS Project's approach.</p> <p>BerryDunn recommends changing the severity of this risk in the EFS Project's risk log to Low, as the EFS Project has nearly completed the EFS Project Standards, and new invenioLSI Project</p>

EFS Project Critical Component	BerryDunn's Original Finding	EFS Project Risk/Issue Log Details	BerryDunn's Updated Finding and Updated Recommendation
			resources are gaining understanding of invenioLSI's EFS Project approach.
Training	<p><b>Original Finding:</b> State EFS Project team members have not been provided with role-based learning plans.</p> <p><b>Severity: High</b></p>	<p><b>(BerryDunn unable to find similar findings logged in the EFS Project's Issue Log or Risk Register – BerryDunn recommends logging this finding as an Issue with a High Severity)</b></p>	<p><b>Updated Finding:</b> BerryDunn observes that users are actively engaged in training in the Client 500 environment and that LSI is working with SAP to provide access to an SAP Learning Hub tailored to match the State's licensing agreement. While these are positive steps forward, BerryDunn remains aware that the EFS Project has not yet defined all end-user roles and therefore we are unable to confirm that learning plans exist for all required roles.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend:</p> <ul style="list-style-type: none"> <li>• invenioLSI and the EFS Project team confirm that learning plans exist for all anticipated end-user roles or work to complete the development of additional learning plans</li> <li>• The State EFS Project team continue to monitor end-user training and either address questions directly or work with the SAP contact to provide answers</li> <li>• The State EFS Project team prioritize defining post-implementation roles for team members</li> </ul> <p>BerryDunn recommends reducing the severity of this finding in the EFS Project's issue log to Medium due to the Client 500 environment being established and effectively accessed by State resources.</p>

### 3.2 Updated Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations

In Table 3-2 below, BerryDunn has included updated findings and recommendations for the previously reported observations, watch list items, and lessons learned perspectives that remain open.

**Table 3-2: Updated Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations**

EFS Project Critical Component	BerryDunn’s Finding(s)	BerryDunn’s Recommendation
<b>Observations, Watch List Items, and Lessons Learned Perspectives That Are Being Closed</b>		
<b>EFS Project Management</b>	<p><b>Original Observation:</b> BerryDunn observed that many—but not all—of the EFS Project Workstreams have demonstrated effective project communication by adhering to an increased schedule of team meetings and implementing meeting best practices including providing agendas, recording, distributing meeting notes, and tracking action items in an Action Item Log.</p>	<p><b>Updated Finding:</b> BerryDunn has observed that EFS Project workstreams (except for OCM, which has not conducted a workstream meeting since November 30, 2022) have been providing effective project communications and generally complying with meeting best practices.</p> <p><b>Updated Recommendation:</b> BerryDunn is closing this observation while the EFS Project workstreams continue to follow meeting best practices.</p> <p><i>Please see BerryDunn’s recommendation on Reference # Issue 30 in regard to recent OCM meetings not occurring.</i></p>
<b>Observations, Watch List Items, and Lessons Learned Perspectives That Remain Open</b>		
<b>EFS Project Management</b>	<p><b>Original Watch List Finding:</b> The EFS Project has not documented or communicated its Software Development Life Cycle (SDLC) approach.</p>	<p><b>Updated Finding:</b> BerryDunn has not observed any additional steps being taken by the EFS Project to address this finding.</p> <p><b>Updated Recommendation:</b> BerryDunn continues to recommend the EFS project define, document, and socialize the EFS Project’s SDLC approach. While invenioLSI’s proposal and BAFO</p>

EFS Project Critical Component	BerryDunn’s Finding(s)	BerryDunn’s Recommendation
		<p>contain information on its proposed approach, this has been modified since the start of the EFS Project and has not been formally shared with key stakeholders. Once a decision has been made by the executive sponsorship in regard to the contract supplement with invenioLSI, BerryDunn recommends the State and invenioLSI OCM Leads work with the invenioLSI Project Manager to develop high-level content on the EFS Project’s SDLC that can be shared with key stakeholder groups.</p>
<p><b>Operations Oversight</b></p>	<p><b>Original Watch List Finding:</b> Currently, there is no plan for who will update existing State accounting manuals (i.e., process job aids) in State departments, who will identify and track required changes, and how those required changes will be communicated to relevant parties.</p>	<p><b>Updated Finding:</b> BerryDunn has not observed any additional steps being taken by the EFS Project to address this finding.</p> <p><b>BerryDunn’s Recommendation:</b> BerryDunn continues to recommend that the EFS Project include tasks for and assign resources to accounting manual updating activities when replanning and developing a new resource-loaded project schedule.</p>

### 3.3 New Risk and Issue Findings and Recommendations

In Table 3-3, BerryDunn has listed its new risk and issue findings and recommendations for the Monthly IV&V Status Report. For this review of the EFS Project, BerryDunn identified no new issue findings.

**Table 3-3: New Risk and Issue Findings and Recommendations**

EFS Project Critical Component	BerryDunn’s Finding(s)	BerryDunn’s Detailed Findings and Recommendation
(None identified at this time)		

### 3.4 New Observation, Watch List Item, and Lessons Learned Perspective Findings and Recommendations

In Table 3-4, BerryDunn has listed its new observation, watch list item, and lessons learned perspective findings and recommendations for the Monthly IV&V Status Report. For this review of the EFS Project, BerryDunn identified no new observation finding or watch list items.

**Table 3-4: New Observations, Watch List Items, and Lessons Learned Perspective Findings and Recommendations**

EFS Project Critical Component	BerryDunn’s Finding(s)	BerryDunn’s Recommendation
(None identified at this time)		

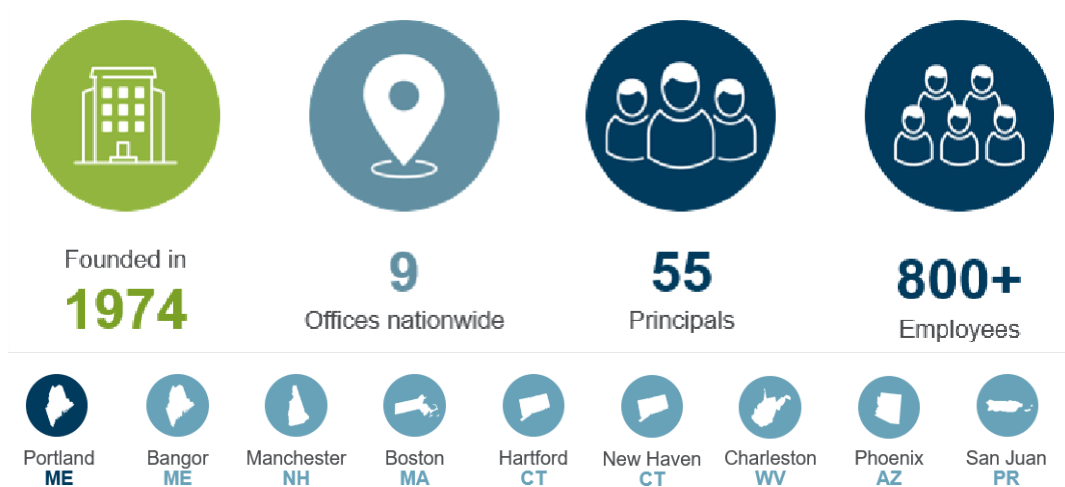
## 4.0 BerryDunn

BerryDunn is a national consulting and certified public accounting firm with a Government Consulting Group dedicated to serving state and local government agencies. BerryDunn was formed in 1974 and has experienced sustained growth throughout its 49-year history. Today, BerryDunn employs 800+ personnel with headquarters in Portland, Maine—and office locations in Arizona, Connecticut, Massachusetts, New Hampshire, Puerto Rico, and West Virginia. The firm has experienced professionals who provide a full range of services, including IT consulting; management consulting; and audit, accounting, and tax services.

BerryDunn’s State Government Practice Group provides a variety of independent services to state agencies in need of understanding the health and effectiveness of their programs and processes. To assist in these efforts, BerryDunn provides an independent and proven audit methodology—in conjunction with state-established processes, tools, and templates—which includes a clear and actionable mitigation strategy.

BerryDunn regularly performs audits of IT and business organizations and their processes, as well as the interactions they have with other agencies and departments. Independent audits and project assessments are core to our consulting practice, and our project teams have conducted enterprise-wide strategic risk assessments, project audits, and project health assessments for public-sector clients for more than 33 years.

**Figure 4-1: BerryDunn Overview**





## 5.0 Appendix A: EFS Project Critical Components

Below in Table 5-1 is a list of all EFS Project Critical Components, and their related task numbers and descriptions, that BerryDunn used to assess the EFS Project during the Monthly IV&V Status Report period.

**Table 5-1: EFS Project Critical Components, and Related Task Numbers and Descriptions**

EFS Project Critical Component	Task #	Task Description
<b>EFS Project Management</b>		
EFS Project Sponsorship	PM-1	Assess and recommend improvement, as needed, to assure continuous executive stakeholder buy-in, participation, support and commitment, and that open pathways of communication exist among all stakeholders.
EFS Project Sponsorship	PM-2	Verify that executive sponsorship has bought-in to all changes which impact EFS Project objectives, cost, or schedule.
Management Assessment	PM-3	Verify and assess EFS Project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the EFS Project.
Management Assessment	PM-4	Evaluate EFS Project progress, resources, budget, schedules, workflow, and reporting.
Management Assessment	PM-5	Assess coordination, communication, and management to verify agencies and departments are not working independently of one another and following the communication plan.
EFS Project Management	PM-6	Verify that an EFS Project Management Plan is created, has been accepted, and is being followed. Evaluate the EFS Project management plans and procedures to verify that they are developed, communicated, implemented, monitored, and complete.
EFS Project Management	PM-7	Evaluate EFS Project reporting plan and actual EFS Project reports to verify EFS Project status is accurately traced using EFS Project metrics.
EFS Project Management	PM-8	Verify milestones and completion dates are planned, monitored, and met.
EFS Project Management	PM-9	Verify the existence and institutionalization of an appropriate EFS Project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents a mitigation strategy as appropriate, and tracks the issue to closure. This should include but is not limited to technical and development efforts.
EFS Project Management	PM-10	Evaluate the system’s planned life-cycle development methodology or methodologies (waterfall, evolutionary spiral, rapid prototyping,

EFS Project Critical Component	Task #	Task Description
		incremental, etc.) to see if they are appropriate for the system being developed.
Business Process Reengineering	PM-11	Evaluate the EFS Project's ability and plans to redesign business systems to achieve improvements in critical measures of performance, such as cost, quality, service, and speed.
Business Process Reengineering	PM-12	Verify that there engineering plan has the strategy, management backing, resources, skills, and incentives necessary for effective change.
Business Process Reengineering	PM-13	Verify that resistance to change is anticipated and prepared for by using principles of change management at each step (such as excellent communication, participation, incentives) and having the appropriate leadership (executive pressure, vision, and actions) throughout their engineering process.
Risk Management	PM-14	Verify that an EFS Project Risk Management Plan is created and being followed. Evaluate the EFS Projects risk management plans and procedures to verify that risks are identified and quantified and that mitigation plans are developed, communicated, implemented, monitored, and complete.
Change Management	PM-15	Verify that a Change Management Plan is created and being followed. Evaluate the change management plans and procedures to verify they are developed and communicated,
Communication Management	PM-16	Verify that a Communication Plan is created and being followed. Evaluate the communication plans and strategies to verify they support communications and work product sharing between all EFS Project stakeholders; and assess if communication plans and strategies are effective, implemented, monitored, and complete.
Configuration Management	PM-17	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.
Configuration Management	PM-18	Verify that all critical development documents, including but not limited to requirements, design, code, and JCL are maintained under an appropriate level of control.
Configuration Management	PM-19	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.
Configuration Management	PM-20	Verify that appropriate source and object libraries are maintained for training, test, and production and that formal sign-off procedures are in place for evaluating acceptability of and approving deliverables.

EFS Project Critical Component	Task #	Task Description
Configuration Management	PM-21	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization, and timely scheduling of maintenance actions.
Configuration Management	PM-22	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.
Configuration Management	PM-23	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in EFS Project management.
EFS Project Estimating and Scheduling	PM-24	Evaluate and make recommendations on the estimating and scheduling process of the EFS Project to ensure that the EFS Project budget and resources are adequate for the work- breakdown structure and schedule.
EFS Project Estimating and Scheduling	PM-25	Verify the schedules to assure that adequate time and resources are assigned for planning, development, review, testing, and rework.
EFS Project Estimating and Scheduling	PM-26	Examine historical data to determine if the EFS Project/department has been able to accurately estimate the time, labor, and cost of software development efforts.
EFS Project Personnel	PM-27	Examine the job assignments, skills, training, and experience of the personnel involved in program development to verify that they are adequate for the development task.
EFS Project Personnel	PM-28	Evaluate the staffing plan for the EFS Project to verify that adequate human resources will be available for development and maintenance.
EFS Project Personnel	PM-29	Evaluate the State's personnel policies to verify that staff turnover will be minimized.
EFS Project Organization	PM-30	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the EFS Project.
EFS Project Organization	PM-31	Verify that the EFS Project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, and any other functions critical for the EFS Project's success.
Subcontractors and External Staff	PM-32	Evaluate the use of sub-contractors or other external sources of EFS Project staff (such as IS staff from another State organization) in EFS Project development.
Subcontractors and External Staff	PM-33	Verify that the obligations of sub-contractors and external staff (terms, conditions, statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.) are clearly defined.

EFS Project Critical Component	Task #	Task Description
Subcontractors and External Staff	PM-34	Verify that the subcontractors' software development methodology and product standards are compatible with the system's standards and environment.
Subcontractors and External Staff	PM-35	Verify that each subcontractor has and maintains the required skills, personnel, plans, resources, procedures, and standards to meet their commitment. This will include examining the feasibility of any offsite support of the EFS Project.
Subcontractors and External Staff	PM-36	Verify that any proprietary tools used by subcontractors do not restrict the future maintainability, portability, and reusability of the system.
State Oversight	PM-37	Verify that State oversight is provided in the form of periodic status reviews and technical interchanges.
State Oversight	PM-38	Verify that the State has defined the technical and managerial inputs the subcontractor needs (reviews, approvals, requirements, and interface clarifications, etc.) and has the resources to supply them on schedule.
State Oversight	PM-39	Verify that State staff has the ultimate responsibility for monitoring EFS Project cost and schedule.
<b>Quality Management</b>		
Quality Assurance	QA-1	Evaluate and make recommendations on the EFS Project's Quality Assurance plans, procedures, and organization.
Quality Assurance	QA-2	Verify that QA has an appropriate level of independence from EFS Project management.
Quality Assurance	QA-3	Verify that the QA organization monitors the fidelity of all defined processes in all phases of the EFS Project.
Quality Assurance	QA-4	Verify that the quality of all products produced by the EFS Project is monitored by formal reviews and signoffs.
Quality Assurance	QA-5	Verify that EFS Project self-evaluations are performed and that measures are continually taken to improve the process.
Quality Assurance	QA-6	Verify that QA has an appropriate level of independence; evaluate and make recommendations on the EFS Project's Quality Assurance plans, procedures, and organization.
Quality Assurance	QA-7	Evaluate if appropriate mechanisms are in place for EFS Project self-evaluation and process improvement.
Process Definition and	QA-8	Review and make recommendations on all defined processes and product standards associated with the system development.

EFS Project Critical Component	Task #	Task Description
Product Standards		
Process	QA-9	Verify that all major development processes are defined and that the defined and approved processes and standards are followed in development.
Process Definition and Product Standards	QA-10	Verify that the processes and standards are compatible with each other and with the system development methodology.
Process Definition and Product Standards	QA-11	Verify that all process definitions and standards are complete, clear, up-to-date, consistent in format, and easily available to EFS Project personnel.
<b>Training</b>		
User Training and Documentation	TR-1	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.
User Training and Documentation	TR-2	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.
User Training and Documentation	TR-3	Verify that user-friendly training materials and help desk services are easily available to all users.
User Training and Documentation	TR-4	Verify that all necessary policy and process and documentation is easily available to users.
User Training and Documentation	TR-5	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.
Developer Training and Documentation	TR-6	Review and make recommendations on the training provided to system developers.
Developer Training and Documentation	TR-7	Verify that developer training is technically adequate, appropriate for the development phase, and available at appropriate times.

EFS Project Critical Component	Task #	Task Description
Developer Training and Documentation	TR-8	Verify that all necessary policy, process and standards documentation is easily available to developers.
Developer Training and Documentation	TR-9	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.
<b>Requirements Management</b>		
Requirements Management	RM-1	Evaluate and make recommendations on the EFS Project's process and procedures for managing requirements.
Requirements Management	RM-2	Verify that system requirements are well-defined, understood and documented.
Requirements Management	RM-3	Evaluate the allocation of system requirements to hardware and software requirements.
Requirements Management	RM-4	Verify that software requirements can be traced through design, configuration and test phases to verify that the system performs as intended and contains no unnecessary software elements.
Requirements Management	RM-5	Verify that requirements are under formal configuration control.
Security Requirements	RM-6	Evaluate and make recommendations on EFS Project policies and procedures for ensuring that the system is secure and that the privacy of client data is maintained.
Security Requirements	RM-7	Evaluate the EFS Project's restrictions on system and data access.
Security Requirements	RM-8	Evaluate the EFS Project's security and risk analysis.
Security Requirements	RM-9	Verify that processes and equipment are in place to back up client and EFS Project data and files and archive them safely at appropriate intervals.
Requirements Analysis	RM-10	Verify that an analysis of client, State and federal needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal regulations.
Requirements Analysis	RM-11	Verify that all stakeholders have been consulted to the desired functionality of the system, and that users have been involved in prototyping of the user interface.

EFS Project Critical Component	Task #	Task Description
Requirements Analysis	RM-12	Verify that all stakeholders have bought-in to all changes which impact EFS Project objectives, cost, or schedule.
Requirements Analysis	RM-13	Verify that performance requirements (e.g. timing, response time and throughput) satisfy user needs.
Requirements Analysis	RM-14	Verify that user's maintenance requirements for the system are completely specified.
Interface Requirements	RM-15	Verify that all system interfaces are exactly described, by medium and by function, including input/output control codes. data format, polarity, range, units, and frequency.
Requirements Analysis	RM-16	Verify those approved interface documents are available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.
Requirements Allocation and Specification	RM-17	Verify that all system requirements have been allocated to either a software or hardware subsystem.
Requirements Allocation and Specification	RM-18	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.
Reverse Engineering	RM-19	If a legacy system or a transfer system is or will be used in development, verify that a well-defined plan and process for reengineering the system is in place and is followed. The process, depending on the goals of the reuse/transfer, may include reverse engineering, code translation, re-documentation, restructuring, normalization, and re-targeting.
<b>Operating Environment</b>		
System Hardware	OE-1	Evaluate new and existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements.
System Hardware	OE-2	Determine if hardware is compatible with the State's existing processing environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers, and storage devices.
System Hardware	OE-3	Evaluate current and EFS Projected vendor support of the hardware, as well as the State's hardware configuration management plans and procedures.

<b>EFS Project Critical Component</b>	<b>Task #</b>	<b>Task Description</b>
System Software	OE-4	Evaluate new and existing system software to determine if its capabilities are adequate to meet existing and proposed system requirements.
System Software	OE-5	Determine if the software is compatible with the State's existing hardware and software environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, operating systems, middleware, and network software including communications and file-sharing protocols.
System Software	OE-6	Current and EFS Projected vendor support of the software will also be evaluated, as well as the State's software acquisition plans and procedures.
Database Software	OE-7	Evaluate new and existing database products to determine if their capabilities are adequate to meet existing and proposed system requirements.
Database Software	OE-8	Determine if the database's data format is easily convertible to other formats, if it supports the addition of new data items, if it is scalable, if it is easily refreshable and if it is compatible with the State's existing hardware and software, including any on-line transaction processing (OLTP) environment.
Database Software	OE-9	Evaluate any current and EFS Projected vendor support of the software, as well as the State's software acquisition plans and procedures.
System Capacity	OE-10	Evaluate the existing processing capacity of the system and verify that it is adequate for current statewide needs for both batch and on-line processing.
System Capacity	OE-11	Evaluate the historic availability and reliability of the system including the frequency and criticality of system failure.
System Capacity	OE-12	Evaluate the results of any volume testing or stress testing.
System Capacity	OE-13	Evaluate any existing measurement and capacity planning program and evaluate the system's capacity to support future growth.
System Capacity	OE-14	Make recommendations on changes in processing hardware, storage, network systems, operating systems, COTS software, and software design to meet future growth and improve system performance.
<b>Development Environment</b>		
Development Hardware	DE-1	Evaluate new and existing development hardware configurations to determine if their performance is adequate to meet the needs of system development.



EFS Project Critical Component	Task #	Task Description
Development Hardware	DE-2	Determine if hardware is maintainable, easily upgradeable, and compatible with the State's existing development and processing environment. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
Development Hardware	DE-3	Current and EFS Projected vendor support of the hardware will also be evaluated, as well as the State's hardware configuration management plans and procedures.
Development Software	DE-4	Evaluate new and existing development software to determine if its capabilities are adequate to meet system development requirements.
Development Software	DE-5	Determine if the software is maintainable, easily upgradeable, and compatible with the State's existing hardware and software environment.
Development Software	DE-6	Evaluate the environment as a whole to see if it shows a degree of integration compatible with good development. This evaluation will include, but is not limited to, operating systems, network software, CASE tools, EFS Project management software, configuration management software, compilers, cross-compilers, linkers, loaders, debuggers, editors, and reporting software.
Development Software	DE-7	Language and compiler selection will be evaluated with regard to portability and reusability (ANSI standard language, non-standard extensions, etc.).
Development Software	DE-8	Current and EFS Projected vendor support of the software will also be evaluated.
<b>Software Development</b>		
High-Level Design	SD-1	Evaluate and make recommendations on existing high-level design products to verify the design is workable, efficient, and satisfies all system and system interface requirements.
High-Level Design	SD-2	Evaluate the design products for adherence to the EFS Project design methodology and standards.
High-Level Design	SD-3	Evaluate the design and analysis process used to develop the design and make recommendations for improvements. Design standards, methodology and CASE tools used will be evaluated and recommendations for improvements made.
High-Level Design	SD-4	Verify that design requirements can be traced back to system requirements.

EFS Project Critical Component	Task #	Task Description
High-Level Design	SD-5	Verify that all design products are under configuration control and formally approved before detailed design begins.
Detailed Design	SD-6	Evaluate and make recommendations on existing detailed design products to verify that the design is workable, efficient, and satisfies all high-level design requirements.
Detailed Design	SD-7	The design products will also be evaluated for adherence to the EFS Project design methodology and standards.
Detailed Design	SD-8	The design and analysis process used to develop the design will be evaluated and recommendations for improvements made.
Detailed Design	SD-9	Design standards, methodology and CASE tools used will be evaluated and recommendations made.
Detailed Design	SD-10	Verify that design requirements can be traced back to system requirements and high-level design.
Detailed Design	SD-11	Verify that all design products are under configuration control and formally approved before coding begins.
Job Control	SD-12	Perform an evaluation and make recommendations on existing job control and on the process for designing job control.
Job Control	SD-13	Evaluate the system's division between batch and on-line processing with regard to system performance and data integrity.
Job Control	SD-14	Evaluate batch jobs for appropriate scheduling, timing and internal and external dependencies.
Job Control	SD-15	Evaluate the appropriate use of OS scheduling software.
Job Control	SD-16	Verify that job control language scripts are under an appropriate level of configuration control.
Code	SD-17	Evaluate and make recommendations on the standards and processes currently in place for code development.
Code	SD-18	Evaluate the existing code base for portability and maintainability, taking software metrics including but not limited to modularity, complexity, and source and object size.
Code	SD-19	Code documentation will be evaluated for quality, completeness (including maintenance history) and accessibility.
Code	SD-20	Evaluate the coding standards and guidelines and the EFS Project's compliance with these standards and guidelines. This evaluation will include, but is not limited to, structure, documentation, modularity, naming conventions and format.

EFS Project Critical Component	Task #	Task Description
Code	SD-21	Verify that developed code is kept under appropriate configuration control and is easily accessible by developers.
Code	SD-22	Evaluate the EFS Project's use of software metrics in management and quality assurance.
Unit Test	SD-23	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.
Unit Test	SD-24	Evaluate the level of test automation, interactive testing and interactive debugging available in the test environment.
Unit Test	SD-25	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented.
<b>System and Acceptance Testing</b>		
System Integration Test	ST-1	Evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system modules.
System Integration Test	ST-2	Evaluate the level of automation and the availability of the system test environment.
System Integration Test	ST-3	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented, including formal logging of errors found in testing.
System Integration Test	ST-4	Verify that the test organization has an appropriate level of independence from the development organization.
Pilot Test	ST-5	Evaluate the plans, requirements, environment, tools, and procedures for pilot testing the system.
Pilot Test	ST-6	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, real-time environment.
Pilot Test	ST-7	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.
Pilot Test	ST-8	Verify that test results are verified, that the correct code configuration has been used, and that the tests runs are appropriately documented, including formal logging of errors found in testing.
Pilot Test	ST-9	Verify that the test organization has an appropriate level of independence from the development organization.

EFS Project Critical Component	Task #	Task Description
Interface Testing	ST-10	Evaluate interface testing plans and procedures for compliance with industry standards.
Acceptance and Turnover	ST-11	Acceptance procedures and acceptance criteria for each product must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.
Acceptance and Testing	ST-12	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.
Acceptance and Turnover	ST-13	Verify that the acceptance test organization has an appropriate level of independence from the subcontractor.
Acceptance and Turnover	ST-14	Verify that training in using the contractor-supplied software will be on-going throughout the development process, especially if the software is to be turned over to State staff for operation.
Acceptance and Turnover	ST-15	Review and evaluate implementation plan.
<b>Data Management</b>		
Data Conversion	DM-1	Evaluate the State's existing and proposed plans, procedures and software for data conversion.
Data Conversion	DM-2	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.
Data Conversion	DM-3	Determine conversion error rates and if the error rates are manageable.
Data Conversion	DM-4	Make recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.
Database Design	DM-5	Evaluate new and existing database designs to determine if they meet existing and proposed system requirements.
Database Design	DM-6	Recommend improvements to existing designs to improve data integrity and system performance.
Database Design	DM-7	Evaluate the design for maintainability, scalability, upgradable, concurrence, normalization (where appropriate) and any other factors affecting performance and data integrity.

EFS Project Critical Component	Task #	Task Description
Database Design	DM-8	Evaluate the EFS Project's process for administering the database, including backup, recovery, performance analysis and control of data item creation.
<b>Operations Oversight</b>		
Operational Change Tracking	OO-1	Evaluate system's change requests and defect tracking processes.
Operational Change Tracking	OO-2	Evaluate implementation of the process activities and request volumes to determine if processes are effective and are being followed.
Customer and User Operational Satisfaction	OO-3	Evaluate user satisfaction with system to determine areas for improvement.
Operational Goal	OO-4	Evaluate impact of system on program goals and performance standards.
Operational Documentation	OO-5	Evaluate operational plans and processes.
Operational Processes and Activity	OO-6	Evaluate implementation of the process activities including backup, disaster recovery and day-to-day operations to verify the processes are being followed.

## 6.0 Appendix B: EFS Project Rating Definitions

Table 6-1 illustrates the individual ratings for the EFS Project Critical Components that BerryDunn used to determine the health of the EFS Project, and their corresponding rating definitions, for each Monthly IV&V Status Report.

**Table 6-1: EFS Project Critical Components Rating Definitions**

Rating	Definition
<b>5 – Excellent</b>	No findings were identified by BerryDunn.
<b>4 – Good</b>	Watch List Items and/or Observations were identified that may or may not result in risks and/or issues.
<b>3 – Average</b>	Many low-severity risks/issues, a few medium-severity risks/issues, and/or one high-severity risk/issue was/were identified by BerryDunn and not logged in the EFS Project’s risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.
<b>2 – Fair</b>	Many medium-severity risks/issues and/or a few high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project’s risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.
<b>1 – Poor</b>	Many medium-severity risks/issues and/or many high-severity risks/issues were identified by BerryDunn and not logged in the EFS Project’s risk/issue log and/or lessons learned repository—or have been logged but the plans to address them are not resolving them.

Table 6-2 below illustrates the overall ratings for the EFS Project that BerryDunn used to determine the overall health of the EFS Project, and the corresponding rating definitions, for each Monthly IV&V Status Report. The overall health rating of the EFS Project reflects the average of the individual ratings for all the EFS Project Critical Components ratings.

**Table 6-2: EFS Project Overall Health Ratings and Related Definitions**

Rating	Definition
<b>5.0 – 4.5</b>	Excellent health
<b>4.5 – 4.0</b>	Good health
<b>4.0 – 3.0</b>	Average health
<b>3.0 – 2.0</b>	Fair health
<b>2.0 – 1.0</b>	Poor health

Table 6-3, below, provides definitions for risk and issue (and all risk/issue-related definitions—i.e., impact, probability, and severity), watch list item, observation, and lessons learned perspectives that BerryDunn used to identify and rate findings for each Monthly IV&V Status Report.

**Table 6-3: Finding-Related Definitions**

Term	Definition
<b>Risk</b>	An uncertain event or condition that, if it occurs, has a positive or negative effect on one or more EFS Project objectives. A risk is therefore an event or condition that might occur in the future.
<b>Issue</b>	An event or condition that is occurring in the EFS Project and having a negative effect on its objectives, standards, and/or requirements. An issue is therefore an event or condition that is currently occurring.
<b>Impact</b>	The effect that a risk will have on the EFS Project if it occurs or the effect that an issue is having on the EFS Project.
<b>Probability</b>	The likelihood of risk impact occurring on the EFS Project.
<b>Severity</b>	A measurement of an EFS Project risk (that considers the impact and probability) or issue that demonstrates the potential or actual effect on the EFS Project.
<b>Observation</b>	An event or situation in the EFS Project that might be noteworthy. Should the event or situation continue to occur, the observation might then be escalated and recorded as a watch list item.
<b>Watch List Item</b>	An event or situation in the EFS Project that might warrant monitoring to determine its potential impact (if any). These events or situations should be scrutinized and analyzed to determine if the item might need escalation to a risk or an issue, or if the watch list item resolves on its own.
<b>Lessons Learned Perspective</b>	Additional perspective(s) from BerryDunn on the EFS Project’s lessons learned, including recommendations/guidance/considerations.

Table 6-4 below provides definitions for the different levels of risk impact ratings that BerryDunn used for each Monthly IV&V Status Report.

**Table 6-4: Risk Impact Rating Definitions**

Risk Impact Rating	Definition
<b>5 – Severe</b>	Very significant impact on the EFS Project.
<b>4 – Significant</b>	Significant impact on the EFS Project.
<b>3 – Moderate</b>	Some impact in key areas of the EFS Project.
<b>2 – Minor</b>	Minor impact overall on the EFS Project.
<b>1 – Slight</b>	Minor impact on secondary areas of the EFS Project.

Table 6-5 provides definitions for the different levels of risk probability ratings that BerryDunn used for each Monthly IV&V Status Report.

**Table 6-5: Risk Probability Rating Definitions**

Risk Probability Rating	Definition
5	Near Certainty (80% – 100%)
4	Highly Likely (60% – 80%)
3	Likely (40% – 60%)
2	Unlikely (20% – 40%)
1	Remote (0% – 20%)

The Risk Severity Matrix in Table 6-6 illustrates the method BerryDunn used to determine risk severity (i.e., probability rating multiplied by impact rating), for any risks BerryDunn identified for each Monthly IV&V Status Report.

**Table 6-6: Risk Severity Matrix**

Risk Severity Level (Probability x Impact)					
Probability	Impact				
—	1 – Slight:	2 – Minor:	3 – Moderate:	4 – Significant:	5 – Severe:
1 – Remote:	1 – Low	2 – Low	3 – Low	4 – Low	5 – Medium
2 – Unlikely:	2 – Low	4 – Low	6 – Medium	8 – Medium	10 – Medium
3 – Likely:	3 – Low	6 – Medium	9 – Medium	12 – Medium	15 – High
4 – Highly Likely:	4 – Low	8 – Medium	12 – Medium	16 – High	20 – High
5 – Near Certainty:	5 – Medium	10 – Medium	15 – High	20 – High	25 – High

Table 6-7 on the following page provides common attributes for the different levels of risk severity ratings (from Table 6-6 above) that BerryDunn used for each Monthly IV&V Status Report.



**Table 6-7: Risk Severity Rating Common Attributes**

Risk Severity Value	Risk Severity Rating	Common Attributes
15 – 25	High	<ul style="list-style-type: none"> <li>Major disruption to EFS Project likely</li> <li>Change in EFS Project approach required</li> <li>Mitigation to EFS Project risk required</li> <li>Management attention toward EFS Project risk required</li> </ul>
5 – 12	Medium	<ul style="list-style-type: none"> <li>Some disruption in EFS Project</li> <li>Consider an alternative EFS Project approach</li> <li>Mitigation to EFS Project risk recommended</li> <li>Management attention toward EFS Project risk recommended</li> </ul>
1 – 4	Low	<ul style="list-style-type: none"> <li>Minimal disruption to EFS Project likely</li> <li>Oversight required to help ensure EFS Project risk remains Low</li> <li>Mitigation to EFS Project risk may not be necessary</li> <li>Monitor the EFS Project risk</li> </ul>

Table 6-8, below, provides common attributes for the different levels of issue severity ratings that BerryDunn used for each Monthly IV&V Status Report.

**Table 6-8: Issue Severity Rating Common Attributes**

Issue Severity Rating	Common Attributes
High	<ul style="list-style-type: none"> <li>Major disruption to EFS Project occurring</li> <li>Change in EFS Project approach required</li> </ul>
Medium	<ul style="list-style-type: none"> <li>Medium disruption to EFS Project occurring</li> <li>Consider an alternative approach in remediating EFS Project issue</li> </ul>
Low	<ul style="list-style-type: none"> <li>Minimal disruption to EFS Project occurring</li> <li>Oversight required of EFS Project issue</li> <li>Remediation tasks recommended to help ensure EFS Project issue impact remains Low</li> </ul>

## 7.0 Appendix C: Sample Deliverable Quality Checklist

Table 7-1 illustrates a sample format either invenioLSI can use as a starting point for developing checklists to help address quality control issues or the State can use to provide direction and alignment on quality expectations with third parties involved in the delivery of any EFS Project deliverables. BerryDunn recommends applying any additional universally applicable expectations that have been issues to date and/or are spelled out as part of contractual agreements with the State. BerryDunn recommends the EFS Project consider using the below checklist as a starting point to use when communicating deliverable expectations. These checklist items are intended to be applicable to more EFS Project deliverables and can be supplemented with deliverable-specific considerations.

**Table 7-1: Universal Project Deliverable Review Checklist**

Deliverable Review Area	Overall Purpose for Assessing Deliverable Review Area	Date and Signature of invenioLSI's Internal QA Review	EFS Project's Determination on Whether Deliverable Review Areas Have Been Met [Y/N]	Comments/Reason for Not Meeting Deliverable Review Area
<b>Completeness</b>	<ul style="list-style-type: none"> <li>▲ Are all expected documents included and complete?</li> <li>▲ Are all expected sections within documents included and complete?</li> </ul>			
<b>Clarity</b>	<ul style="list-style-type: none"> <li>▲ Is the deliverable purpose clear?</li> <li>▲ Is the content clearly written and presented?</li> </ul>			
<b>Submission Format</b>	<ul style="list-style-type: none"> <li>▲ Are the documents readily accessible to the reviewers (e.g., named clearly and correctly, and in a common file format)?</li> <li>▲ Is the content, including diagrams, legible?</li> </ul>			

Deliverable Review Area	Overall Purpose for Assessing Deliverable Review Area	Date and Signature of invenioLSI's Internal QA Review	EFS Project's Determination on Whether Deliverable Review Areas Have Been Met [Y/N]	Comments/Reason for Not Meeting Deliverable Review Area
	<ul style="list-style-type: none"> <li>▲ Is the document free of basic spelling, grammatical, and formatting errors?</li> </ul>			
<b>Consistency</b>	<ul style="list-style-type: none"> <li>▲ Is the content consistent within the document and between related documents?</li> <li>▲ Is the content provided at a consistent level of detail within and between documents?</li> </ul>			
<b>Comprehensiveness</b>	<ul style="list-style-type: none"> <li>▲ Is the material presented at the expected level of detail given the phase of the project?</li> <li>▲ Does the content include inputs from all relevant sources such as existing system documentation, federal guidance, and the RFP?</li> <li>▲ Does the approach follow best practices and industry standards?</li> </ul>			
<b>Accuracy</b>	<ul style="list-style-type: none"> <li>▲ Is the material accurate based on State business and project needs?</li> </ul>			
<b>Contractual Compliance</b>	<ul style="list-style-type: none"> <li>▲ Does the deliverable satisfy the RFP and/or contractual requirements?</li> </ul>			
<b>Regulatory Compliance</b>	<ul style="list-style-type: none"> <li>▲ Is the deliverable consistent with State and federal regulations and guidance?</li> </ul>			

Deliverable Review Area	Overall Purpose for Assessing Deliverable Review Area	Date and Signature of invenioLSI's Internal QA Review	EFS Project's Determination on Whether Deliverable Review Areas Have Been Met [Y/N]	Comments/Reason for Not Meeting Deliverable Review Area
	▲ Is traceability to State and federal laws, regulations, and guidance demonstrated?			