

DAVID Y. IGE  
GOVERNOR



**DEPT. COMM. NO. 012**  
DOUGLAS MURDOCK  
CHIEF INFORMATION  
OFFICER

**OFFICE OF ENTERPRISE TECHNOLOGY SERVICES**

P.O. BOX 119, HONOLULU, HAWAII 96810-0119  
Ph: (808) 586-6000 | Fax: (808) 586-1922  
ETS.HAWAII.GOV

December 11, 2020

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

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

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

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

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

Sincerely,

  
Douglas Murdock (Dec 17, 2020 17:21 HST)

Douglas Murdock  
Chief Information Officer  
State of Hawai'i

Attachment (2)



# Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report  
for Reporting Period: November 1 - 30, 2020

*Submitted: December 10, 2020*

# Overview

---

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



Solutions that Matter

The background is a solid blue color. It features several abstract geometric elements: a cluster of overlapping squares and rectangles in various shades of blue (light, medium, and dark) in the upper-left corner; a single light blue square with a thin white border in the center-left, partially overlapping the text; and a series of squares and rectangles in the lower-right corner, some connected by thin white lines, suggesting a flow or process. The overall aesthetic is clean and modern.

# Executive Summary




# Executive Summary



The BES Project achieved a significant milestone in November with the completion of Release 0.1 deliverables, marking the conclusion of the first BES release. Several other BES releases were in progress and change requests were researched and/or estimated during this reporting period. Little change occurred to the project risks and issues; IV&V's research of preliminary concerns reported last month continued.











The ASI continued to update the project schedule and add new activities and tasks. Development and review of the architecture deliverables continued. Data conversion activities and the development of the Security Plan are behind schedule, posing a risk to the project if re-work is required to align the BES application code to the approved deliverables. The development team reported to be on schedule with one exception (SSP), which the ASI is planning to resolve with additional staff. The ASI is planning to provide a proposal to DHS that will align the (Waterfall) project deliverable process to an Agile Development approach.

DHS staffing continues to pose a significant risk to the project due to the high-demand on the BESSD operational staff to support the influx of applications due to COVID-19 and the diversion of staff to non-project work. The effectiveness of actions taken to improve communications and engage BESSD SMEs with the development team has yet to be determined. As of the end of this reporting period, DHS staffing, the Project Schedule and ongoing communications are the significant risks to the project.

Sept	Oct	Nov	Category	IV&V Observations
			Project Management	High-criticality risks in the Project Management category include the Project Schedule, communications and DHS staffing. DHS has provided new resources to serve as the Product Owners for the key components of the system however, more staff are needed to support the multiple BES releases in progress.

# Executive Summary



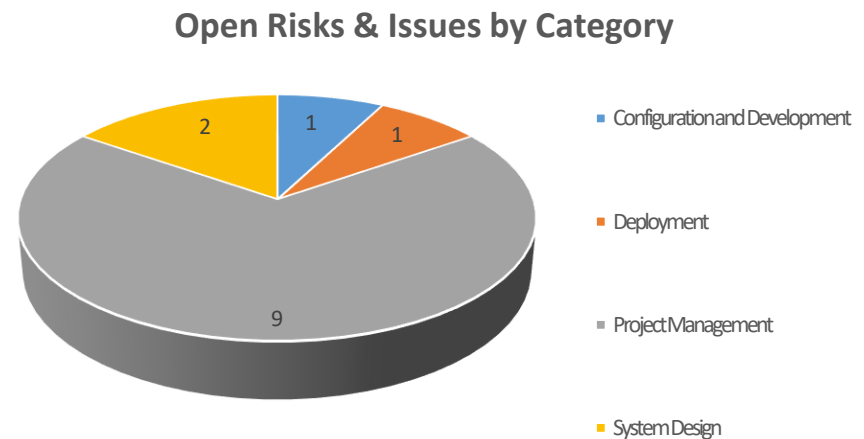
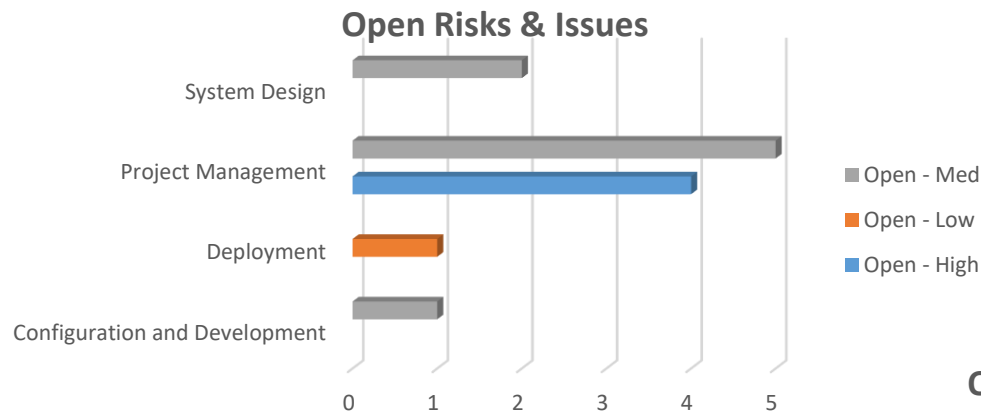
Sept	Oct	Nov	Category	IV&V Observations
			System Design	No major change to the System Design category in this reporting period; the draft architecture deliverables were made available to the project team and the weekly architecture project meetings continued.
			Deployment	There were no material changes to this category in this reporting period. The Lessons Learned activity for Release 0.2 is scheduled to occur in December 2020.
	N/A	N/A	Requirements Analysis & Management	There are no open findings in this category.
			Configuration and Development	The project team continued to gain a better understanding of the ASI's development approach, specifically during Release 0.2 UAT and data conversion meetings. The ASI is planning to provide additional training to the project team on the tool set to enhance the team's understanding of the data and reports available in the tools.

# IV&V Findings and Recommendations

# IV&V Findings and Recommendations



As of the October 2020 reporting period, PCG is tracking 13 open findings (6 risks and 7 issues) and has retired a total of 40 findings. Of the 13 open findings, 9 are related to Project Management, 2 in System Design and 1 each in Configuration and Development, and Deployment.

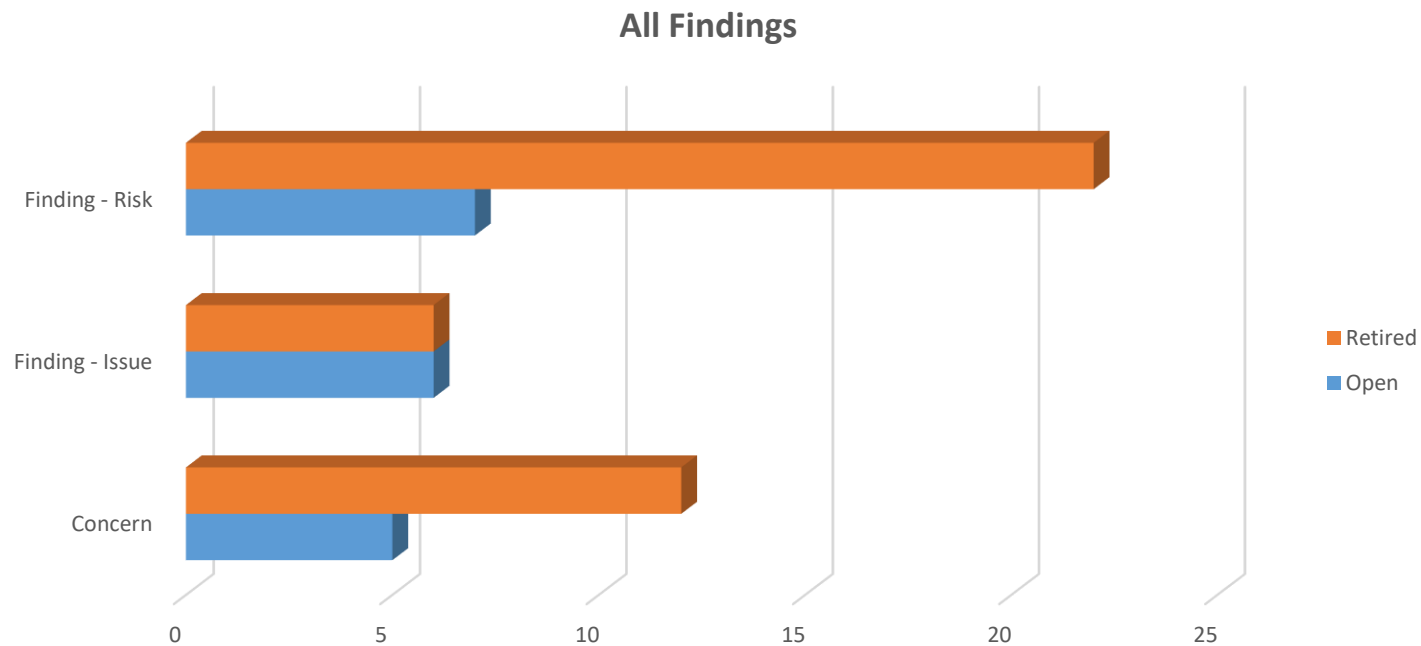




# IV&V Findings and Recommendations



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



# IV&V Findings and Recommendations



## Findings Opened During the Reporting Period

#	Finding	Category
	No new risks or issues were opened during this reporting period.	

# IV&V Findings and Recommendations



## Findings Retired During the Reporting Period

#	Finding	Category
	No findings were retired during this reporting period.	

# IV&V Findings and Recommendations



## Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
55	<b>Test case creation without functionality acceptance from JAD/JAR sessions.</b> IV&V is researching how the JAD results, including acceptance criteria, relate to use cases and testing processes. As reported last month, the ASI indicated they may resend the JAD documentation to all JAD participants and work with DHS to revisit/update the BES design decision process. IV&V will follow-up with DHS and the ASI on this topic during the next reporting period.	Project Management
58	<b>The data conversion effort lacks leadership, consistency in data governance, and effective communications.</b> IV&V noted some improvement in the management of the data conversion effort during November. The project schedule has been updated with more detailed tasks and activities for the R0.4 data conversion effort, which should support timely completion of this activity. IV&V notes that the ASI held a joint session with DHS and IV&V in November to review and discuss outstanding questions on the management of the data conversion effort. IV&V will continue to monitor this finding in December.	Project Management
59	<b>The Project's Critical Path does not include release / functionality dependencies.</b> The Project's Critical Path does not include release / functionality dependencies, resulting in most tasks and activities not being on the critical path until R0.6. This concern was discussed with DHS and the ASI, who took an action item to assess and provide a plan of action by 10/27/20, which was subsequently extended to (11/10/20), then planned for discussion as part of Release 0.4 Kick-off. Questions remain on specific changes the ASI may apply.	Project Management

# IV&V Findings and Recommendations




## Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
60	<b>Integration of the BES Modules (CMM, FMM, SSP) is planned for later releases vs. continuously integrating the modules within each release.</b> The Release 0.4 kick-off confirmed plans to begin integrating SSP (BES and KOLEA) and CMM (IRS, MDM and various others via API) interfaces with their respective modules but does not include the integration of the modules themselves. It is unclear when an end-to-end solution will be demonstrated. IV&V continues to recommend an integrated end-to-end solution as early as possible. If integration slips past Release 0.4 the project is at risk of on-time completion.	Integration and Interface Management
61	<b>New: Poorly planned/executed JAD sessions may lead to gaps in system design, resulting in rework and schedule delays.</b> The CMM Workflow JAD sessions restarted in November. DHS indicated some concern regarding the CMM Workflow JAD sessions, specifically: (1) Do the JAD participants understand how the Case will be managed through workflow? (2) What improvements will be made in the new BES to support the users and clients? Incomplete or unclear JAD sessions with insufficient documentation could lead to a poor design, lacking the details needed to support business requirements; as well as missing opportunities to improve workflow and related system design.	System Design

# IV&V Findings and Recommendations



## Project Management

#	Key Findings	Criticality Rating
2	<p><b>Issue – Late Delivery of project deliverables may result in schedule delays.</b></p> <p>No material change to this finding in November. The BI-5 Project Schedule continued to be updated to include new tasks and outstanding action items remain that are expected to impact the schedule. Some work products and deliverables were delivered on-time and some late. The Project Action Item (#1041) to discuss the trend of schedule delays remains in an open status. IV&amp;V retains this as a high-criticality rating as the project moves into releases that increase in scope and complexity.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>Prior to acceptance of the new baseline, finalize the needed updates to the project schedule to address the outstanding items/issues identified by DHS, the ASI, and IV&amp;V.</li></ul>	In process
<ul style="list-style-type: none"><li>IV&amp;V recommends the project team evaluate the estimating process to determine if changes should be made to reduce the number of late tasks and/or conduct a root cause analysis to determine and address the root cause(s).</li></ul>	Not started

# IV&V Findings and Recommendations



## Project Management

#	Key Findings	Criticality Rating
29	<p><b>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.</b></p> <p>The weekly architecture meetings continue to improve attendee understanding of infrastructure changes introduced, or planned to be introduced, in BES. Given the number of new technology/tools/platforms that are being introduced, the impact on the development team and their ability to quickly adopt the tools to improve overall productivity is unclear.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>The ASI should continue to document the architectural details in the BI-12 System Architecture Deliverable and if possible, review draft content with DHS and IV&amp;V.</li></ul>	In process
<ul style="list-style-type: none"><li>DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.</li></ul>	Complete
<ul style="list-style-type: none"><li>The project should vet possible architectural change impacts to the platform, M&amp;O, MQD, and BES systems before finalizing architectural decisions.</li></ul>	In process
<ul style="list-style-type: none"><li>Communication should be improved to create an awareness of possible architecture changes so that they can prepare for the possibility of a change. For example, if there is a possibility that the platform could change then analysis/design could focus on platform agnostic design and avoid extensive efforts in refining a platform specific design.</li></ul>	In process
<ul style="list-style-type: none"><li>Establish processes to ensure regular communication between the architecture team and the rest of the project team to assess impacts of architecture decisions to the project.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management

#	Key Findings	Criticality Rating
42	<p><b>Risk – Project delays and disruption in DHS operations may occur if ASI communications with DHS regarding key (urgent/time sensitive) project information does not improve.</b></p> <p>The project continues to experience communication issues. Examples that occurred during this reporting period include:</p> <ul style="list-style-type: none"><li>• DHS was not aware that data will be converted on a release-by-release basis. Although this approach was documented in the Data Conversion Plan, it was not fully understood by DHS.</li><li>• During prototype reviews there were several instances where the participants indicated the prototype did not reflect feedback provided during JAD sessions.</li></ul>	

Recommendations	Progress
<ul style="list-style-type: none"><li>• Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule. For example, notifications in preparation for release activities.</li></ul>	In process
<ul style="list-style-type: none"><li>• DHS work with the ASI to remove barriers of communication between the DHS stakeholders and the development team.</li></ul>	Not started
<ul style="list-style-type: none"><li>• ASI increase dialog with the DHS project team individuals instead of relying on formal meetings to inform and discuss project topics. Update the project communications plan with enhanced communication processes.</li></ul>	In process



# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
43	<p><b>Issue - Due to key DHS and BES Project Team members departing and/or transitioning from the project, succession planning and knowledge transfer is needed to ensure there are no gaps in knowledge and leadership on the project.</b></p> <p>DHS has identified additional part time BESSD staff to fulfill the Product Owner role. DHS is planning to establish roles and responsibilities for the new team members and will continue to pursue additional staff to support the project and minimize risk</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>The state should develop a transition plan for the project and PMO resources as identified in the RFP, which includes DHS PMO and DHS DDI resources (reference RFP section 3.4.3 'DHS Staffing'). It should also include possible project resource impacts considering the COVID-19 economic impacts to the State.</li></ul>	In process
<ul style="list-style-type: none"><li>DHS Continue to identify BESSD SME's to support the project.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
47	<p><b>Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.</b></p> <p>Despite BESSD's limited capacity due to the increased COVID-19 workload, BESSD provided resources to support and participate in the recent Workflow JADs. IV&amp;V remains concerned that potential State-wide furloughs could further reduce BESSD's ability to support product efforts.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>Ramp up efforts to setup, train, and assist stakeholders on remote work devices and tools and make every effort to help them to become highly functional with remote access technology (e.g. MS Teams/Skype).</li></ul>	In process
<ul style="list-style-type: none"><li>Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources.</li></ul>	In process
<ul style="list-style-type: none"><li>Update the OCM Plan to include any new activities or updates to planned activities to aid the organization through this COVID-19 pandemic in the short and long term.</li></ul>	In process
<ul style="list-style-type: none"><li>Explore options for freeing up key BESSD SME's work on the project.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
48	<b>Risk – The CMS Outcomes-Based Certification Requirements have not been published by CMS, which may impact the project schedule and funding.</b> No material update this month, IV&V will continue to monitor.	

Recommendations	Progress
<ul style="list-style-type: none"><li>DHS to continue dialogue with CMS regarding the project's approach to OBC and MITA alignment to ensure all CMS requirements are met by the BES Project.</li></ul>	In process

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
49	<p><b>Issue – Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.</b></p> <p>The ASI submitted multiple deliverables during November, spanning all active releases. Improvements in document quality were inconsistent. The project has extended the timeframe for anticipated resolution of this issue until the end of the calendar year.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>IV&amp;V recommends that a facilitated root cause analysis be performed by the ASI with DHS and IV&amp;V in attendance. Quality issues are rarely generated by a single entity in a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IV&amp;V recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables.</li></ul>	In process
<ul style="list-style-type: none"><li>IV&amp;V recommends that the ASI review the Quality Management Plan to ensure that the project is working within the Quality guidelines. In particular, the ASI should evaluate and consider if it is in alignment with Section 3.1.2 Measure Project Quality, which states “ASI measures process and product quality by 1) selecting BES implementation process and product attributes to measure; 2) selecting component activities to measure; 3) defining value scales for each component activity; 4) recording observed activity values; and 5) combining the recorded attribute values into a single number called a process quality index.” IV&amp;V has not seen evidence indicating the ASI is utilizing metrics to measure its process and product quality.</li></ul>	Not started

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
54	<p><b>Risk – Poorly planned and executed UAT could lead to implementation delays and delivery of a solution that may not meet all business needs.</b></p> <p>As reported last month, IV&amp;V continued to see positive collaboration between the ASI and DHS during the final stages of Release 0.2 UAT. There are several defects that were noted as design changes at the conclusion of UAT cycle. The ASI and DHS are developing a process to validate the final disposition and determine how these defects/design changes will be addressed in future releases.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>The ASI further develop the action plan to include owners and target complete dates. Report progress in the weekly status meeting.</li></ul>	In process
<ul style="list-style-type: none"><li>All agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution.</li></ul>	In process
<ul style="list-style-type: none"><li>The ASI could conduct a debrief meeting with DHS after SIT and UAT have completed, summarizing work completed and follow-up actions required from ASI and DHS.</li></ul>	Not started

# IV&V Findings and Recommendations



## Project Management


#	Key Findings	Criticality Rating
57	<p><b>Risk – Roles and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team is not clear.</b></p> <p>Although the project team updated the Product Owner/Manager matrix (including a version that included eWorld, Unisys, and DHS), further improvement in communication/engagement levels during DDI is needed, per DHS. The matrix has not yet been updated with roles and responsibilities, nor is there an updated Communication Plan to support the revised model.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>Update the Communication Plan to support the revised Product/Owner/Manager matrix.</li></ul>	In process
<ul style="list-style-type: none"><li>DHS and the ASI clearly define the staff assigned and the roles and responsibilities of the ASI Product Managers and Product Owners.</li></ul>	In process
<ul style="list-style-type: none"><li>DHS consider adding staff to the project team with 'deep' BESSD business knowledge to work hand-in-hand with the product owners and development team.</li></ul>	In process

# IV&V Findings and Recommendations



## Configuration and Development


#	Key Findings	Criticality Rating
16	<p><b>Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of all SDLC Processes.</b></p> <p>The ASI's subcontractor has stated they have transferred their ALM tool data to the ASI's ALM instance, however, the ASI has yet to validate that all information has been transferred. Until this transfer occurs, DHS will have limited visibility into ASI development progress, cadence, and overall SI subcontractor productivity. The ASI has yet to clarify DHS utilization of ALM tools, data conversion activities, and how designating ASI resources as product owners can ensure their design decisions fully meet DHS needs and expectations.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>ASI provide DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand; the materials could be made available via the project SharePoint.</li></ul>	Not started
<ul style="list-style-type: none"><li>Encourage ASI and DHS testers to consistently collaborate during SIT and UAT activities.</li></ul>	In process

# IV&V Findings and Recommendations



## System Design

#	Key Findings	Criticality Rating
38	<p><b>Issue – Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessions, the project could be faced with significant design rework, which may result in schedule delays, and impact the quality of solution design.</b></p> <p>The project began the CMM Workflow JAD sessions with multiple BESSD SME's in attendance this month. However, it remains unclear if all instances of functionality that could benefit from workflow have been identified. Further, DHS and IV&amp;V have observed that some JAD sessions productivity was less than optimal as the SI struggled at times to elicit information from DHS given the amount of time that has passed, the content from the previous JAD sessions may not have been thoroughly documented, and some SI BA's that led previous sessions are no longer with the project. Therefore, IV&amp;V is updating this finding from a risk to an issue.</p>	
Recommendations		Progress
• ASI to quickly define how the workflow/task functionality will flow and provide training to the facilitators.		Not started
• Introduce Workflow SME's to review workflow/task functionality and integrate into systems designs with input from DHS.		Not started



# IV&V Findings and Recommendations



## System Design

#	Key Findings	Criticality Rating
53	<p><b>Issue – The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.</b></p> <p>The architecture team continues to make progress on documentation and feedback incorporation. The Physical architecture document is complete and the comments from the architecture overview chapter have been addressed. The FMM/CMM SSO and API management architecture and documentation is currently in progress and review of the Shared Services and CMM architecture is underway. IV&amp;V will continue to attend weekly architecture meetings to monitor outstanding architectural decisions and any impact they may have on the project schedule.</p>	

Recommendations	Progress
<ul style="list-style-type: none"><li>Recommend completing and approving the BI-12 System Architecture deliverable prior to development of source code.</li></ul>	In process
<ul style="list-style-type: none"><li>If completing the BI-12 deliverable prior to development of code is not possible for any reason, ensure that all portions of the architecture that are directly or indirectly related to the source code development efforts, standards, and processes be submitted for approval by DHS in draft form prior to code development, and subsequently followed up with final completion of BI-12 in accordance with the project schedule.</li></ul>	In process

# IV&V Findings and Recommendations



## Deployment

#	Key Findings	Criticality Rating
40	<p><b>Risk - The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.</b></p> <p>As of the end of November:</p> <ul style="list-style-type: none"><li>• Release 0.1 has been completed</li><li>• Release 0.2 UAT is complete and deliverables are in progress</li><li>• Release 0.3 development is continuing and draft deliverables are being developed</li><li>• Release 0.4 held its kickoff event.</li></ul> <p>Release planning continues to need to account for the deliverables associated with a release in addition to the software development activities within the planned duration and timeframes of any given release. IV&amp;V has seen some improvement in the management of releases and will continue to monitor as the releases get significantly larger and more complex from Release 0.4 through Release 0.6.</p>	

Recommendations	Progress
• Assign a Release Manager to manage all details of planned releases.	Complete
• Develop a Release Plan document for each release, that provides details of the planned release and all associated configuration items, clear assignments for all staff involved in all tasks, a schedule for completion of all tasks and activities, planned release status communications, and back out procedures should they be necessary.	In process
• Ensure that release planning includes all deliverables within a release, in addition to the software development efforts.	In process
• Update the Release 0.1 Lessons Learned action plan to include owners and due dates.	In process



# IV&V Status

# IV&V Engagement Status



IV&V Engagement Area	Sept	Oct	Nov	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				PCG submitted the final October IV&V Monthly Status Report. PCG provided DHS an Updated IV&V Plan and Org Chart
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				The first quarterly CMS Eligibility and Enrollment (E&E) IV&V Progress Report is on hold until IV&V and DHS determine the appropriate time to submit the report.
CMS Milestone Reviews				The first CMS Milestone Review date has not yet been determined.
IV&V Staffing				
IV&V Scope				PCG developed and presented an overview of the FNS and CMS Requirements to secure BES Federal Funding to the DHS PM staff.
Engagement Rating Legend				
The engagement area is within acceptable parameters.		The engagement area is somewhat outside acceptable parameters.		The engagement area poses a significant risk to the IV&V project quality and requires immediate attention.



- IV&V activities in the November reporting period:
  - Completed – October Monthly Status Report
  - Ongoing – Review the BES Project Artifacts and Deliverables
  - Ongoing – Attend ASI project meetings, (see [Additional Inputs](#) pages for details)
  - Reviewed available ASI Original Contract and BES Optimization contract amendment documentation
- Planned IV&V activities for the December reporting period:
  - Ongoing – Observe BES Development, JAD and Workgroup sessions as scheduled
  - Ongoing – Observe Weekly Project Status meetings
  - Ongoing – Observe Weekly Architecture meetings
  - Ongoing – Observe Weekly/Monthly Security meetings
  - Ongoing – Observe Agile Development meetings
  - Ongoing – Monthly IV&V findings meetings with the ASI
  - Ongoing – Monthly IV&V Draft Report Review with DHS, ETS and ASI
  - Ongoing – Participate in weekly DHS and IV&V Touch Base meetings
  - Ongoing – Review BES artifacts and deliverables

# Deliverables Reviewed



Deliverable Name	Deliverable Date	Version
BI-12 Physical Architecture Chapter	11/12/2020	Draft (1.7)
BI-22b Release 0.2 UAT Evaluation Report	11/17/2020	Draft (0.2)
BI-10 Release 0.3 SSP - Application Management	10/30/2020	Draft
BI-12 System Audit Architecture	11/16/2020	1.3
BI-12 Architectural Overview - Resubmission	11/17/2020	1.3
BI-21 R0.2 Updated and Completed Detailed F&T RTM Resubmission	11/12/2020	1.6
BI-17 – Validated Results of Data Conversion Testing Release 0.2 - Resubmission	11/10/2020	1.4
BI-14 Release 0.2 Technology Design Documents SSP - Resubmission	11/6/2020	1.7
UI Standards Release 0.1 - Resubmission	11/6/2020	1.3
BI-12 System Architectural Overview	11/2/2020	1.0
BI-12 System Audit Architecture	11/2/2020	1.0
BI-21 R0.2 Updated and Completed Detailed F&T RTM - Resubmission	11/2/2020	1.3

# Deliverables Reviewed - Continued



Deliverable Name	Deliverable Date	Version
BI-12 Shared Services Chapter	11/9/2020	1.3
BI-12 CMM System Architecture	11/18/2020	0.3
BI-10 Release 0.3 CF - Alerts and Notifications	11/24/2020	1.0
BI-12 Physical Architecture Chapter	11/24/2020	1.0
BI-12 Architectural Overview - Resubmission	11/24/2020	1.6
BI-10 Release 0.3 OPA – Food and Financial Rules Management	11/25/2020	0.1
BI-22b Release 0.2 UAT Evaluation Report	11/30/2020	1.0

# Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
2019-11-22 HI Test Plan - FNS Comments.xlsx	11/22/2019	N/A
FNS Handbook 901	01/2020	V2.4
BES Risks and Issues Log	11/03/2020 11/10/2020 11/17/2020 11/24/2020	BES Risks and Issues Log





## Meetings and/or Sessions Attended/Observed:

1. BES Daily UAT Huddle (Multiple throughout the month)
2. R0.3 Common Functions: Prototype Review (11/02/2020)
3. PCG Internal BES Project Meetings x9 (11/02/2020, 11/05/2020, 11/09/2020, 11/11/2020, 11/12/2020, 11/16/2020, 11/17/2020, 11/23/2020, 11/20/2020)
4. BES R0.3 Prototype Review - SEC: Single Sign On (11/04/2020)
5. BESSD PM Team, IV&V Weekly Meeting x3 (11/04/2020, 11/18/2020, 11/25/2020)
6. BES Status Meetings x3 (11/04/2020, 11/18/2020, 11/25/2020)
7. BES Schedule Review Meetings x3 (11/10/2020, 11/17/2020, 11/24/2020)
8. BES DHS DDI Architecture Review Meeting x3 (11/10/2020, 11/17/2020, 11/24/2020)
9. BES Functional Meeting x3 (11/20/2020, 11/17/2020, 11/24/2020)
10. BES Data Conversion Meetings x3 (11/05/2020, 11/06/2020, 11/17/2020)
11. BES CCB Meeting (11/04/2020)
12. BES Implementation Planning Meeting x3 (11/6/2020, 11/16/2020, 11/30/2020)
13. R0.3 SSP Prototype Review x2 (11/09/2020, 11/23/2020)
14. ASI Touch Base (11/12/2020)
15. DHS/ASI IV&V Monthly Report Meeting (11/10/2020)
16. BI-22 Review Meetings x2 (11/04/2020, 11/05/2020)
17. BI-10 R0.3 SSP Application Management Walkthrough x4 (11/02/2020, 11/05/2020, 11/12/2020, 11/19/2020)
18. BES UAT Weekly Meeting (11/05/2020)
19. BI-10 R0.3 CMM-OPA Prototype Review (11/10/2020)
20. BES Dev Stand Up x3 (11/04/2020, 11/11/2020, 11/25/2020)
21. Release 0.4 Kickoff (11/17/2020)
22. BES Workflow JADs x3 (11/18/2020, 11/19/2020, 11/24/2020)
23. BI-22b R0.2 Walkthrough (11/19/2020)

# Additional Inputs - Continued

---



## **Meetings and/or Sessions Attended/Observed:**




- 24. DHS PM/IV&V – CMS OBC Check-in (11/09/2020)
- 25. Executive Steering Committee Meeting (11/19/2020)
- 26. Enterprise Operations Meeting (11/24/2020)
- 27. BES Monthly Sprint Demo (11/20/2020)
- 28. BES Offshore Access Meeting (11/5/2020)
- 29. Introduction to the Unisys CFSO (11/19/2020)
- 30. Weekly Platform Security Status Meeting x2 (11/5/2020, 11/19/2020)

The background is a solid blue color. It is decorated with several abstract geometric shapes. On the left side, there are several squares and rectangles of varying sizes and shades of blue, some with white outlines. On the right side, there are more squares and rectangles, some with white outlines, and a few thin white lines that suggest a larger, partially visible structure. The overall aesthetic is modern and minimalist.

# Appendices



# Appendix A – IV&V Criticality Ratings

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

# Appendix B – Findings Log

---



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

# Appendix C – Acronyms and Glossary



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



# Appendix C – Acronyms and Glossary

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

# Appendix C – Acronyms and Glossary

---



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



# Appendix D – Background Information



## Systems Modernization Project

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

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

## Systems Modernization IV&V Project

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

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

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

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

# Appendix D – Background Information



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

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

## PCG's Eclipse IV&V® Technical Assessment Methodology

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

## IV&V Assessment Categories for the BES Project

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



**Solutions that Matter**

Finding Number	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments
61	Poorly planned and executed JAD sessions could lead to gaps in system design, requiring rework and causing schedule delays.	Brad	Concern	11/30/2020	System Design	As-is Workflow JAD sessions have been held for CIMA, with the following concerns being observed: <ul style="list-style-type: none"><li>- No clear introduction to all participants on the goal of the JAD, overview on the process and the importance of their participation.</li><li>- On many occasions the conversation needed to be driven by leading questions, as expected, but was instead led by business users.</li><li>- Too much passive time when participants did not know the answer to a question, several occasions where complete silence on the call for 30 seconds or more.</li><li>- Lack of thought leadership from the ASO as how workflow could be designed to enable/improve process for client.</li></ul>	The CMM Workflow JAD sessions initiated in November. DHS indicated some concern regarding the CMM Workflow JAD sessions, specifically: (1) the the JAD participants understand how the Case will be managed through workflow (2) What improvements will be made in the new BES to support the users and identify incomplete or unclear JAD sessions with insufficient documentation could lead to a poor design, lacking the details needed to support business requirements, as well as missing opportunities to improve workflow and related system design.	JAD sessions should be lead by experienced senior BA's. JAD sessions should start by clarifying the goals of JAD, as well as how the process will work and expectations of the participants. The facilitator should ask their expertise to drive discussions through leading questions. Questions that are not addressed in the session should be captured and documented as follow-up action item with owners and due dates. Summary of results captured during sessions should be sent out to participants for review within a few days of session's completion	ASAP	4	4	Med	Open		11/30/2020 - The Release 0.4 kick-off confirmed plans to begin integrating SP5 (BES and Kolan) and CMM (HS, MCM) and various other via API interfaces with their respective modules for Dev not include the integration of the modules themselves. It is unclear when an end-to-end solution will be demonstrated. IVV continues to recommend an integrated end-to-end solution as early as possible, if integration slips past Release 0.4 the project is at an risk of time compression. 10/27/2020 - The integration between the BES modules is planned to start during release 0.4. The ASO stated they can not integrate any earlier due to integration points of the modules still in development. IVV continues to recommend an integrated end-to-end solution as early as possible, if integration slips past Release 0.4 the project is at risk of a late time completion.		
60	System integration of the BES Modules (CMM, FMA, SP5) will be developed in the later releases as a continuous integration model within each release.	John	Concern	9/30/2020	Integration and Interface Management	The BES Modules (CMM, FMA, SP5) are developed by separate teams and don't as components aren't separately with each release. Integration points between the modules are currently outdated and the ASO has yet to demonstrate integration of the modules and end-to-end functionality.	System integration has historically followed a 'big bang' model where all system components arrive simultaneously (usually towards the end of the project) resulting in a flawed and immature delivery of the system, integration is expected to occur instantaneously. In reality, a 'big bang' integration strategy results in a flawed and incomplete system test process and a system that is focused on individual components rather than system capabilities.	IVV recommends adopting a continuous integration model and enshrouding a member of the DevOps team on each development team to ensure cross team work, the integration and delivery of the BES system in its entirety. Each release demo should be a collaborative effort across all modules (end-to-end solution) and verified against system-level requirements. If the ASO needs all the remaining releases to demonstrate an end-to-end solution of the identified business processes across all modules, IVV recommends planning and communicating the mitigation strategy for handling risks associated with a 'big bang' release.	ASAP	4	4	High	Open		11/30/2020 - No changes reported for the month of November. This concern was discussed with DHS and the ASO, who took an action item to assess and provide a plan of action by 10/27/20, which was subsequently extended to 11/24/2020, then planned for discussion as part of Release 0.4 kick-off. Questions remain on specific changes that may apply. IVV will continue to monitor this finding.		
59	The Project's Critical Path does not include release / functionality dependencies.	Darren	Concern	9/30/2020	Project Management	The Project's Critical Path does not include release / functionality dependencies, resulting in most tasks and activities not being on the critical path until Release 0.6. Considerations: A Resource activities are not maintained by the ASO within the project schedule. The schedule has minimal to no dependencies between releases (work is being performed on multiple releases simultaneously). The volume of work planned to be accomplished in parallel releases increases in later releases (R2.3, R3.0, R4.0). The scope of work for Releases 0.3 through 0.6 increases significantly. The BES Optimization Kickoff presentation describes the project as having task and activity dependency relationships from one release to the next. However, releases largely 'overlap' with each other, resulting in unclear functional or other dependencies between releases.	A critical path is determined by identifying the longest stretch of dependent activities and measuring the time required to complete them from start to finish. As the project progresses with the 7 planned releases, the volume of available task time decreases in the later releases. It is potential that downstream delays in the project will impact the critical path and push the schedule, and/or cause resource reassignment concerns with little to no time to react or adjust, other than scope reduction or other DHS concessions.	IVV recommends that the ASO, DHS PMO, and BESSD collaboratively review the next level of detail showing the 'big picture', including key milestone dates for each release, the consumer overlap of releases, and resource allocations across all releases to identify potential additional risks to the project. IVV recommends that functional dependencies are considered in the critical path. IVV recommends that the ASO provides clarity as to how and why the critical path does have new tasks and activities on it until Release 0.6. IVV recommends that the ASO consider establishing a critical path for each release in addition to the critical path for the overall project schedule.	N/A	4	4	High	Open		11/30/2020 - IVV raised some improvement in the management of the data conversion effort during November. The project schedule has been updated with more detailed tasks and activities for the R0.4 data conversion effort, which should support timely completion of this activity. IVV notes that the ASO had a joint session with DHS and IVV in November to review and discuss outstanding questions on the management of the data conversion effort. IVV will continue to monitor this finding in November. 10/17/2020 - The Data Conversion effort continues to lack leadership for both the ASO and DHS, resulting in communication and decision gaps. IVV will continue to monitor this finding.		
58	The Data Conversion effort lacks Leadership, consistency in Data Governance, and effective communications.	Darren	Concern	9/30/2020	Project Management	The Data Conversion effort appears to lack leadership for both the ASO and DHS. IVV has become aware that while DHS used a Data Governance Workshop for the MCM release, it has not been active and has not been formalized for DHS. Last, the project does not have a Data Conversion Lead assigned to lead the project. DHS has stated that the ASO should lead this effort and communicate with DHS where they are needed to assist. Multiple data change activities and decisions between the ASO and DHS have flowed for several weeks, with the lack of leadership and communication suggested as the root cause. As examples, it was announced in mid-month that the R2.3 data conversion effort would result in actual conversion of data, and that the validation for R2 would be limited to being done on paper. DHS was unaware that the ASO had a plan that did not include actually converting data. IVV will continue to monitor.	Data Conversion is often considered as one of the longest and most complex tasks in a CDO project. The lack of a Project Conversion Lead, coupled with communication challenges on tasks, activities, and decisions can, and already has, led to schedule delays.	- Assign a dedicated project leader to actively manage all aspects of the Data Conversion effort. Consider a full time position until the Data Conversion effort is completed. - Investigate and resolve communication issues that are suspected to be delaying the data conversion effort. - Prioritize the conversion activities to validate the key tasks are addressed early to avoid further delays considering the complexity of the later releases. - The ASO should develop reports with metrics that accurately measure the Data Conversion progress.	04/2020	4	4	High	Open		11/30/2020 - IVV raised some improvement in the management of the data conversion effort during November. The project schedule has been updated with more detailed tasks and activities for the R0.4 data conversion effort, which should support timely completion of this activity. IVV notes that the ASO had a joint session with DHS and IVV in November to review and discuss outstanding questions on the management of the data conversion effort. IVV will continue to monitor this finding in November. 10/17/2020 - The Data Conversion effort continues to lack leadership for both the ASO and DHS, resulting in communication and decision gaps. IVV will continue to monitor this finding.		
57	Role and responsibilities of the BES "Product Owner" and communication of this role's activities with DHS and the project team is not clear.	Brad	Finding - Risk	7/22/2020	Project Management	Due to DHS staffing constraints, the ASO is filling the role of Product Owner and Product Manager, and the product manager and/or owner often make decisions that impact specific business functionality. If this role is to be filled by the ASO, knowledge of DHS' business functions is critical and strong communication channels are a must. However, IVV could not find evidence of a communication path of these discussions and decisions with DHS.	DHS and BESSD need to establish a clear communication path with the BES Product Managers and Owners to ensure the functionality required is being met.	Update the Communication Plan to support the revised Product Owner/Manager matrix. DHS and the ASO clearly define the staff assigned and the roles and responsibilities of the ASO Product Manager and Product Owners. DHS consider adding staff to the project team with 'deep' BESSD business knowledge to work hand-in-hand with the product owners/managers and development team.	04/2020	3	3	Med	Open		11/30/2020 - Although the project team updated the Product Owner/Manager matrix (including a version that included external, Univy, and DHS), further improvement in communication/engagement levels during DHS is needed, per DHS. The matrix has not yet been updated with roles and responsibilities, nor is there an updated Communication Plan to support the revised model. 10/12/2020 - DHS and IVV did not note improvement in the communication between DHS and the Product Owner/Manager in this reporting period. DHS' direct engagement with the BES development team to identify potential defects early and they avoid rework and risk to the project. DHS initiated a discussion with the ASO and are identifying changes to improve the communication. 9/30/2020 - The ASO provided a RACI chart that shows the ASO staff filling the Product Owner/Manager roles and defines three formal touch points between the ASO and DHS. While these activities show improvement, some gaps remain. Therefore, the ASO and DHS continue to work on addressing the communication gaps, which will be critical for success in later, more complex releases. 8/30/2020 - Although the ASO stated many touch points exist between DHS and the Product Owner/Manager, DHS does not confirm a level of engagement they feel is needed to properly influence/accelerate design and development processes. The complexity of BES increases with the future releases and a risk that needs a clear mitigation plan. Recently, the ASO recognized this as a risk and is taking action.	8/4/2020 - Paul Oliver and Rob Plummer. There was a 3 formal touch points for communication with BESSD and DHS PMO. The Release Preparation activities, Requirements Validation and Postnote review. The Product Owners do engage with KAT and Jessica to assist with questions or concerns as they are raised by the development team.	
55	Test Case creation without functionality acceptance from JAD/ARJ sessions.	Earl Burba	Concern	7/29/2020	Project Management	It appears that test cases are being created and executed without acceptance criteria from the design phase of the project that was provided in ARJ/ARJ sessions. As previously stated in a finding in IVV finding #18 DHS stakeholders commented an unclear approach to Design, Development, and Implementation (DDI). This may still be a concern and extending into test case creation and execution.	If stories are written without clear acceptance criteria, then the test cases may not provide full coverage to the required functionality.	P20 recommends that details resulting from JAD/ARJ sessions be provided in the Test Results documentation to help ensure that acceptance criteria that was agreed upon is met.	ASAP	4	4	High	Open		11/30/2020 - As reported last month, the ASO indicated they may need the JAD documentation to all JAD participants and work with DHS to reinvigorate the BES design decision process. IVV will follow-up with DHS and the ASO on this topic during the next reporting period. 10/24/2020 - This concern was discussed with the ASO and they indicated they may need the JAD documentation to all JAD participants and work with DHS to reinvigorate the BES design decision process. IVV will follow-up with DHS and the ASO during the next reporting period. 8/28/2020 - Continued monitoring of this concern may provide additional details regarding instances where the prototype or testing does not align with JAD/ARJ session direction. Examples of the document are 11 while discussed in JADs as being a "Google-Map" search, the solution designer requires user input of multiple parameters to find the individual being searched for. This was brought by a DHS JAD participant, who is now managing the test team for DHS. 215 entries being displayed in screens, which State has used was not an issue. 8/17/2020 - In August there were a couple of situations (gender, number of entries allowed in a search function) where it did not appear that the prototype was aligned with the JAD results. It remains unclear if the developers are using the JAD results or only focused on the requirements. IVV will continue to monitor.	8/4/2020 - Paul Oliver and Rob Plummer/ The results of the JAD sessions are the direct input to the Use Cases. IVV to schedule a session with Nicole to review open specific questions. IVV will cc Rob Plummer and Gary to work through this session with Nicole.	
54	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of solution that does not meet business need.	Brad	Finding - Risk	6/24/2020	Project Management	Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of a solution that may not meet all business needs. During this reporting period, UAT was initiated. However, several deliverables that support the UAT process were not provided and/or approved prior to UAT, which impacted DHS' ability to proceed with testing. Outstanding predecessor deliverables include: Approval of system test scripts (R0.20). Delivery and approval of system test results (R2.23). Delivery and approval of the R2.1 deliverables (R0.10, B1.14, B1.15, B1.21). The ASO plans to address this challenge, as well as other opportunities for improvement evidenced during R0.1 lessons learned during future releases. IVV notes that DHS staff will be required to enter UAT test scripts into pre-defined spreadsheets, which will be imported into Jira by the ASO. DHS staff will enter defects directly into Jira, which may necessitate a deeper level of training for use of the toolset, in addition to the demonstration previously provided by the ASO.	UAT gives DHS the chance to test the BES release using both real-world examples and those people who will be using the application day to day. It is the first stage of the implementation process conducted to ensure that system requirements meet business needs and allowing for any issues to be fixed before the system goes live. A UAT that is not comprehensive could result in defects being found post go-live, leading to expensive solution updates and reduction of user confidence in the solution.	- ASO agreed upon actions to resolve issues called out in Lessons Learned should be added to project schedule as adequate timing is provided to support UAT preparation and execution. - The ASO further develop the action plan to include target completion dates. Report progress in the weekly status meeting. - The ASO could conduct a detailed meeting with DHS after UAT and UAT have completed, summarizing work completed and follow-up actions required from ASO and DHS.	Immediately	4	3	Med	Open		10/30/2020 - The ASO provided DHS and IVV feedback on this finding via email. A subsequent conference call with the ASO, DHS BA and IVV team on 7/14/2020 was conducted to discuss the comments. 6/2/2020 - Paul/Rob: Release 3.0 have extended prep time; not starting development until mid-May. The risks is minimal since the physical architecture is the lag, not the logical. Most of the logical (software) architecture will be completed before the end of June 2020 and will be sent to DHS for their review. Revised dates will be updated next week in the schedule. Is Chevron engaged, yes and Mark C. is a collaborator? Yes, more so on the physical arch. ASO does not anticipate much DHS involvement on the software. Is OIT involved... yes, they are part of the review cycle. Have not reviewed the 0.2 drafts yet, ASO conducting internal reviews. No ASO concerns integrating the OIT staff. Yes, OIT staff are reviewing some training. ARJ/ARJ sessions. Not sure on all the details (DWH). Mark C wants a new reporting tool "Insight" (not Jappet).		
53	The System Architecture documentation is scheduled for completion after multiple releases are in development, and some releases are already completed.	John	Finding - Issue	5/21/2020	System Design	The System Architecture documentation is scheduled for completion after 5 of 7 releases are already in progress, and 2 releases completed.	The System Architecture documentation is a foundational technical document, intended to provide the standards and guidelines for all solution hardware and software components that will reside in the solution. This foundational document should be completed and agreed to prior to any code development, to ensure the code meets with the architectural principles and overall design. IVV will continue to monitor the progress of the document and ensure it is completed and agreed to prior to any code development.	- Recommend completing and approving the B-1.2 System Architecture deliverable prior to development of source code. - Completing the B-1.2 deliverable prior to development of code is not possible for any reason, since all draft portions of the architecture are already or indirectly related to the source code development efforts, standards, and processes to be submitted for approval by DHS at draft prior to code development, and subsequently provided with final completion of B-1.2 in accordance with the project schedule.	Immediately	4	3	Med	Open		07/10/2020 - The ASO provided DHS and IVV feedback on this finding via email. A subsequent conference call with the ASO, DHS BA and IVV team on 7/14/2020 was conducted to discuss the comments. 6/2/2020 - Paul/Rob: Release 3.0 have extended prep time; not starting development until mid-May. The risks is minimal since the physical architecture is the lag, not the logical. Most of the logical (software) architecture will be completed before the end of June 2020 and will be sent to DHS for their review. Revised dates will be updated next week in the schedule. Is Chevron engaged, yes and Mark C. is a collaborator? Yes, more so on the physical arch. ASO does not anticipate much DHS involvement on the software. Is OIT involved... yes, they are part of the review cycle. Have not reviewed the 0.2 drafts yet, ASO conducting internal reviews. No ASO concerns integrating the OIT staff. Yes, OIT staff are reviewing some training. ARJ/ARJ sessions. Not sure on all the details (DWH). Mark C wants a new reporting tool "Insight" (not Jappet).		

		<p>In April, four B-10 design deliverables and one interface Control Document deliverable were submitted for client review. There was an average of 6 comments submitted for each of these deliverables. The documents exhibited erroneous information, a lack of digital organizational flow, an insufficient level of detail, and a lack of understanding of the subject matter from both a functional and technical perspective. DHS signed this issue in the Project Issue Log. For corrective action by the ASI, the ASI acted by conducting an internal root cause analysis and provided DHS and IVV the high-level results.</p>	<p>The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays due to the associated rework needed for remediation. If poor quality deliverables continue to be produced and submitted for review, this can continue to result in unproductive use of time, unanticipated rework, misaligned development and testing activities, potentially unverified functionality, and additional schedule delays.</p>	<p>IVV recommends that a facilitated root cause analysis be performed by the ASI with DHS and IVV in attendance. Quality issues are rarely generated by a single entity on a project, so there could potentially be multiple causes or root causes of this current condition. Once the root cause(s) are identified, IVV recommends immediate action be employed to resolve quality concerns on in-process deliverables prior to submission of subsequent deliverables. IVV recommends that the ASI review its Quality Management Plan to ensure that the project is working within the guidelines of this Plan. In particular, the ASI should evaluate and consider if it is in alignment with Section 3.2.2 Measure Project Quality, which states: "ASI measure process and product quality by: 1) selecting BES implementation process and product activities to measure; 2) selecting component activities to measure; 3) defining value scales for each component activity; 4) recording observed activity values; and 5) determining the observed activity values into a single numerical value for each component activity." IVV has not seen evidence indicating the ASI is utilizing measures to measure its process and product quality.</p>	<p>Improvements in document quality were inconsistent. The project has extended the timeframe for issued resolution of this issue until the end of the calendar year. 10/13/2020 - The ASI submitted multiple deliverables during October. While most were for Release 0.2, some were also submitted for Releases 0.1 and 3. As evidenced by the varying number of DCF comments for each, the quality of some deliverables has improved while the quality of other deliverables has not improved. The ASI and DHS agreed to continue the "Pilot Process" for deliverable reviews in B-10 through the end of the calendar year. IVV notes that the ASI stated that the revised process has not resulted in being brought into schedule, however it is not intended to preventing a potential four (4) month schedule delay. 10/30/2020 - The ASI submitted multiple deliverables during September. While most were for Release 0.2, several were also submitted for Release 0.1. The ASI and DHS agreed to a revised "Pilot Process" for deliverable reviews starting with Release 0.2 to increase quality and decrease review turnaround. In the Pilot Process, draft deliverables are submitted by the ASI to DHS prior to having ASI quality assurance reviews performed. This is followed by a walkthrough of the draft deliverable, and finally delivery of a deliverable for final review that is expected to meet the needs of the project. Since the Release 0.2 deliverables are still in draft and the ASI QA activities have not been completed, it is too early to determine if quality will be improved. The ASI and DHS will review the outcome of the Pilot Process after the Release 0.2 deliverables are complete, and collaboratively determine the best path forward. IVV will leave this finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products. 08/13/2020 - The ASI re-submitted multiple deliverables during August, mostly due to rework to address conflicting comments. The B-10 deliverable for Release 0.2 was treated twice in August and does not meet DHS's needs. IVV will have this finding open until Release 0.2 deliverables have been reviewed and quality has proven to be improved across all deliverable and work products. 07/31/2020 - The ASI re-submitted multiple deliverables during July, mostly centered on the BES Optimization changes. The B-10 deliverable for Release 0.1 was treated again, and is currently under review. The B-20 deliverable quality for Release 0.1 was improved from other deliverables, and has been accepted by DHS. As such, IVV is reducing the finding priority to Medium. IVV recommends leaving this open until Release 0.2 deliverables have been reviewed and quality is improved.</p>	<p>06/30/2020 - New deliverables this month included B-10 and B-20. B-10 was initially called back for quality issues, and the issues were corrected. DHS is not comfortable with B-10 re-format, will be corrective action plan should be complete next week as it included as a task on the interim project schedule.</p>
40	Poor quality project deliverables may lead to rework and negatively impact the system design, testing artifacts and project schedule.	<p>Darren</p> <p>Finding - Issue</p> <p>4/26/2020</p> <p>Project Management</p>				
48	The DHS Outcome-Based Certification Requirements have not been published by OMS, which may impact the project schedule and funding.	<p>Alaine</p> <p>Finding - Risk</p> <p>7/30/2020</p> <p>Project Management</p>	<p>OMS has not published the Outcome-Based Certification (OBC) requirements/process, which allows stakeholders to review DHS PFP for functional functionality of the BES system.</p>	<p>If the OBC process and requirements are not published by OMS prior to the State's approval of the functional and technical requirements, the project's ability to receive enhanced Federal funding may be at risk.</p>	<p>The State continue to follow-up with OMS for the status of the release of the OBC Process and Requirements and discuss this risk with OMS to determine if there will be any options available to minimize this risk to the State.</p>	<p>Immediate</p> <p>3</p> <p>5</p> <p>Med</p> <p>Open</p>
49	On 5/22/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has reduced staff availability and ability for key personnel to deliver critical deliverables. Key personnel are required to work from home/telework at least until the end of May and some offices may be completely shut down until the end of June. Unclear if the order will extend beyond that date.	<p>DHS stakeholder participation is key activities could be significantly hindered, not only by working remotely but also by the need for them to become highly technologically proficient for IAS Teams/MySaaS. Suggest the project and DHS create a detailed, documented risk mitigation strategy and plan that is reviewed regularly and revised to address the current state of the COVID-19 threat and related impacts over the next 6 to 12 months. The plan should include the possible economic impacts to the state budget directly related to project resources. Update the OCM Plan to include any new activities or updates to planned activities to all the organization through this COVID-19 pandemic in the short and long term. Send DHS and IVV communications to ensure clear understanding of changes to the project with this regard to impacts of COVID-19 as well as clarifying communications as to what will remain the same. Explore options for finding up BES/SSA's work on the project.</p>	<p>Prior to Functional and</p> <p>5</p> <p>4</p> <p>Med</p> <p>Open</p>			
47	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	<p>Infors</p> <p>Finding - Risk</p> <p>4/29/2020</p> <p>Project Management</p>				<p>5/26/2020 - Paul Oliver stated that DHS requested the ASI limit BES/SS staff needs during the month of May 2020 due to the focus of state staff to work with clients. Unless/when it will extend to June/July. This is more of a risk for DHS. Lines used to working off-site. State staff availability to work on the project in the future may impact the schedule. ASI will need to look at options if this risk is realized.</p>
43	As reported in various project meetings, several key DHS PMO, BES and ASI project team members are planning to retire or leave the project within the next few months or have already transferred off the project. While these plans and actions being taken, a formal transition/succession plan has not been documented. In January, the ASI did announce and introduce an interim Project Manager, but a plan for a permanent replacement is not currently known.	<p>The key resources leaving the BES Project provide knowledge and history of DHS and its software, solutions, and business processes, along with a level of consistency and continuity to the extended project team. This experience and knowledge is critical for the state and DHS Mobilization, and planning efforts for BES Maintenance and Operations activities.</p>	<p>The state should document a transition plan for the project and PMO resources as identified in the RFP, which includes DHS PMO and DHS DMS resources reference RFP section 3.4.3 (DHS Staffing). The plan should include the identified COVID-19 economic impact to the state budget, directly in relation to the project resources. DHS continue to identify BES/SSA's support to support the project. The ASI should document a transition plan for each key resource as required by the RFP performance RFP section 3.1.1.3 Benefits Eligibility Project Staffing.</p>	<p>ASAP</p> <p>3</p> <p>5</p> <p>Med</p> <p>Open</p>	<p>06/30/2020 - Office opening may be delayed until September/October. TBD.</p>	<p>3/1/2020 - Per Paul Oliver, the project has also logged a risk for COVID-19, ASI main concern is the impact to BES/SS organization and ability to continue to support the project moving forward. ASI has less concern regarding their staff since they are used to working remotely and it would be less of an impact to their team.</p>
41	Due to key DHS and BES Team members departing and/or transitioning from the project, succession planning and knowledge transfer is needed to ensure there are no gaps in knowledge and leadership on the project.	<p>Alaine</p> <p>Finding - Issue</p> <p>7/20/2020</p> <p>Project Management</p>				
42	IVV has observed that ASI communication to DHS regarding key project information is at times insufficient and/or delayed. Recent examples include: - DHS reported that changes to the ASI calendar are being made by the ASI without notifying stakeholders. - PMO and BES Project Team did not receive sufficient clarity or notification about challenges impacting the previously planned October MDM Release. The topic was discussed at but during the 6/26/2020 ASI Weekly Status Meeting (see Meeting Minutes from DCF Status Report 6/28/2020 and Project Action Item #793). - During the 5/10/2020 Release lessons learned retrospective session, DHS LMT participants detail multiple instances of ASI communication challenges, including: - Little to no communication during the design phase of the release. - Insufficient communication to DHS LMT participants unprompted to begin UAT testing. It is important to note that while MO is not in IVV's scope, many of the ASI's release resources and processes are shared between MO and DCF, making the challenges experienced during MO activities relevant to DHS. These instances of insufficient communication caused confusion amongst the project, and in some cases resulted in project risks, issues, and/or action items being opened. Insufficient and untimely communication can confuse and strain project resources, and can further complicate project activities, challenge the project's ability to meet milestones, and impact the quality of both planning and execution.	<p>Insufficient communication can lead to project delays and may not allow DHS sufficient time to respond, prepare for, or plan their resources for time sensitive activities. Failure to improve communications can strain DHS resources that are already at or beyond capacity and can further complicate project activities, challenge the project's ability to meet milestones, and impact the quality of both planning and execution.</p>	<p>•DHS work with the ASI to remove barriers of communication between the DHS stakeholders and the development team. -Request ASI enhance processes and planning for project communications and include key project communications to DHS in the project schedule. For example, notifications in preparation for release activities, ASI increase dialog with the DHS project team individuals instead of relying on formal meetings to inform and discuss project topics.</p>	<p>ASAP</p> <p>5</p> <p>4</p> <p>High</p> <p>Open</p>	<p>06/30/2020 - Mark Choi is becoming more involved in the project. Involved in Arch decisions and PM decisions around test, future vision, etc. Day to day PM working closely w/ Gary and Emma. We have no insight into other DHS staffing.</p>	<p>6/2/2020 - The delay was due to the adding the communications plan updates into the overall PMG update. The Day Chair was sent before Paul had a chance to look to Gary. Paul did find with Gary and will follow up today. To improve the informal communications, the ASI and DHS PMO now have established a weekly meeting.</p>
40	The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.	<p>Darren</p> <p>Finding - Risk</p> <p>9/23/2019</p> <p>Deployment</p>	<p>Release planning does not appear to be sufficient to meet the needs of the project. IVV observed that there was not a DCF Release Manager assigned to manage the test release for KOLEA. IVV observed that there was a lack of timely release planning for the KOLEA Release, and that communications regarding the release were inconsistent, ineffective, and inaccurate. IVV is unaware if a Release Manager has been fully documented to clearly outline details of the release, including timing of detailed tasks and activities, documentation activity, configuration item updates, and roles and responsibilities of all resources involved in the ASI DCF.</p>	<p>Insufficient release management processes can lead to implementation schedule delays and poor release quality if not managed properly. Insufficient release management processes can also lead to configuration challenges when contents of a release are not well documented. Low quality and/or inconsistent documentation and timelines of release planning can lead to confusion and delays if they are necessary. Ensure that release planning includes all deliverables within a schedule, in addition to software development efforts. Update the Release 0.2 Lessons Learned action plan to include content and the plan items.</p>	<p>ASAP</p> <p>4</p> <p>4</p> <p>High</p> <p>Open</p>	<p>5/5/2020 - Paul Oliver suggested this finding is a risk, not an issue. The ASI is consolidating KOLEA and BES release management terms and processes to be the same.</p>
40	The planning and approach of the ASI Release Management practices were identified as an area to improve during early releases.	<p>Darren</p> <p>Finding - Risk</p> <p>9/23/2019</p> <p>Deployment</p>				<p>11/18/2019 - The ASI disputes the term related as it relates to the Release Manager for the October release. There was no relation. The ASI assigned an additional resource to the interim release.</p>
						<p>10/10/2019 SB: The ASI had named a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF related release has experienced some start up issues in the content and review of project deliverables. Those start up issues have been addressed with high priority and the ASI will continue to work actively with DHS to address all concerns.</p>
						<p>10/10/2019 SB: The ASI did have a release manager for the October release, who is actively engaged. The ASI also named a release manager for the January and future releases that would have worked remotely, if the release manager were better. The ASI has assigned a release manager who is not more readily available either, as well as allocating additional resources to the KOLEA activities. These assignments have been shared with DHS project leadership and PMO and are in place. A general team announcement of these assignments will be made when the ASI completes its work item arrangements with the ASI team. The October release being the first DCF</p>

H DHS Monthly IVV Status Report Final - November 2020										
		ASJ-led JAD sessions are currently divided up into functional areas (Portal, Admin Appeals, Core, Financial, etc.) and have been ongoing since approximately March 2019. Workflow task ASJ was not yet to begin. Currently, when functional area design discussions involve a workflow/task, the discussion is labeled because the ASJ has yet to define how the workflow/task will be implemented. The ASJ has stated that once the workflow/task functionality is defined, they will go back and update the existing designs to include this functionality.	Stopping (or putting on hold) design and process flow discussions during JAD's can result in a incomplete understanding of future processes. Unfinished design decisions could lead to significant rework, confusion among SME's and the ASJ project team, unproductive analysis discussions, and a poor design. Further, if DHS is asked to sign off on designs that lack clear workflow/task functionality, they could be signing off on a poor or incomplete design.	ASJ to quickly define how the workflow/task functionality will flow and provide training to the facilitators. - Facilitators (Workflow SME's) to review workflow/task functionality and integrate into systems designs with input from DHS.				attendance. However, it remains unclear if all instances of functionality that could benefit from workflow have been identified. Further, DHS and IVV have observed that some JAD sessions already completed did or did not include workflow (2) if workflow was covered in the JAD, will it change due to the Optimization Solution? (3) if workflow was not covered in the JAD session, how will those requirements be included in the solution? Further, per Paul the plan moving forward for CONYADM is to include workflow in it is developed	5/9/2020 - Paul Oliver did not realize there was a follow-up activity. Addressing workflow in the JAD sessions was not a requirement. Need to determine (1) which JAD sessions already completed did or did not include workflow (2) if workflow was covered in the JAD, will it change due to the Optimization Solution? (3) if workflow was not covered in the JAD session, how will those requirements be included in the solution? Further, per Paul the plan moving forward for CONYADM is to include workflow in it is developed	
38	Due to the sequencing of JADs addressing Workflow at the end instead of during current JAD sessions, the project could be faced with significant design reworks, which may result in schedule delays, and impact the quality of solution design.	info	Find - Risk	8/29/2019	System Design				3/13/2020 - Paul Oliver did not have a chance to talk to his team, he will do so and get back with IVV. 03/19/2020 - The ASJ PM stated workflow is being addressed in some of the JAD sessions. ASJ and IVV will follow-up with the project team to gain a clear understanding of how workflow will be addressed. 10/19/2019 SB: The ASJ meets with DHS multiple times a week and there has been no request to alter the sequence of upcoming sessions. 09/12/2019 SB: The ASJ will work with DHS in assessing whether to change the current schedule for these functional areas.	
		Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASJ and DHS have stated that they have reached agreement that the project will move forward with implementing two Sabot instances (one for KOLEA, one for BES), but this is not currently reflected in the project change log or the project decision log. It remains unclear if the details of the rationale for this decision or the plan for integrating the two instances post go-live have been thoroughly vetted and/or documented. Further, there can be some uncertainty around whether we'll all environments (including KOLEA and BES production) will be moved to the cloud.	The current project architecture and design should be as representative and inclusive of all known and if possible, review draft content with DHS and IVV. DHS request ASJ perform due diligence in any recommendations for foundational architecture change decisions. - The project should vet possible architectural change impacts to platform, M and O, MGO, and BES systems before finalizing architectural decisions. - Efforts should be made to increase communication to create an awareness of possible architecture changes that can be prepared for the possibility of a change. For example, if there is a possibility that the platform could change then updates to the architectural deliverables with a focus on how design inputs and discuss project related technical architecture decisions and activities. The design that appears to be problematic and the projects are relevant to the project. Additionally, the B-12 documents are being drafted and reviewed by the project team. Therefore, IVV is leaving finding to Medium. 08/27/2020 - In August, ASJ is considering changing the cloud platform from Azure to Google and a Change Request is currently in progress. The ASJ appears to be making plans to migrate their existing environment to the new platform as the ASJ subcontractor utilized is currently developing the system using their own environment. The ASJ is making some progress in the communication of architecture decisions. The new ASJ lead exhibited little weekly architecture meeting which provides DHS a forum to discuss and/or clarify architecture plans and decisions. However, it remains unclear if these architecture plans and decisions are broadly communicated to appropriate stakeholders including the project team. Additionally, project leadership recently clarified the role of the ISG given the change of platforms from Sabot to Java in the cloud, the ISG will not be responsible for any stand-alone activities, only the KOLEA/BES stand-alone environments. 07/31/2020 - DHS and the ASJ have noted some lack of communication around the portal strategy. For example, some stakeholders were unclear whether the portal solution applications for Medicaid and BES2D would be combined and/or replicated in both portals or if they would remain separate. 06/30/2020 - The ASJ drafted updates to the B-12 System Architecture Deliverable and performed a walk-through of the Overview Chapter of the deliverable in late June, an example, DHS reported that content agreed to migrate the KOLEA portal to Adobe is incorrect. Although the ASJ will implement the BES portal on the Jivey platform as the ASJ subcontractor is not to be transparent to end-users, presenting a 'combined application' for which the design may have to be ASJ team initiative, and then ASJ will be unable to claim that all information has been transferred. This transfer occurs, DHS will have limited visibility into ASJ development progress, deliverables, overall SI/IC process productivity. The ASJ has yet to provide a list of updates to all team tasks, deliverables, activities, and how delegating ASJ resources to product teams can ensure their design design fully meet DHS needs and expectations. 12/28/2020 - Minimal progress was made in October to provide DHS an understanding of the approach to develop the BES system and the new SI/IC tools. DHS remains unclear on the approach for data conversion and the ASJ has few answers as to why the data conversion efforts have, thus far, been unproductive. Further, the projects approach for utilizing the newly introduced ASJ tools remains unclear to DHS and IVV. The ASJ is not clear on migrating subcontractors' roles and if with their own role will be feasible. 06/26/2020 - As the project team continues to complete Release 2.1 and Single Release 0.2 UAT, this continues to be some misunderstanding on the ASJ development. Examples include: the ASJ subcontractor is using a different instance of the tools than the ASJ. The approach and expected results from the Data Conversion within each release is not understood by all members of the project team. 08/27/2020 - DHS task leads continue to express concerns with the effectiveness and efficiency of the ASJ leading process, tools and methodology despite the ASJ's ASJ to improve processes based on feedback from multiple lessons learned sessions. 07/29/2020 - DHS states have recently reported a lack of clarity around testing which has led to confusion and challenging UAT sessions. 06/26/2020 - The ASJ continues to provide further details of their hybrid ASJ implementation approach including describing how they intend to utilize new Application Lifecycle Management and development tools. IVV will continue to monitor as more details of the revised approach are made available. 05/27/2020 - IVV conducted ASJ review sessions for DHS, at their request, to gain a better understanding of the ASJ methodology and make informed project decisions. The ASJ has not published or conducted any sessions with the external project team to review how they will conduct the approach for the BES Project. The ASJ agile approach is planned to be documented and shared with DHS by early June 2021. 04/23/2020 - DHS and IVV BES Optimization contract Amendment which changes the project SD approach including moving from Scrum to an agile approach. While details of the changes have not been shared, the ASJ is to be updated to include new tasks and outstanding items remain that are expected to impact the schedule. Some work products and deliverables were delivered on time and some late. The Project Action Item (PAI) is to discuss the trend of schedule delays remains in an open status. It remains that this as a high-criticality finding as the project moves into releases that increase in scope and complexity. 10/29/2020 - The ASJ PM stated the schedule has not been as successful as recommended new tasks and outstanding items that are expected to impact the schedule. Some work products and deliverables were delivered on time and some late. Security, PM, Architecture and Functional Design. ASJ signed up a new action item in this reporting period (PAI #04) for the ASJ to explain the trend of schedule delays. An initial session was conducted, and follow-up session is planned. The ability of the project team to identify and effectively mitigate schedule risks has not been demonstrated in the smaller, less complex releases. With the increase of size and complexity in the future releases, DHS relates this as a high-criticality rating. 9/30/2020 - This month some deliverables and work products were completed on time, yet several were delivered late. IVV acknowledges the project team were allocated a revised price for the Release 2.1 deliverables, causing multiple deliverables in the revised process timeline. DHS approved the ASJ B-12 Project Schedule Deliverable. However, the ASJ PM stated that the project team is baselined and outstanding deliverables are expected to appear some dates within the schedule along with additional new tasks. IVV maintains this is a high-criticality finding to the project. 9/13/2020 - Although ASJ provided some deliverables and work products on time during this reporting period, the Evaluation of overall deliverables in the Release Optimization B-12 Project Schedule, version Release 2.1, C.2 and C.3 Deliverables and work products including the Data Conversion Plan) are behind schedule. IVV maintains this issue as a high-criticality finding as the project schedule is not supported by DHS, the schedule trend is to be updated with new target completion dates, late tasks upon multiple releases. 10/29/2020 - The ASJ is behind schedule in some of the Solution Optimization (e.g. B-12 Project Schedule), B-12 (e.g. Testing documents), B-12 (e.g. Requirement Validation) and B-12 (e.g. KOLEA and B-12 (e.g. Workflow Requirements Validation) deliverables work products. The ASJ reported that delays took place in the critical path as well as the ASJ Project Tool. IVV maintains this trend is a high-criticality since the project schedule							
					ASAP	4	4	Med	Open	09/20/2020 - The ASJ PM stated workflow is being addressed in some of the JAD sessions. ASJ and IVV will follow-up with the project team to gain a clear understanding of how workflow will be addressed. 10/19/2019 SB: The ASJ meets with DHS multiple times a week and there has been no request to alter the sequence of upcoming sessions. 09/12/2019 SB: The ASJ will work with DHS in assessing whether to change the current schedule for these functional areas.
29	Uncertainty and/or a lack of communication around long term architecture decisions could lead to unexpected impacts to the project budget, schedule, system design, and planning decisions.	info	Find - Issue	5/28/2019	Project Management				07/09/2020 - The ASJ provided DHS and IVV feedback on this finding via email. A subsequent conference call with the ASJ, BES PM and IVV team on 7/14/2020 was conducted to discuss the comments. 5/9/2020 - Paul Oliver stated the Architecture documents to include high-level and lower level detail are being incorporated into the B-12 Architecture Deliverable. 06/12/2019 SB: The ASJ is working on the KOLEA specific content of B-12 and this has been relayed to DHS. 06/12/2019 SBrown: The ASJ requests clarity on what long term architectural decisions are being referred to.	
		Lack of stakeholder understanding and buy-in to the SI DDI approach and project activity objectives may reduce the effectiveness of JAR and ASJ sessions as well as other BES project activities and decisions.	PDG recommends one or more of the following to mitigate this risk, - ASJ provide an additional DDI approach overview session for stakeholders and allow for QA - ASJ provide DDI approach documentation materials for stakeholders to review and/or discuss that knowledge on demand, the materials could be made available via the project SharePoint - Encourage ASJ and DHS testers to consistently collaborate during SI and UAT activities.	ASAP	4	5	Med	Open	06/30/2020 - Combined application is still planned. App still not finalized by DHS. From a technical perspective, we are building in Library. Future integration of the portal is still to be determined, but it is not more complex than originally planned for data sharing. If change is made to Adobe, this would require a CR. 10/19/2019 SB: DHS has agreed to the updated B-10 template which will be reviewed as part of Iteration 1 artifacts. In addition, the ASJ has produced a literal log picture and walked DHS and the PMO through it. The architectural log picture is being produced for team consumption. 09/12/2019 SB: The B-10 Plan Deliverable has been accepted by DHS. The ASJ is currently addressing comments on the iterations of B-10 Functional Design Deliverable provided for review to DHS to more clearly align with sections of the approved DDI.	
16	Lack of clear understanding of the DDI approach may reduce effectiveness of all SI/IC Processes.	info	Find - Issue	12/17/2018	Configuration and Development				06/12/2019 SBrown: The ASJ diagnoses with this finding and associated rating. The DDI plan has been presented to the client in its entirety and the ASJ is ensuring delivery as detailed in the plan. In addition, there have been numerous presentations and discussions on the methodology to the client. The ASJ is in the process of updating the deliverable based on the DDI comments, with many of them from form and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments still due to the client this week. Workthrough will be scheduled as needed. 1/7/19 - Notes: During the DDI Q2-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Univy offered to present the orientation during each JAD session. I was suggested by DHS that the new ASJ packet be placed in the SharePoint project site. For new participants in the JADs, a separate orientation before the JAD should be held for those new participants. 6/14/2020 - Paul Oliver - The ASJ is currently in the process of updating the deliverable based on the DDI comments, with many of them from form and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments still due to the client this week. Workthrough will be scheduled as needed. 10/19/2019 SB: The ASJ is currently addressing comments on the iterations of B-10 Functional Design Deliverable provided for review to DHS to more clearly align with sections of the approved DDI.	
		Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used for managing the execution of the project. In some instances, this risk may be compounded by a lack of Deliverable Expectation Documents (DEDs) requiring approval and acceptance from the User.	Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences in scope, schedule, cost, and quality parameters. Without a schedule that provides the required level of detail to manage the work, the project is at risk to be unsuccessful.	9/30/2020 Recommendation - IVV recommends the project team evaluate the estimating process to determine if changes should be made to reduce the number of late tasks and/or conduct a root cause analysis to determine and address the root causes. 9/12/2020 Recommendations - Prior to acceptance of the new baseline, finalize the master updates to the project schedule to address the outstanding items identified by DHS, the ASJ, and IVV. 9/12/2020 the ASJ is no longer maintaining the interim schedule. IVV recommends that the ASJ complete the Project Management Plan deliverable, work with DHS and IVV for review and sign as needed, and obtain approval of the PMP. This will help ensure that all processes within the project management entity are thoroughly and collaboratively developed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverable and tasks and delivery threat, needed mitigation actions along with identification and agreement with DHS on DDI to resolve the late activities and tasks. Updated Recommendation 10/12/2020 - Continue to manage and track the schedule to ensure deliverables are provided as planned. Review the schedule critical path in the weekly schedule review meeting. Continue to meet weekly with DHS to convey new schedule changes, obstacles, and document the corrective actions that will be taken to address schedule delays and details resolution. - Determine if the stopped work item TDS will impact the schedule, and update accordingly. - Determine if DHS will impact the schedule, and update accordingly. - Analyze the project schedule activities to identify any opportunities to make up time resulting from the current delays and/or cancellations. - Develop a process for determining what functionality will be delivered as part of an iteration, determine how many iterations there will be, and update the schedule accordingly.	1/31/19	4	3	Med	Open	6/14/2020 - Paul Oliver - The ASJ is currently in the process of updating the deliverable based on the DDI comments, with many of them from form and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments still due to the client this week. Workthrough will be scheduled as needed. 10/19/2019 SB: The ASJ is currently addressing comments on the iterations of B-10 Functional Design Deliverable provided for review to DHS to more clearly align with sections of the approved DDI.
2	Late delivery of project deliverables may result in schedule delays.	Info	Find - Issue	11/26/2018	Project Management				6/14/2020 - Paul Oliver - The ASJ is currently in the process of updating the deliverable based on the DDI comments, with many of them from form and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments still due to the client this week. Workthrough will be scheduled as needed. 10/19/2019 SB: The ASJ is currently addressing comments on the iterations of B-10 Functional Design Deliverable provided for review to DHS to more clearly align with sections of the approved DDI.	
					TRD	4	5	High	Open	6/14/2020 - Paul Oliver - The ASJ is currently in the process of updating the deliverable based on the DDI comments, with many of them from form and that have been very high level and needed clarification on how the comments apply to the specifics of this project. There are two remaining sections along with general comments still due to the client this week. Workthrough will be scheduled as needed. 10/19/2019 SB: The ASJ is currently addressing comments on the iterations of B-10 Functional Design Deliverable provided for review to DHS to more clearly align with sections of the approved DDI.