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August 11, 2021

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

The Honorable Scott K. Saiki,
Speaker, and
Members of The House of Representatives
Thirty-First 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 (Aug 12, 2021 09:46 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: July 1 - 31, 2021

Submitted: August 11, 2021

Overview

- [Executive Summary](#)
- [IV&V Findings and Recommendations](#)
- [IV&V Engagement Status](#)
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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 behind the title; and a collection of squares and rectangles in the lower-right corner, some with thin white lines extending from them, suggesting a network or flow diagram.

Executive Summary







Executive Summary



In July, several releases were in various stages of the Software Development Life Cycle and Change Orders were being refined. IV&V notes improvements in the following areas:

- The ASI's subcontractor has taken a major step to report the velocity of the CMM and FMM development teams by establishing development estimates - meaning the velocity reports may be available mid-September.
- The integration plans for CMM with SSP and Workflow were updated to demonstrate the module integrations in the next releases.
- The ASI and their subcontractor have added leadership, business and systems analysts and development staff to the project team.
- The Project Team continues to update/streamline the SDLC processes.

DHS/ASI stopped the Release 0.4 UAT prior to completion due to several issues. IV&V notes that the majority of the UAT defects were resolved however, the number and types of defects identified in UAT remains a concern. The ASI is planning to conduct a root cause analysis and DHS and the ASI are currently reviewing options to revise the testing approach. The project schedule has not yet been approved to adjust for the delays due to the KOLEA ATC impact (the CMS required KOLEA modifications are causing a delay of the integration with BES) and CMM Interview.

May	Jun	Jul	Category	IV&V Observations
			Project Management	The criticality rating for this category remains high due to the absence of an approved schedule and the ASI's inability to report on the velocity of FCM (CMM and FMM modules) development, which drives project planning.
			System Design	The project proposed revisions to the SDLC process to include "Design Sprint" sessions to support early identification of potential design issues. IV&V will monitor the effectiveness of these changes in upcoming reporting periods.

Executive Summary



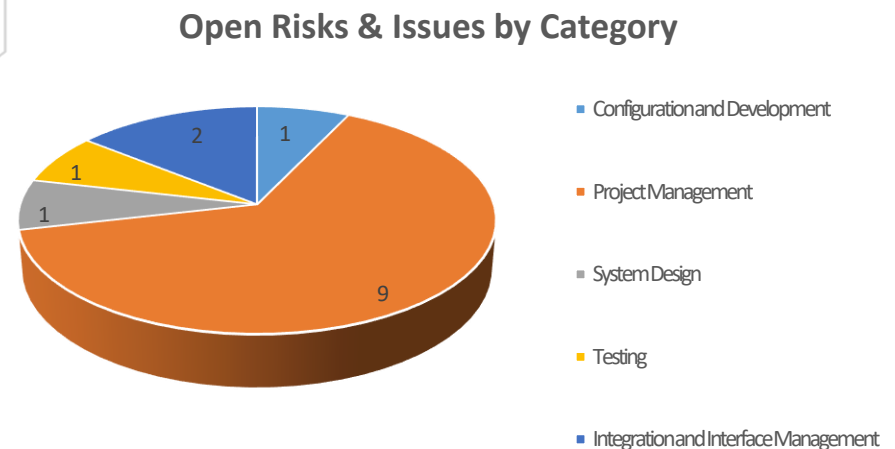
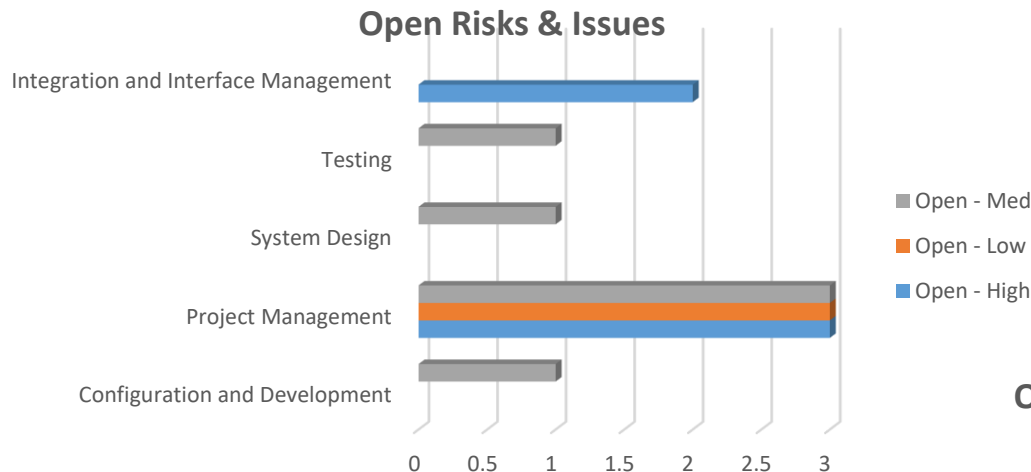
May	Jun	Jul	Category	IV&V Observations
M	M	M	Configuration and Development	The ASI proposed SDLC process modifications as part of the revisions to the project schedule. Details of these changes are being developed and reviewed with DHS; IV&V will review when the information is available.
H	H	H	Integration and Interface Management	The project team continued to update the communication plans for the interface partners. The detailed interface schedule along with the testing approach and plan is in progress. The timing of the integration between the BES Modules (SSP, CMM, FMM) and interface partners remains a high criticality rating.
M	M	M	Testing	The Root Cause Analysis from the Release 0.3 UAT has not yet been made available to IV&V. Release 0.4 UAT had numerous defects and was stopped by DHS and the ASI prior to completion. The project team is currently evaluating options to improve the quality of the BES application and the ASI reported they plan to conduct a Release 0.4 Root Cause Analysis with DHS and IV&V.

IV&V Findings and Recommendations

IV&V Findings and Recommendations



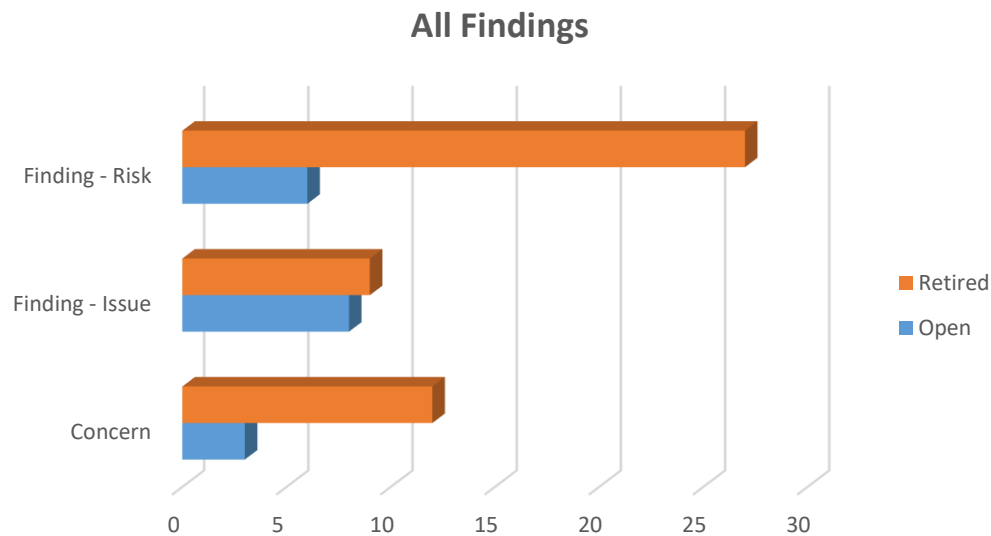
As of the July 2021 reporting period, PCG is tracking 14 open findings (6 risks and 8 issues) and has retired a total of 48 findings. Of the 14 open findings, 9 are related to Project Management, 2 in Integration and Interface Management, 1 each in System Design, Configuration and Development, and Testing.



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 Retired During the Reporting Period

#	Finding	Category
38	<p>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.</p> <p>The ASI indicated they have addressed the workflow analysis that was deferred in the initial JAD sessions and will continue to attempt to do so. Therefore, IV&V is closing this finding.</p>	Systems Design
48	<p>Risk - The CMS Outcomes-Based Certification requirements have not been published by CMS, which may impact the project schedule and funding.</p> <p>DHS received confirmation from CMS that there are no CMS Certification requirements for this project, therefore IV&V retired this finding.</p>	Project Management

IV&V Findings and Recommendations



Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
67	New – The Americans With Disabilities Act (ADA) Section 508 compliance tool has not been identified for the project, which may cause significant rework in order to meet the ADA compliance guidelines.	Testing
68	New – Insufficient planning/execution of the BES Security Plan activities may lead to delays in gaining FNS approval for the BES to begin the Pilot Phase.	Security and Privacy
69	New – Lack of visibility/transparency into the Regression Testing approach and results may cause defects/rework within the BES application for functionality that previously passed testing.	Testing

IV&V Findings and Recommendations




New Findings

#	Finding	Category
	No new findings were identified in this reporting period.	

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
2	<p>Issue – Late Delivery of project deliverables may cause schedule delays.</p> <p>Revisions to the project schedule continued this month. DHS and the ASI are currently evaluating SDLC process changes that may require further schedule updates. Additionally, the schedule impact of the KOLEA ATC changes is not yet final however, the ASI is planning on gaining DHS approval on the revised schedule next month.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS and the ASI agree and publish the revised schedule based on the KOLEA ATC impact, CMM development delays and any other changes to address the potential SDLC Process adjustments.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
29	<p>Issue - Uncertainty and/or a lack of communication around long term architecture decisions could impact the project budget, schedule, system design, and planning decisions.</p> <p>The ASI has completed cost estimates for the 2 portal change order but are continuing efforts to refine the implementation plan. Many DHS stakeholders remain unclear on how the cost estimates were derived and the basis of allocating the cost between MQD and BESSD. Therefore, it is unclear if these plans and estimates were fully communicated and socialized prior to the CCB meeting.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS should finalize the Portal strategy and communicate the strategy with the stakeholders and project teams.	In process
<ul style="list-style-type: none">The project should continue to vet possible architectural change impacts to the platform, M&O, MQD, and BES systems before finalizing architectural decisions.	In process
<ul style="list-style-type: none">DHS continue to request ASI perform due diligence in any recommendation for foundational architecture change decisions and continue to review with appropriate DHS stakeholders to assure a common understanding of the implications of these decisions.	In process
<ul style="list-style-type: none">The project should continue to ensure communication between development leads and architecture leads to assure optimal collaboration on possible architecture changes that could impact decisions in each area.	In process
<ul style="list-style-type: none">Maintain current communication 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.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
43	<p>Issue - DHS PMO project team members have transitioned off the project, which may cause gaps in knowledge transfer and leadership on the project.</p> <p>There are no material updates in this reporting period.</p>	

Recommendations	Progress
<ul style="list-style-type: none">DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
47	<p>Risk – The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.</p> <p>The ASI reported that their off-shore (India) team is back to full strength after experiencing challenges with COVID. IV&V remains concerned that some communications between the project team could be hindered due to not being able to work in closer proximity.</p>	

Recommendations	Progress
<ul style="list-style-type: none">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.	In process
<ul style="list-style-type: none">Send broad communications to stakeholders to assure clear understanding of changes to the project with this regard to impacts of COVID as well as clarifying communications as to what will remain the same.	In process
<ul style="list-style-type: none">Project leadership continue to encourage independent phone conversations to enhance and accelerate communications, and for team members not wait for meetings to converse.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
49	<p>Issue – Poor quality project deliverables may impact system design, testing artifacts and the project schedule.</p> <p>The project deliverables published this month appeared to have most comments focused on functionality vs. format/grammar/spelling. This implies improvement however, without published ASI metrics on the quality of the deliverables, IV&V is unable to validate.</p>	A green circle with a white 'L' inside, indicating a Low Criticality Rating.

Recommendations	Progress
<ul style="list-style-type: none">IV&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&V has not seen evidence indicating the ASI is utilizing metrics to measure its process and product quality.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
54	<p>Risk – User Acceptance Testing (UAT) processes and timing of inputs required for UAT could lead to implementation delays and delivery of a solution that does not meet business needs or requirements.</p> <p>DHS/ASI stopped Release 0.4 UAT before it completed due to several issues and are currently evaluating UAT options that may impact the SLDC process and schedule. IV&V completed the “Shadow Activity” with some of the UAT testers, resulting in observations and recommendations for the project team to consider in future testing activities.</p>	

Recommendations	Progress
• Provide IV&V with the Root Cause Analysis conducted for the Release 0.3 UAT defects.	Not started
• Evaluate the process and/or schedule to determine if adjustments could streamline the process for the UAT test team to plan and create UAT test cases, minimizing rework.	In process
• Designs need to be solidified prior to developing the scripts - should establish a cut-off date for the design.	In process
• Include the IV&V team as SDLC processes are modified based on the Release 0.4 UAT activities.	In process
• Include the IV&V team when the Release 0.4 UAT Activity Root Cause Analysis session is scheduled.	Not started

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
58	<p>Risk – The data conversion effort lacks leadership, consistency in data governance, and effective communications which may impact the schedule.</p> <p>The Data Conversion team continued to perform data mapping and cleansing activities. The ASI is currently working through some security issues related to using converted data during testing. Additionally, the ASI is developing metrics to accurately report status and indicate the progress of data conversion through implementation.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Prioritize the conversion activities to validate the key tasks are addressed early to avoid further delays considering the complexity of the later releases.	In process
<ul style="list-style-type: none">The ASI should develop reports with metrics that accurately measure the Data Conversion progress along with a high-level pictorial view of conversion activities planned for each release.	In process
<ul style="list-style-type: none">The DHS Data Governance committee needs to clarify the usage of MDM so the BES conversion team aligns to the planned governance structure.	In process
<ul style="list-style-type: none">The Data Conversion team should evaluate the Just In Time (JIT) approach to determine if there are risks to the project that should be monitored/managed.	In process

IV&V Findings and Recommendations



Project Management


#	Key Findings	Criticality Rating
62	<p>Issue – Inability to measure development team velocity may impact the projects' ability to forecast the delivery date of the remaining features.</p> <p>IV&V observed improvement in planning estimations for SSP in release 0.5 Sprint 5, and although the sprint is not finished, the planned vs actual velocity chart is trending in the right direction. There were major improvements this reporting period regarding FCM (FMM/CMM) work estimations in Aha!. Use case estimates are now in Aha! for the current and follow-on release. The FCM team is tracking story points in an MS-Excel worksheet as they validate their estimates, which will be moved into Jira so they can track and report FCM velocity once the validation is complete. IV&V will continue to monitor the progress on the SSP and FCM sprint teams' ability to track velocity.</p>	

Recommendations	Progress
<ul style="list-style-type: none">The ASI work with the subcontractor Scrum Masters to calculate the average velocity from past iterations to be used as a historical reference.	In process
<ul style="list-style-type: none">Moving forward, the development teams should provide the ASI with Sprint and Product Burndown charts at the end of every iteration.	In process
<ul style="list-style-type: none">To calculate velocity, user stories need assigned values (IV&V recommends relative story points). If the developers are not currently assigning values to user stories, IV&V recommends this become common practice.	In process

IV&V Findings and Recommendations



Project Management

#	Key Findings	Criticality Rating
65	Risk - DHS BESSD knowledgeable staff are needed on the project to ensure the BES solution is designed to meet the business needs and requirements. DHS continues to recruit the BES PM position.	 M

Recommendations	Progress
• DHS continue to identify BESSD SME's to support the project as the project progresses.	In process
• Identify and on-board a replacement BES Project Manager.	In process
• Continue coaching the new BES Product Owners to ensure the new system takes advantage of new technologies and aligns to the planned business processes.	In process

IV&V Findings and Recommendations



Integration and Interface Management


#	Key Findings	Criticality Rating
60	<p>Risk – System Integration of the BES Modules (CMM, FMM, SSP) will be developed in the later releases vs. a continuous integration model within each release which may cause schedule delays.</p> <p>In this reporting period, IV&V observed improvement in the integration planning of the BES core modules. In each of the upcoming releases, demonstrations of the first integration points between CMM/SSP and CMM/Current (Workflow tool) are planned. The ASI provided the steps towards mitigating this risk, which IV&V will review/verify.</p>	

Recommendations	Progress
<ul style="list-style-type: none">Prioritize the build of integration points within each module and the creation of scripts (API calls) required for integration.	In process
<ul style="list-style-type: none">If the ASI needs all the remaining releases to demonstrate an end-to-end solution of the identified business processes across all modules, IV&V recommends planning and communicating the mitigation strategy for handling risks associated with a 'big bang' release.	In process

IV&V Findings and Recommendations



Integration and Interface Management


#	Key Findings	Criticality Rating
63	<p>Risk – The lack of early planning and coordination with interface partners may result in schedule delays.</p> <p>The project team continues to update the interface planning documents. IV&V conducted another review of the Communication Plans and found that 2 interface partners' contacts have not been documented, 3 MOAs have not been approved, 12 need unit test dates confirmed, 13 need system test and UAT dates confirmed, 27 need pilot and production cutover dates confirmed. In addition, IV&V reviewed the SSA process and found that the BES project team may have to satisfy several requirements in order to pass the security assessment, which may delay the scheduled completion of the SSA interface.</p>	

Recommendations	Progress
• Establish a communication plan for each interface partner for the duration of the BES DDI activities.	In process
• Identify and document all interface partners' contacts	In process
• Define a detailed schedule for each interface to include milestone dates, coordination, and execution and share with the interface partners.	In process
• Determine which deliverable will include the details associated with the planned connectivity and detailed technical designs of all interfaces.	In process
• Complete all MOAs and obtain approval.	In process
• Confirm testing dates with interface partners in writing.	In process
• Distribute preparation procedures for interface implementation to the interface partners.	In process
• Develop a mitigation plan to address the unavailability of Interface Partners during interface implementation	Not started

IV&V Findings and Recommendations



Configuration and Development

#	Key Findings	Criticality Rating
16	<p>Issue – Lack of clear understanding of the DDI approach may reduce effectiveness of all SDLC Processes.</p> <p>The ASI stated they will continue to provide the DHS and their development teams with updates to the SDLC processes via their monthly release updates. However, it remains unclear whether this will effectively communicate the methodology to DHS project team members such that they become more productive/participatory in the SDLC process or provide effective feedback to the ASI regarding design decisions, optimal testing processes, and other important SDLC activities. For example, if product owners do not fully understand the consequences of their design decisions, systems designs could require rework and the project could be faced with unexpected change orders.</p>	

Recommendations	Progress
<ul style="list-style-type: none">ASI provide an additional DDI approach overview session for stakeholders who still may be unclear on elements of the methodology, especially new product owners.	In process
<ul style="list-style-type: none">ASI make available their DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand.	In process
<ul style="list-style-type: none">The project monitor DHS product owner productivity, ability/willingness to provide effective feedback to the ASI for design and other important decisions and provide coaching as needed to assure their effectiveness in their role.	In process

IV&V Findings and Recommendations



System Design


#	Key Findings	Criticality Rating
61	<p>Issue – Poorly executed JAD and "design sessions" could lead to inaccurate design and rework.</p> <p>Design sessions were conducted this month along with the corresponding Draft Functional Design Documents. It is IV&V's understanding the project is planning to initiate "Design Sprints" to identify design issues earlier and will include DHS/ASI Product Owners, and IV&V. IV&V will assess the process when it is provided and observe the Design Sprint sessions.</p>	

Recommendations	Progress
<ul style="list-style-type: none">JAD and design sessions should be led by experienced senior BAs, with goals, objectives and results communicated to all participants.	In process
<ul style="list-style-type: none">The facilitator should use their expertise to drive discussions through leading questions.	In process
<ul style="list-style-type: none">The DHS and ASI product owners should actively participate to ensure the system meets the requirements, designed taking advantage of new technology and aligns to the 'to be' business process.	In process
<ul style="list-style-type: none">The ASI should back-track significant differences in design direction to determine the root cause in an effort to identify these items as early in the SDLC as possible.	In process
<ul style="list-style-type: none">The Product Owners should have more direct interaction with the development team, proactively seeking collaboration.	In process
<ul style="list-style-type: none">The Functional Design Document process, to include the Design Sprint concept, should be clearly defined and shared with all project team members.	In process

IV&V Findings and Recommendations



Testing

#	Key Findings	Criticality Rating
66	<p>Issue – The number of issues/defects found in UAT may cause planned work in the future sprints to be delayed due to the prioritization of the resolution of issues/defects found in UAT.</p> <p>In this reporting period, DHS and the ASI agreed to stop Release 0.4 UAT prior to completion due to several issues. The project leadership team is evaluating and discussing options to determine the best path forward to thoroughly test BES prior to Pilot and Statewide Implementation. The project team has reported to IV&V multiple actions taken to resolve this however, quality of the BES code and application is not meeting expectations, nor has IV&V received the results of the RCA reported by the ASI to be complete on the Release 0.3 UAT results. On a positive note, the ASI is researching and planning to report quality metrics which may identify more specific activities to improve the quality of BES.</p>	

Perform a joint Release 0.4 UAT (DHS/ASI/IV&V) Root Cause Analysis (RCA) to identify and take corrective actions.	Progress
<ul style="list-style-type: none">Perform a joint Release 0.4 UAT (DHS/ASI/IV&V) Root Cause Analysis (RCA) to identify and take corrective actions.	Not started
<ul style="list-style-type: none">Adjust the project plan and provide reasonable scope for UAT for subsequent releases taking into account the number of defects and testing time needed.	In process
<ul style="list-style-type: none">Validate all UAT defects are retested in SIT to ensure they are included in Regression Testing.	In process
<ul style="list-style-type: none">System and Integration testing be executed more rigorously.	In process
<ul style="list-style-type: none">The ASI should report testing metrics and DHS should monitor this Key Performance Indicator (KPI).	Not started



IV&V Status

IV&V Engagement Status



IV&V Engagement Area	Apr	May	Jun	Comments
IV&V Budget				
IV&V Schedule				
IV&V Deliverables				The Release 0.3 Draft Code Review results were published. The results of the Release 0.4 UAT Team Shadowing activity were provided to DHS.
Centers for Medicare and Medicaid Services (CMS) IV&V Progress Reports				DHS confirmed with CMS that IV&V Progress Reports are not required, therefore IV&V will remove this line item in future reports.
CMS Milestone Reviews				DHS confirmed with CMS that Certification Milestone Reviews are not required, therefore IV&V will remove this line item in future reports.
IV&V Staffing				
IV&V Scope				

Engagement Status 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 July reporting period:
 - Completed – June Monthly Status Report
 - Ongoing – Review the BES Project Artifacts and Deliverables
 - Ongoing – Attend BES 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 August reporting period:
 - Ongoing – Observe BES Design and Development sessions as scheduled
 - Ongoing – Observe Bi-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-15 Release 0.4 Fully Configured and Developed System – DRAFT	7/23/2021	Draft
BI-10 R0.6 Common Functions Special Indicators – DRAFT	7/26/2021	Draft
BI-13 Security Plan DED	7/26/2021	Pre-Draft
BI-10 R0.5 Case Management Module - D-SNAP (Iteration 2)	7/27/2021	1.2
BI-10 R0.5 Case Management Module - D-SNAP deliverable (Iteration 1)	7/16/2021	1.0
BI-10 R0.5 SSP Renewals, Administrative Hearing, Case Management, Document Management - DRAFT	7/13/2021	Draft
BI-22 Release 0.4 System Test Report (Iteration 2)	7/16/2021	1.0
BI-22 Release 0.4 System Test Report (Iteration 1)	7/7/2021	1.0
BI-10 R0.5 Case Management Module - D-SNAP – DRAFT	7/2/2021	Draft
BI-14 Release 0.4 Technical Design Document - SSP (Iteration 1)	6/30/2021	1.0

Additional Inputs – Artifacts



Deliverable Name	Artifact Date	Version
Unisys Contract Amendment 3	4/17/2020	N/A
Two Portal Change Request	7/14/2021	1.0
FNS Handbook 901	01/2020	V2.4
BES Risks and Issues Log	07/07/2021 07/14/2021 07/21/2021 07/28/2021	N/A
BES Weekly Schedule (BI-5)	07/06/2021 07/13/2021 07/20/2021 07/27/2021	N/A
BES Weekly Status Report	07/07/2021 07/14/2021 07/21/2021 07/28/2021	N/A
Java Code Standards	09/11/2020	1.6
BES Shared Interfaces	N/A	N/A
R0.3 Codebase	05/11/2021	0.3



Meetings and/or Sessions Attended/Observed:

1. Weekly Platform Status Meeting – 7/6/2021, 7/13/2021, 7/20/2021, 7/27/2021
2. Weekly Architecture Meeting – 7/21/2021, 7/28/2021
3. Bi-Weekly Project Status Meeting – 7/7/2021, 7/21/2021
4. Weekly BES PMO and IV&V Touch Base –
5. Weekly BES Dev Stand-up – 7/7/2021, 7/14/2021, 7/21/2021, 7/28/2021
6. Weekly SSP Backlog Grooming Session – 7/7/2021, 7/14/2021, 7/22/2021, 7/28/2021
7. BES Data Conversion Meeting – 7/12/2021, 7/19/2021, 7/23/2021, 7/26/2021
8. Weekly Schedule Review Meeting – 7/6/2021, 7/13/2021, 7/20/2021, 7/27/2021
9. IV&V Team Meeting – 7/1/2021, 7/6/2021, 7/8/2021, 7/12/2021, 7/15/2021, 7/19/2021, 7/22/2021, 7/26/2021
10. Weekly UAT Status – 7/8/2021, 7/15/2021, 7/22/2021, 7/29/2021
11. BES UAT Shadow - CMM App Reg – 7/6/2021, 7/7/2021, 7/9/2021
12. BES UAT Shadow - SSP RAC – 7/1/2021, 7/6/2021, 7/8/2021, 7/9/2021
13. BES UAT Shadow - SSP Case Management – 7/2/2021, 7/7/2021, 7/8/2021
14. DHS and IV&V Touch Base – 7/7/2021, 7/19/2021, 7/29/2021
15. Sprint Demo SSP – 7/6/2021
16. R0.4 UAT Daily Huddle – 7/9/2021-7/23/2021
17. R0.5 Screen Prototype – CMM CO05n Manage Absent Parent Information – 7/1/2021
18. [BES] Release Checkpoint Meeting – 7/1/2021
19. [BES] R0.5 Screen Prototype – CMM CO05h and CO05u – 7/1/2021
20. [BES] R0.5 Screen Prototype – SSP CS11 and CS33 – 7/1/2021
21. [BES] R0.5 Sprint Demo – CMM CO05s Manage Veterans Information – 7/2/2021
22. [BES] R0.7 Release Kickoff – 7/8/2021
23. [BES] R0.6 Screen Prototype – CF CF10 Manage Special Indicator – 7/9/2021
24. HI DHS BES June Draft IV&V Report Review – 7/13/2021
25. [BES] R0.5 BI-10 Walk-Through – CMM DSNAP – 7/13/2021
26. UAT Shadow - Draft Results Review – 7/14/2021
27. BES CCB Monthly Meeting – 7/14/2021
28. [BES] R0.5 Screen Prototype – CMM CO05i Manage Expense Information – 7/15/2021
29. HI BES ASI and IV&V Touch Base – Technical – 7/15/2021
30. [BES] R0.5 Screen Prototype – CMM CO05h and CO05u – 7/15/2021
31. [BES] R0.5 Sprint Demo – CMM CO26 & CO26a – 7/16/2021
32. Monthly ASI Functional and IV&V Check-in – 7/20/2021



Meetings and/or Sessions Attended/Observed:




- 33. Implementation Planning – 7/20/2021
- 34. ASI and IV&V Mid-Month Check-in – 7/21/2021
- 35. R0.5 BI-10 Walk-Through – SSP Renewals, Administrative Hearing, Case Management, Document Management – 7/21/2021
- 36. BES BI-13 Security Plan with DHS, ASI and IV&V – 7/22/2021
- 37. Lunch and Learn – 7/23/2021
- 38. [BES] Release 0.8 Kick-off – 7/26/2021
- 39. DHS-Unisys Security Touchpoint – 7/27/2021
- 40. Monthly Project Risk and Issue Review Meeting – 7/28/2021
- 41. [BES] R0.6 Screen Prototype – CMM CO05z and CO05i – 07/29/2021
- 42. [BES] R0.6 Screen Prototype – CMM CO05p, CO08, CO08a - 7/29/2021
- 43. BES Project Schedule Discussion Follow-up (Session 1) – 7/29/2021
- 44. [BES] R0.6 Sprint Demo – CMM CO05q Manage School Information – 7/30/2021
- 45. [BES] R0.6 Sprint Demo – CMM CO05l Manage Disability – 7/30/2021

The background is a solid blue color. It features several abstract geometric shapes, including squares and rectangles, in various shades of blue. Some shapes are solid, while others are outlined. They are scattered across the page, with a higher concentration on the left side. The word "Appendices" is written in a white, serif font, positioned in the lower-left quadrant of the page.

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	Owner	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Yst Prior	Finding Status	Date Retired	Status Update	Client Comments	Vendor Comments	
69	Lack of visibility/transparency into the Regression Testing approach and results may cause defects/rework within the BES application for functionality that previously passed testing	Earl Burba	Concern	7/28/2021	Testing	On 7/29/2021 the ASI provided feedback to questions from the IVV team dated 6/23/2021. The response/feedback addressed the IVV questions but did not address how the results through Robot framework HTML/XML reports and X-Ray integration. It is understood that the ASI has reported having built a regression suite and integrated it into their Continuous Delivery pipeline, but evidence has not been observed in testing status meetings or provided to DHS or IVV to demonstrate the effectiveness of regression testing. Since the exit criteria for Regression Testing as provided in the BI-13 Complete and Final Test Plan.pdf is "Regression Test Results Report draft has been submitted to DHS" it was expected that a Regression Test Results Report would be posted in either SharePoint or Confluence.	Since the purpose of regression testing is to help assure that code or configuration changes to address defects/bugs do not negatively affect previously working functionality having a robust regression test suite is very relevant. Without a plan for Regression Testing there is risk to the project that defect correction or continued development may negatively affect previously correct functionality.	It is recommended that regression testing results be reported to the project. It is important that DHS be informed of all regression testing results of those passed and failed test cases and that any failed test cases be analyzed to determine if code or configurations need to be made.	Immediate	4	5	High	Open					
68	Insufficient planning/execution of the BES Security Plan activities may lead to delays in gaining FNS approval for the BES to begin the Pilot Phase.	Manny Baranc	Concern	7/28/2021	Security and Privacy	Over the last several months, the BES project team has been working through the planning efforts to develop the BI-13 Security Plan while also managing through ASI Security Lead staffing changes. DHS and the ASI agreed to modify the BI-13 Security Plan Deliverable Expectation Document (DED) last month and are currently reviewing it to align to the requirements and changes to the project since inception.	The BES project must have a clear path to define, implement, test, and validate all Security Requirements/Controls prior to entering the Pilot phase. There are many standards that must be met, and the project team plans to utilize the BES Security Control Implementation Workbook to document the status of each control. The Security Control Implementation Workbook must be detailed and allow for ease of referencing to the Security Policies, Standards, Controls, and implementation plan along with evidence for each control.	IV&V recommends DHS and the ASI agree upon the tool to use to document and track security control implementation to ensure the tool meets DHS compliance needs. The two parties should also agree upon the tool and level of detail needed to track progress (estimates, target dates, risks, issues, evidence) if DHS and the ASI agree to use tools different than the BES Project. It is also recommended to complete the GCP Change Request to migrate the BES environments from the ES1 to the ASI to help ensure current and future BI-13 documentation accurately reflects desired roles and responsibilities.	ASAP	3	3	High	Open			7/30/2021 - On July 22, 2021, DHS, the ASI, their Security Subcontractor and IV&V met to discuss and review the current status of the BES Security Plan. The BES project team is planning to adapt the MS-Excel workbook to track the detailed SOC components of each requirement along with status. Several questions required follow-up and may be incorporated into the revised DED. Additionally, SSA has adopted a revised process to include a detailed questionnaire to be completed prior to approval to implement this interface with the BES application. This revised process includes a significant amount of work to be completed and verified to completely address all SSA Security Requirements.		
67	The Americans With Disabilities Act (ADA) Section 508 compliance tool has not been identified for the project, which may cause significant rework to meet the ADA compliance guidelines.	Earl Burba	Concern	7/12/2021	Testing	While RO.3 and RO.4 reported that Section 508 compliance had been successfully completed the ASI confirmed that there is currently no working tool installed and that Section 508 compliance testing has not been performed. This risk has been discussed with the ASI over the past several months, but there have been no results to date. The ASI did state that they are coding to some of the ADA requirements and are using a desktop tool for ADA compliance. IV&V has not received any data to demonstrate the desktop tool results nor if it provides coverage for all ADA compliance items.	There is a contractual obligation and requirement for BES to meet the system acceptance criteria of "all applicable State and federal policies, laws, regulations, and Standards, including without limitation the Electronic and Information Technology Accessibility Standards associated with Section 508 of the Rehabilitation Act," which was verified in the Unisys proposed Technical Requirements Approach that states "The system complies with DHS branding standards as defined by DHS and adheres to W3C level 2 accessibility guidelines, sub-parts of Section 508 of the Americans with Disabilities Act (ADA), nondiscrimination safeguards in 45 CFR 85." If the Hawaii guidelines (https://www.hawaii.edu/access/un-guidelines-for-accessibility/), FNS Guidelines from the 901 Handbook, and contractual obligations to adhere to the Section 508 compliance guidelines (https://section508.gov/) there may be a significant amount of rework to the solution.	It is recommended that focus and responsibility be assigned within the project for a Section 508 compliance tool to be researched, evaluated, installed, tested, and executed for upcoming releases. That responsibility should include the creation of a plan and schedule for delivering the tool and reports related to the final solution for Section 508 compliance and accessibility. Once the plan has been implemented and a tool incorporated, the ASI should generate reports to show compliance or gaps to DHS and IVV.	id prior to fin	4	5	High	Open					
66	The number of issues/defects found in UAT may cause planned work in the future sprints to be delayed due to the prioritization of the resolution of issues/defects found in UAT.	Earl Burba	Finding - Issue	3/29/2021	Testing	During discussions of UAT progress and metrics the number of defects found during this phase of testing appears greater than what would be expected during UAT. On 3/29/2021 at the conclusion of RO.3 Sprint 3 there were 106 reported defects (4 High, 10 Medium, and 292 Low Severity) where 183 are "Unresolved", 108 are documented as "Not a Defect", and 13 are marked as "Done". Since the functionality had previously been Unit, System and Integration, and the needs of the state clarified during IAD sessions very few defects are expected. As such, the amount of testing expected to be completed during the current RO.3 will not be met and will be pushed to the next release. If that trend continues UAT may not complete as planned and the schedule negatively affected. Additionally, since more defects are being reported and corrected than expected the rate of closure for defects, along with the time needed to retest those corrected, and regression test the functionality additional risk exists to the planned schedule. At the end of RO.3 it was reported that 44 issues were "Done" and 238 issues were incomplete (30 of which had all of their sub-tasks completed) and will be moved to the next Sprint designated SSP RO.4 UAT Sprint 4.	Since UAT is the vehicle for users to assure that the functionality developed and delivered meets their needs it is important that UAT be successfully completed. The high number of defects reported along with not meeting planned progress there may be an inclination to shorten the time needed to complete UAT.	Perform a joint Release 0.4 UAT (DHS/ASI/IVV) Root Cause Analysis (RCA) to identify and take corrective actions. Adjust the project plan and provide reasonable scope for UAT for subsequent releases taking into account the number of defects and testing time needed as reflected in current trending of UAT progress. Validate all UAT defects are retested in SIT to ensure they are included in Regression Testing. System and Integration testing be executed more rigorously. The ASI report testing metrics and DHS should monitor this Key Performance Indicator (KPI). FDO's be completed and frozen prior to the completion of SIT and that completion of FDO's be added to the exit criteria for SIT and entrance criteria for UAT. An alternate recommendation would be to adjust the process to minimize schedule slippage and rework by the SIT and UAT teams. - Closed 7/30/2021	Immediate	3	3	Med	Open			UAT prior to completion due to several issues. The project leadership team is evaluating and discussing options to determine the best path forward to thoroughly test BES prior to Pilot and Statewide Implementation. The project team has reported to IVV multiple actions taken to resolve this however, quality of the BES code and application is not meeting expectations, nor has IVV received the results of the RCA reported by the ASI to be complete on the Release 0.3 UAT results. On a positive note, the ASI is researching and planning to report quality metrics which may identify more specific activities to improve the quality of BES. 6/28/2021 - There has been no material update to the finding, the ASI continues to conduct a root cause analysis. Concern still remains that defects reported in UAT exceed the number of defects reported during System Test as shown through defect leakage metrics. 5/25/2021 - An industry standard method used to identify the efficiency of System Testing is defect leakage, i.e., how many defects are missed/slipped during System testing. The formula used is Defect Leakage = (No. of Defects found in UAT / No. of Defects found in System Testing) x 100. If there were 28 "Not a Defect", 124 "Done", and 10 "Unresolved" for UAT the defect count was 199 "Not a Defect", 135 "Done", and 8 "Unresolved". Removing those defects marked "Not a Defect" for System Test and UAT counts there were 134 for System Test and 143 for UAT. By plugging those numbers into the formula, the result is 106.72%. Since the industry average for good testing processes is 10-12%, the defect leakage appears excessive for this project. 4/30/2021 - The ASI conducted an internal Root Cause Analysis (RCA) that identified 5 main root causes for the high number of defects found in UAT - Duplication of defects Mobile Device defects Static test defects due to design changes Defects tagged to the wrong release Valid defects with a shared root cause. The RCA does not address why so many defects were not detected during System Testing. The goal of UAT is to address the use of the solution by the end users. Design problems or design changes based on IAD sessions should be found in System Test, not UAT.		
65	DHS BESO staff with expansive business knowledge or availability are needed on the project to ensure business needs are sufficiently captured so that the BES solution is designed to meet the business needs and requirements.	Ryan	Finding - Risk	3/2/2021	Project Management	As the BES system is designed, it appears there is a lack of BESO staff with expansive business knowledge and availability to work on the project to ensure the BES system meets the business need and requirements.	BESO staff with expansive business knowledge and availability are critical to the project to ensure business needs and requirements are effectively documented as the new system is designed and developed.	DHS continue to identify BESO SME's to support the project as the project progresses. DHS develop a project team list that identifies the participants along with their roles and areas of expertise to be used as short-term needs are identified. - Complete DHS utilize the BI-3 Project Schedule report developed by the ASI to identify those tasks owned by DHS in the short term in addition to the 4-month look-ahead to identify time frames and activities where there is a high-demand on DHS resources. - Complete identify and on-board a replacement BES Project Manager. Continue coaching the new BES Product Owners to ensure the new system takes advantage of new technologies and aligns to the planned business processes.	ASAP	3	3	Med	Open			7/28/2021 - DHS continues to recruit the BES PM position. 06/30/2021 - In the 06/09/2021 Status Meeting, DHS reported they added a Reports SME and two additional staff to the UAT test team. DHS continues recruiting for the BES PM position. 05/31/2021 - The DHS Product Owners continue to adjust to their new roles to include decision making and designing BES to take advantage of the new technologies. DHS has identified a replacement BES PM, onboarding was delayed and is now planned for June 2021. 04/30/2021 - The DHS Product Owners are adjusting to their new roles to include decision making and designing BES to take advantage of the new technologies. DHS has identified a replacement BES PM, onboarding is planned for May 2021. 03/31/2020 - The DHS Product Owners continue to adjust to their new/revised project role, which is having a positive impact to the BES design. DHS is taking the planned actions to replace the DHS PM. 02/28/2021 - In January, DHS added many BESO staff and is having a positive impact on the project. With the retirement of DHS' BES Project Manager (effective 2/26/2021) and Business Analyst (effective March 31, 2022) a transition plan was developed to support the onboarding of a new BES PM. DHS is taking the following actions. DHS developed a DHS BES Resource Pool to support future resource needs on the project. DHS is using a report from the BI-10 Project Schedule focused on the DHS activities and tasks planned to be performed in the next 4 months to provide early visibility to peak DHS resource needs. Additionally, the DHS BESO Administrator spends 2-3 days per week at the ASI onsite facility to review plans, address issues and conduct follow-up as necessary.		
63	The lack of early planning and coordination with interface partners may result in schedule delays.	Al Pangelinean	Finding - Risk	1/21/2021	Integration and Int	The following planning and execution items have not yet been addressed and documented by the ASI. - Connectivity is planned to utilize a presently undefined ETS API Gateway; however, there is no evidence that details have been determined or documented in this regard. - There is little evidence of active and sufficient communication with interface partners for coordination, design, and testing activities (Unit Test, SIT, UAT). - Interface planning and execution tasks and activities, including those for interface partners, are neither resident nor managed within the Project Schedule. - A mitigation plan has not been developed to address the unavailability of interface partners during interface implementation after MOAs have been approved, testing dates have been confirmed, and communications have been frequent.	Interfaces is one of the areas where DDI projects often underestimate the time needed to effectively manage all the tasks and activities to successfully implement data sharing. A clearly defined communication plan and schedule that includes the coordination, planning, and execution activities along with milestone dates may minimize the risk of possible delays. In addition, after planning has been completed, interface partners will have to be available during interface implementation to ensure that the interfaces are properly tested before deploying the system to production.	1. Establish a communication plan for each interface partner for the duration of the BES DDI activities. 2. Define a detailed schedule for each interface to include milestone dates, coordination, and execution and share with the interface partners 3. Determine which deliverable will include the details associated with the planned connectivity and detailed technical designs of all interfaces 4. Identify and document all interface partners' contacts 5. Complete all MOAs and obtain approval 6. Confirm testing dates with interface partners in writing 7. Distribute preparation procedures for interface implementation to interface partners 8. Develop a mitigation plan to address the unavailability of Interface Partners during interface implementation	Q4 2021	5	3	High	Open			7/20/21 RAP - The ASI team requests that the IV&V reassess the severity of this risk in light of the following reasons: a) the ATC schedule extension has made the urgency for tackling these tasks less than it was before that started lessening the schedule risk, b) the increase from Medium to High in May was based on a misunderstanding of the current state of the MOAs and contact metrics, c) substantial progress has been made against each of the In Progress recommendations, and d) continues to trend in the right direction. In regards to the final recommendation, the ASI does not doubt the importance of this, however, this is unlikely to manifest in a schedule risk. It does have a risk to operations, and it will be managed as part of the implementation planning activities. For recommendation 3, there will be a TDD for each of the interfaces. We are working with the architecture team to build the processes to develop these for each interface partner. 4/23/21 RAP - The interface team has created communication plans for all interfaces. The decision on testing dates will be noted once the project schedule has been updated to reflect the impacts from the ATC. DHS has located additional MOA/MOU with trading partners in March. There are still that remain outstanding; however, DHS is working through the process of locating those, and we do not expect that the lack of MOU/MOA will have impact on the project until go-live. 02/25/2021 - Archie stated that the CYCRA interface is slated for Release 0.6 as one of the BESO interfaces and stated that Joleen updated the project schedule to include CYCRA.		

HI DHS Monthly IVV Status Report Final - July 2021														
62	Inability to measure development team velocity may impact the project ability to forecast the delivery date of the remaining features.	John	Finding - Issue 12/28/2020	Project Manageme	The subcontractor development teams don't currently track and report Sprint velocity to the ASI.	Velocity is an important metric in Agile development which provides project leadership the ability to forecast how many iterations the team will need to complete the remaining work. Development teams use velocity to avoid over-committing to work in future Sprints. Velocity can also be an early indicator that the project needs more time or resources to meet the planned release dates. If the ASI does not track development team's velocity, they cannot accurately forecast the delivery date of the remaining features, which may place the project cost and critical path at risk.	IVV recommends the ASI work with the subcontractor Scrum Masters to calculate the average velocity from past iterations to be used as a historical reference. Moving forward, the development teams should provide the ASI with Sprint and Product Burndown charts at the end of every iteration. The Sprint Burndown chart provides the ASI with a visual representation of the planned vs actual work completed for each Sprint and the Product Burndown chart shows the bigger picture. To calculate velocity, user stories need assigned values. IVV recommends relative story points. If the developers are not currently assigning values to user stories, IVV recommends this become common practice.	7	4	4	High	Open	release 0.5 Sprint 5, and although the sprint is not finished yet, the planned vs actual velocity chart is trending in the right direction. There were major improvements this reporting period regarding FCM (FMM/CMW) work estimations to Abal. Use case estimates are now in Abal for the current and follow on release. The FCM team is tracking story points in an MS-Excel worksheet as they validate their estimations and will be moving those estimations into Jira so they can track and report FCM velocity once the validation is complete. IVV will continue to monitor the progress on the SSP and FCM sprint teams ability to track velocity. 06/28/2021 - No progress to report this reporting period. The CMM/FMM team is still unable to measure sprint velocity and there are no story point estimations in the FCM_ALL backlog. Velocity is being tracked for the SSP sprint team but they consistently commit to more work than their velocity indicates they can complete in a single sprint. This may be a symptom of not using velocity as a planning tool during Sprint Planning. 05/27/2021 - There has been no progress this reporting period. The CMM/FMM team is unable to measure sprint velocity. The ASI is working with their subcontractor to make this information available to project leadership. 04/29/2021 - No major update. The CMM/FMM team is still unable to measure sprint velocity. As mentioned previously, the team is using JIRA as their task tracking tool but have not implemented the use of metrics which would enable them to track velocity. 03/30/2021 - During this reporting period, IVV observed the shifting of use cases to future releases. This is a result of the inability to use the development team's velocity to plan and forecast work by Sprint and Release. The CMM/FMM team migrated to JIRA but it is too early to tell how effectively the tool is being used to track and utilize agile metrics for planning. IVV will continue to monitor the team's progress towards using JIRA to track and utilize agile metrics to accurately plan future work. 02/25/2021 - Velocity is an important metric in Agile development to provide project leadership the ability to forecast the number of iterations needed to complete any remaining corresponding Draft Functional Design Documents. It is IVV's understanding the project is planning to initiate "Design Sprints" to identify design issues earlier and will include DHS/ASI Product Owners, and IVV. IVV will assess the process when it is provided and observe the Design Sprint sessions. 6/30/2021 - No JAD or Design Sessions were conducted in this reporting period. However, the ASI provided IVV a brief overview of the proposed process change to conduct design sprints in concert with the project schedule revisions. In addition, the ASI subcontractor added two Systems Analysts, but it is unclear if they have Integrated Eligibility experience. 5/30/2021 - A few screen prototype review sessions were held with healthy collaboration between all participants. Product owners raised some concerns, for example the PO's stated the Manage Veterans Information screen might not be needed as the information could be captured elsewhere. This is exactly what these sessions are meant to identify and the earlier they are found in the SDLC process the better. IVV will continue to monitor in May. 4/30/2021 - This finding title was revised to include design sessions. DHS has noted that some JAD results documents to include documented design decisions have been lost from prior JAD sessions. To move forward, DHS has requested the ASI to facilitate design sessions to ensure the BES is designed to meet the business requirements and take advantage of new technologies. IVV will continue to monitor. 3/31/2021 - No JAD sessions were held during the reporting period. IVV will continue to monitor, looking for any negative downstream impacts to the project resulting from poorly executed JADs. 2/28/2021 - DHS and IVV observed continued improvement in the February JAD sessions. Specific improvements were JAD preparedness, facilitation, and execution to ensure all participants understand and agree on the design of the BES solution. IVV will continue to monitor. 1/25/2021 - As observed by DHS and IVV the JAD sessions conducted this month were inconsistent. Some showed improvement by conducting post meeting follow-ups and improved facilitation efforts for the integration of the BES core modules. Each of the upcoming releases plan to demonstrate the first integration points between CMM and CMM/Current (Workflow Tool). The ASI provided IVV with steps towards mitigating this risk and we will review the mitigation plan to verify the steps are currently in progress or complete. 06/28/2021 - This reporting period, IVV reviewed the SSP Integrations document in Confluence that outlines the integration approaches for the identified SSP integration points. The document was designed as a reference for developers and contains the expected low-level details (API calls, request/response). To prepare for future knowledge transfer, it should also include high-level information (specific module names associated with each integration point). The SSP integration document will continue to evolve and is a positive step towards the mitigation of this risk. 05/27/2021 - The ASI provided IVV with a timeline for the planned integration of the BES modules. Integration between SSP and BES modules is planned to start in Release 0.5 and will continue through the final release. The plan is to integrate applications first, then appointments, alerts, notifications, and cases, etc. This risk will remain until there is demonstration of end-to-end functionality across modules. 04/29/2021 - Agile Best Practice is to deliver business value through the early development of technical solutions with end-to-end business processes. The ASI is building modules of the application separately and integrating them in later releases to satisfy the end-to-end business processes. This risk will remain until there is demonstration of end-to-end functionality across modules. 03/30/2021 - MDM integrations are currently being worked and CIA integrations are planned to be complete by the end of the next reporting period. IVV will continue to track the progress of the integration of modules and the prioritization of building integration points. 02/25/2021 - No major updates in this reporting period. Recommendations stand as written. 01/27/2021 - During this reporting period, IVV gained further insight regarding the system architecture and planned cleaning activities. The ASI is currently working through some security issues related to using converted data during testing. Additionally, the ASI is developing metrics to accurately report status and indicate the progress of data conversion through implementation. 6/30/2021 - The ASI and DHS continue tactical work related to data conversion and mapping. The ASI has been working on mapping the current schedule does include Data Conversion tasks however, it is unclear when converted data will be used to conduct SIT and UAT testing activities. The data conversion team is now providing a weekly status update and updating confluence with the project documents along with key metrics to accurately measure and report data conversion progress. 5/30/2021 - IVV observed the Data Conversion team (ASI/DHS) completing very specific tasks related to data cleansing and validating conversion plans. However, the ASI has yet to develop the "big picture" of the data conversion activities - a high-level activity chart from start to finish. 04/30/2021 - IVV continues to observe improved working sessions and communications across the data conversion team. However, data conversion tasks should be added to the schedule in current and future releases - including SIT and UAT testing. IVV remains concerned and will continue to review the schedule and metrics when provided by the ASI. 03/31/2021 - SIT and IVV have been invited to more of the ongoing meetings and have been included in communications between ASI and DHS on conversion tasks, greatly increasing visibility to progress in this workstream. Prior to these changes, high level status was shared every two weeks on the status call - making it very difficult to gauge progress. IVV will continue to monitor. 02/28/2021 - Release 0.4 Data Conversion continued during February and is scheduled for completion in mid-April. However, the ASI reported that functionality and release timing changes being considered for the CMM interview processes may impact data conversion. The project team has discussed changing the frequency of the Project's Data Conversion meeting from every-other-week to weekly for more frequent and	7/20/21 RAP - First in regards to the statement from the IV&V that "Velocity is being tracked for the SSP sprint team but they consistently commit to more work than their velocity indicates they can complete in a single sprint. This is a symptom of not using velocity as a planning tool during Sprint Planning," assumes facts not in evidence. There are multiple reasons why the SSP hasn't achieved their target velocity in recent sprints: a) We had a data capture problem for reporting velocity on bug fix tasks which resulted in an underperforming of story points for bug work. b) we had fewer points until recent sprints estimated for bug fix work than needed, compounding the problem stated in a. We have fixed both of these problems in the most recent sprints. c) The COVID spike in India resulted in unplanned absences reducing capacity of the team after sprint planning. d) as part of our processes, we ask the teams to take on stretch goals into each sprint planning session. My direction to the team is that I'm happy when we get to 80-90% of commitments. This is to keep us from having idle resources late in the sprint. 4/23/21 rap - The shifting of use cases in March to future releases had nothing to do with development team velocity. Instead, they were based on the unavailability of resources needed by the design and development team to complete their work. The CMM/ FMM development team has moved to JIRA but still needs to implement metrics that would be used to track velocity. At this point, however, we have no data that shows that development velocity is a risk. Rather it is activities upstream of development that are impacting development velocity.
61	Poorly executed JAD and design sessions could lead to inaccurate design and rework.	Brad	Finding - Issue 11/30/2020	System Design	ASI-led Workflow JAD sessions have been held for CMM, with the following concerns being observed: - No clear introduction to all participants on the goal of the JAD, overview on the process and the importance of their participation. - On many occasions the conversation needed to be driven by leading questions, as expected, but was instead led by business users - Too much pause time when participants did not know the answer to a question; several occasions where complete silence on the call for 30 seconds or more - Lack of thought leadership from the ASI on how workflow could be designed to ease/improve process for client	The CMM Workflow JAD sessions restarted in November. DHS indicated some concern regarding the CMM workflow (1) Did 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.	- JAD and design sessions should be lead by experienced senior BAs, with goals, objectives and results communicated to all participants. - The facilitator should be a participant in discussions through leading questions. - The DHS and ASI product owners should actively participate to ensure the system meets the requirements, designed taking advantage of new technology and aligns to the 'to be' business process. - The ASI should back track significant differences in design direction to determine the root cause in an effort to identify these items as early in the SDLC as possible. - The Product Owners should have more direct interaction with the development team, proactively seeking collaboration. - The Functional Design Document process, to include the Design Sprint concept, should be clearly defined and shared with all project team members.	ASAP	2	2	Med	Open	corresponding Draft Functional Design Documents. It is IVV's understanding the project is planning to initiate "Design Sprints" to identify design issues earlier and will include DHS/ASI Product Owners, and IVV. IVV will assess the process when it is provided and observe the Design Sprint sessions. 6/30/2021 - No JAD or Design Sessions were conducted in this reporting period. However, the ASI provided IVV a brief overview of the proposed process change to conduct design sprints in concert with the project schedule revisions. In addition, the ASI subcontractor added two Systems Analysts, but it is unclear if they have Integrated Eligibility experience. 5/30/2021 - A few screen prototype review sessions were held with healthy collaboration between all participants. Product owners raised some concerns, for example the PO's stated the Manage Veterans Information screen might not be needed as the information could be captured elsewhere. This is exactly what these sessions are meant to identify and the earlier they are found in the SDLC process the better. IVV will continue to monitor in May. 4/30/2021 - This finding title was revised to include design sessions. DHS has noted that some JAD results documents to include documented design decisions have been lost from prior JAD sessions. To move forward, DHS has requested the ASI to facilitate design sessions to ensure the BES is designed to meet the business requirements and take advantage of new technologies. IVV will continue to monitor. 3/31/2021 - No JAD sessions were held during the reporting period. IVV will continue to monitor, looking for any negative downstream impacts to the project resulting from poorly executed JADs. 2/28/2021 - DHS and IVV observed continued improvement in the February JAD sessions. Specific improvements were JAD preparedness, facilitation, and execution to ensure all participants understand and agree on the design of the BES solution. IVV will continue to monitor. 1/25/2021 - As observed by DHS and IVV the JAD sessions conducted this month were inconsistent. Some showed improvement by conducting post meeting follow-ups and improved facilitation efforts for the integration of the BES core modules. Each of the upcoming releases plan to demonstrate the first integration points between CMM and CMM/Current (Workflow Tool). The ASI provided IVV with steps towards mitigating this risk and we will review the mitigation plan to verify the steps are currently in progress or complete. 06/28/2021 - This reporting period, IVV reviewed the SSP Integrations document in Confluence that outlines the integration approaches for the identified SSP integration points. The document was designed as a reference for developers and contains the expected low-level details (API calls, request/response). To prepare for future knowledge transfer, it should also include high-level information (specific module names associated with each integration point). The SSP integration document will continue to evolve and is a positive step towards the mitigation of this risk. 05/27/2021 - The ASI provided IVV with a timeline for the planned integration of the BES modules. Integration between SSP and BES modules is planned to start in Release 0.5 and will continue through the final release. The plan is to integrate applications first, then appointments, alerts, notifications, and cases, etc. This risk will remain until there is demonstration of end-to-end functionality across modules. 04/29/2021 - Agile Best Practice is to deliver business value through the early development of technical solutions with end-to-end business processes. The ASI is building modules of the application separately and integrating them in later releases to satisfy the end-to-end business processes. This risk will remain until there is demonstration of end-to-end functionality across modules. 03/30/2021 - MDM integrations are currently being worked and CIA integrations are planned to be complete by the end of the next reporting period. IVV will continue to track the progress of the integration of modules and the prioritization of building integration points. 02/25/2021 - No major updates in this reporting period. Recommendations stand as written. 01/27/2021 - During this reporting period, IVV gained further insight regarding the system architecture and planned cleaning activities. The ASI is currently working through some security issues related to using converted data during testing. Additionally, the ASI is developing metrics to accurately report status and indicate the progress of data conversion through implementation. 6/30/2021 - The ASI and DHS continue tactical work related to data conversion and mapping. 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They are done as review sessions with the Product Owners following the processes on the project. The ASI has facilitated a more detailed breakdown of the scheduling for this work in both Abal and the worklogs. In regards to the recommendations, for Recommendation #1: We have the team in place that is responsible for the sessions. Goals, objectives, and results are communicated to all participants on a regular basis. Unless there is a more concrete recommendation from the IV&V, this should be considered Complete. Recommendation #2: The facilitator uses a variety of techniques to drive discussions in the sessions, they are prepared before the session by the Functional architect for CMM/FMM or the Product Manager for SSP as well as SME from the testing lead as appropriate. Unless there is a more concrete recommendation from the IV&V, this should be considered Complete. Recommendation #3: A number of steps have been taken by DHS and the ASI to align the design to the 'to be' processes. We will continue to look for input from the ASI SME, the functional architect, and the BESD leadership team to align to this goal. Recommendation #4: We work weekly in close contact with the DHS leadership to back-track significant differences in design direction. However, there is still improvement to be made. We will be coming forward with a more concrete escalation process from design teams to the leadership this month. Recommendation #5: The interaction with the development teams is via the ASI product owners, SME, and other individuals. Direct interaction with the development team is unlikely to be part of our go-forward plan at this point due to a number of reasons: a) time zone differences, b) impact on velocity,
60	System Integration of the BES Modules (CMM, FMM, SSP) will be developed in the later releases vs. a continuous integration model within each release which may cause schedule delays.	John	Finding - Risk 9/30/2020	Integration and int	The BES Modules (CMM, FMM, SSP) are developed by separate teams and demo's are currently subbed and the ASI 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 solution. In theory, integration is expected to occur instantaneously. In reality, a 'big bang' integration strategy results in a rushed and incomplete system test process and a system that is focused on individual components rather than system capabilities.	1/27/2021 - IVV recommends prioritizing the build of integration points within each module and the creation of scripts (API calls) required for integration. Each release demo should be a collaborative effort across all modules (end-to-end solution), demonstrating the understanding of every integration point and verified against system-level requirements. - Cancelled - If the ASI 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.	N/A	4	4	High	Open	efforts for the integration of the BES core modules. Each of the upcoming releases plan to demonstrate the first integration points between CMM and CMM/Current (Workflow Tool). The ASI provided IVV with steps towards mitigating this risk and we will review the mitigation plan to verify the steps are currently in progress or complete. 06/28/2021 - This reporting period, IVV reviewed the SSP Integrations document in Confluence that outlines the integration approaches for the identified SSP integration points. The document was designed as a reference for developers and contains the expected low-level details (API calls, request/response). To prepare for future knowledge transfer, it should also include high-level information (specific module names associated with each integration point). The SSP integration document will continue to evolve and is a positive step towards the mitigation of this risk. 05/27/2021 - The ASI provided IVV with a timeline for the planned integration of the BES modules. Integration between SSP and BES modules is planned to start in Release 0.5 and will continue through the final release. The plan is to integrate applications first, then appointments, alerts, notifications, and cases, etc. This risk will remain until there is demonstration of end-to-end functionality across modules. 04/29/2021 - Agile Best Practice is to deliver business value through the early development of technical solutions with end-to-end business processes. The ASI is building modules of the application separately and integrating them in later releases to satisfy the end-to-end business processes. This risk will remain until there is demonstration of end-to-end functionality across modules. 03/30/2021 - MDM integrations are currently being worked and CIA integrations are planned to be complete by the end of the next reporting period. 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The project team has discussed changing the frequency of the Project's Data Conversion meeting from every-other-week to weekly for more frequent and	7/20/21 RAP - Integration of the core modules (SSP & CMM and CMM & FMM) will continue to evolve in future releases. R.O.6 will demonstrate the first integration points between CMM & SSP. This is now four releases before the final planned development release. Similar interfaces between CMM & Current will begin in R0.7. 3 releases before the final development release. The ASI team is mitigating the risk stated by the IV&V in 3 ways: 1) gaining agreement from both development teams on the integration methods, and service contracts as noted in the July report from the IV&V, 2) providing a periodic communication forum for developers to discuss and plan for the integrations, and to discuss the service contracts that will implement the integration, 3) leveraging architectural principles for service development that eliminate nonorthodox integration risks. In terms of the recommendations, the ASI has planned work in the Release plans to meet Recommendation #1. We are happy to review that recommendation with the IV&V in more detail upon request. It is also available for review in Abal which is available to the IV&V at any time. Recommendation #2: The ASI will not plan our work in line with this recommendation. We disagree with the recommendation because it would slow overall development and encourage more monolithic integration approaches among the development teams likely increasing schedule risks rather than decreasing it. We recommend that the IV&V reconsider this recommendation. Recommendation #3: First, this appears to be a restatement of the second recommendation. Second, the ASI disagrees with the notion that the Release schedule is a 'big bang' release plan. Integrations will be built in each of
58	The Data Conversion effort lacks Leadership, consistency in Data Governance, and effective communications which may impact the schedule.	Brad	Finding - Risk 9/30/2020	Project Manageme	The Data Conversion effort appears to lack leadership for both the ASI and DHS. IVV has become aware that while DHS used a Data Governance Workgroup for the MDM release, it has not been active since 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 ASI should lead this effort and communicate with DHS where they are needed to assist. Multiple data cleanup actions and decisions between the ASI and DHS have lagged for several weeks, with the lack of leadership and communication suspected as the root cause. As an example, it was announced in mid-month that the R0.2 data conversion effort would not result in actual conversion of data, and that the validation for R0.2 would be limited to being 'done on paper'. DHS was unaware that the ASI 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 DDI 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.] Closed 7/30/2021 - [Investigate and resolve communication issues that are suspected to be delaying the data conversion effort.] Closed 7/30/2021 - Prioritize the conversion activities to validate the key tasks are addressed early to avoid further delays considering the complexity of the later releases. - [Update the timing of the project Data Conversion meeting from every-other-week to weekly.] Closed 7/30/2021 - The ASI should develop reports with metrics that accurately measure the Data Conversion progress. - [Add detailed Conversion tasks to the Project Schedule.] Closed 7/30/2021 - The DHS Data Governance committee needs to clarify the use of MDM so the BES conversion team aligns to the planned governance structure. - The Data Conversion team should evaluate the Just in Time (JIT) approach to determine if there are risks to the project that should be monitored/managed.	Q4 2020	3	2	Med	Open	cleaning activities. The ASI is currently working through some security issues related to using converted data during testing. Additionally, the ASI is developing metrics to accurately report status and indicate the progress of data conversion through implementation. 6/30/2021 - The ASI and DHS continue tactical work related to data conversion and mapping. The ASI has been working on mapping the current schedule does include Data Conversion tasks however, it is unclear when converted data will be used to conduct SIT and UAT testing activities. The data conversion team is now providing a weekly status update and updating confluence with the project documents along with key metrics to accurately measure and report data conversion progress. 5/30/2021 - IVV observed the Data Conversion team (ASI/DHS) completing very specific tasks related to data cleansing and validating conversion plans. 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However, the ASI reported that functionality and release timing changes being considered for the CMM interview processes may impact data conversion. The project team has discussed changing the frequency of the Project's Data Conversion meeting from every-other-week to weekly for more frequent and	7/20/21 RAP - The ASI conversion team continues to refine weekly metrics associated with the conversion in order to provide more transparency on the progress associated with conversion activities. The ability to use conversion in SIT and UAT is unclear. The ASI will address this topic this month. There are security concerns related to loading it to specific environments that we are working through with the security team. Additionally, the GCP change request is not complete which we need to have agreed upon in principal in order to accurately forecast this. We expect to make progress against this task this month. Regarding the recommendations: Recommendation #3: The ASI requests increased clarity from the IV&V as to what constitutes a "key" task. Recommendation #4: The weekly conversion status reports provide this view point on the weekly basis. We are working to develop full scope metrics based on the source tables. We hope to have that clarified this month. Recommendation #5: The project schedule contains tasks for mapping, scripting, and testing of converted data per release. We will be looking at providing some additional detail to be in line with our overall approach to leverage both Abal and MS Project as scheduling tools. Recommendation #6: The data governance committee has already approved a plan for the uses of MDM before we began the SOAP process. The FDD and TOD were approved in 2019. The conversion team will be receiving MDM test files to work with as soon as the conversion environment is approved by security to receive these files. We expect that to be in the next several weeks 4/23/21 RAP - The ASI agrees that the conversion is often a high risk area for projects of this size and scope. We agree and plan to add metrics based reports for the Data Conversion process in the next reporting period. We have also

54	User Acceptance Testing (UAT) processes and timing of inputs Brad required for UAT could lead to implementation delays and delivery of a solution that does not meet business needs or requirements.	Finding - Risk	6/24/2020	Project Management	11/30/2020 - Applications changes applied in UAT need to be reflected in update Bi-10. Poorly planned and executed User Acceptance Testing (UAT) could lead to implementation delays and delivery of a solution that does not meet 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 (Bi-20) Delivery and approval of system test results (Bi-22) Delivery and approval of other R0.1 deliverables (Bi-10, Bi-14, Bi-15, Bi-21). The ASJ plans to address this challenge, as well as other opportunities for improvement evidenced during R.0.1 as "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 ASI. 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 ASI.	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 final 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.	- [All agreed upon actions to resolve issues called out in Release 0.2 Lessons Learned should be added to project schedule so adequate timing is provided to support UAT preparation and execution.] Closed 7/30/2021 - Provide IVV with the Root Cause Analysis conducted for the Release 0.3 UAT. - [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.] Closed 7/30/2021 Evaluate the process and/or schedule to determine if adjustments could streamline the process for the UAT test team to plan and create UAT test cases, minimizing rework. - Designs need to be solidified prior to developing the scripts - should establish a cut-off date for the design. - include the IVV team as SQA processes are modified based on the Release 0.4 UAT activities. - include the IVV team when the Release 0.4 UAT Activity Root Cause Analysis session is scheduled.	Immediately	3	2	Med	Open	issues and are currently evaluating options regarding UAT that may impact the SLDC process and schedule activities. Additionally, IVV completed the "Shadow Activity" with some of the UAT Testers, resulting in a summary of the process, observations, and recommendations for the project team to consider in future testing activities. 6/30/2021 - Release 0.4 UAT began on June 28th and the results of the Release 0.3 Lessons Learned survey were distributed by the ASI, the action plans are planned to be developed in July 2021. Although the action plans are not yet defined, the project team applied some process changes to Release 0.4 UAT including freezing the functional design and delaying the completion of SIT to resolve and retest defects prior to starting UAT. The project team anticipated to minimize rework by the DHS UAT team. 05/30/2021 - There were no active UAT sessions during this reporting period. However, DHS indicated that in Release 0.3, the solution design was being updated after UAT start, causing rework on test case/script creation. This may be addressed in the Release 0.4 Lessons Learned activity, planned for next month. 04/30/2021 - In discussions with DHS, during Release 0.3 UAT, Functional Design Documents (FDDs) were being updated during SIT, making it very difficult for the UAT test team to create accurate and complete test cases. IVV will continue to monitor. 03/31/2021 - UAT for release 0.3 is now in progress and continues to be facilitated and executed well. New metrics have been introduced which help clarify progress and focus areas. IVV will continue to monitor. 2/28/2021 - In February, the ASI developed a process to manage updates to the BES Design Documents based on the outcome of UAT that are not categorized as defects but should be included in the BES design. Additionally, the majority of Release 0.2 Lessons Learned were implemented in February. IVV reduced the criticality rating of this finding from medium to low and will monitor the execution of these new processes in March. 03/26/2021 - There was no any UAT activity in January however, the 44 design changes identified during Release 0.2 remain outstanding along with the Release	7/20/21 RAP - The ASI and DHS are planning to revamp the UAT process significantly in this reporting period. The UAT testing team will be integrated with the ASI testing team and involved earlier in the testing process. Regarding the recommendations: Recommendation #1: Lessons learned are on schedule and will continue to be worked as part of our normal release processes as they have been for previous releases. It is unclear why the IVV team is recommending that we continue to do what we have planned to do. Recommendation #2: If the actions resulting from the lessons learned process require sufficient work (>40h) for warrant inclusion in the project schedule, we will include them. Recommendation #3: This recommendation was a hold over from R0.3 and was completed. As appropriate, we will continue the process in future releases. Recommendation #6: The ASI is working with DHS on this as mentioned at the top; however, we also have made recommendations that were not implemented by the UAT to minimize rework in the future in developing test scripts. In addition, it is our understanding that the IVV team has made recommendation for test script development to the DHS team that requires significant increase in effort and will likely increase in rework. The ASI recommends that the IVV team reconsider those recommendations. 4/23/21 RAP - During this period, UAT for R0.3 completed. We will implement recommendation #3 by the end of the reviewed period. Recommendation #4 to review and categorize "anomalies" reported from UAT is complete. The use of this term rather than industry specific terminology by the IVV hints at a value judgement on the definition of a defect. During this period, the ASI met with DHS
49	Poor quality project deliverables may impact system design, testing artifacts and the project schedule.	Finding - Issue	4/6/2020	Project Management	In April, four Bi-10 design deliverables and one Interface Control Document were submitted for review. There was an average of 85 comments submitted for each of these deliverables. The documents exhibited erroneous information, a lack of a logical organizational flow, an insufficient level of detail, and a lack of understanding of the subject matter from both a functional and technical perspective. DHS lodged 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.	The staff time spent on reviewing deliverables is exceeding the plan for all project entities and has caused schedule delays. Quality issues are rarely generated by a single entity in a project. 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 unfulfilled functionality, and additional schedule delays.	[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 in a project. Deliverables are 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.] Closed 7/30/2021 IVV recommends that the ASI reviews its Quality Management Plan to ensure that the project is working within the guidelines of this Plan document. 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. IVV has not seen evidence indicating the ASI is utilizing metrics to measure its process and product quality.	Immediate	2	2	Low	Open	most comments focused on Release 0.2 format/grammar/appealing. This implies improvement however, without published ASI metrics on the quality of the deliverables, IVV is unable to validate. 6/30/2021 - No material update during this reporting period. DHS and IVV will review the ASI's revised process metrics when they are published. 05/30/2021 - One deliverable was submitted in this reporting period and is currently being reviewed by the IVV team. No update provided by the ASI. 04/30/2021 - Improved collaboration between ASI, DHS SMEs and Product Owners in design-related discussions is having a positive impact on the quality of deliverables. The ASI is currently developing additional quality metrics to quantify these improvements. IVV will continue to monitor 03/31/2021 - The quality of deliverables continues to show improvement, mainly due to the use of the Confluence tool and its collaborative capabilities. IVV will continue to monitor the implementation and the effectiveness of quality improvements. 02/28/2021 - The Project continued to implement Release 0.2 Lessons Learned initiatives to improve project quality during February. Confluence is enabling the team collaboration to increase the quality of deliverables and work products. IVV has reduced the criticality of this finding to low and will continue to monitor the implementation and the effectiveness of these quality improvement initiatives. 02/13/2021 - The ASI submitted multiple deliverables during January spanning all current releases, with inconsistent document quality results. Some technical deliverables exhibited improved quality, while some design-related test deliverables continued to exhibit multiple anomalies. The project team conducted a Deliverable Review Pilot Process Review in January, which identified areas where the effectiveness of the process since its inception. The timing metrics clearly indicated that the deliverable review process had increased the pace and speed at which deliverables are reviewed; however, the quality metrics did not indicate deliverable quality improvement. The Project Team began several Lessons Learned initiatives aimed at increasing both the speed and quality of deliverables, strength again after having some challenges with COVID. IVV remains concerned that some communications between the project team could be hindered due to not being able to work in closer proximity. IVV recommends project leadership continue to encourage independent phone conversations to enhance and accelerate communications, and has indicated that team members not wait for meetings to converse. 6/28/21 - The ASI continues to limit their office occupancy to 50% to comply with State mandates but has been met in off-site team members continue to use increased productivity from in-person project collaboration. Some key DHS SMEs will continue to work remotely which could pose a challenge to project productivity. Earlier concerns with COVID impacts to their offshore (India) team because of the spike in new cases appear to be subsiding. IVV changed the criticality of this finding from medium to low and will continue to monitor. 5/27/21 - The ASI has allowed their team and select DHS team members to return to their office. DHS' acting PM has noted in-person interactions with the ASI have improved communications and productivity at the PM level. It remains unclear whether the off-shore ASI team will continue to be impacted by team members who may become unavailable due to COVID. 4/28/21 - The project continues to adapt to virtual project activities and sessions. Though in-person sessions are likely more productive and can increase stakeholder participation and the project's cadence, DHS has accepted this risk and continues to improve their virtual capabilities. The ASI stated their off-shore India SP team has been directly impacted by the increased COVID infection rates as 3-4 of their developers have contracted COVID. If these numbers grow the ASI may transfer some of the work to other teams. 3/31/21 - As BES03 operational activities due to COVID subside, some BES03 SMEs are increasing their level of involvement on project tasks (e.g., UAT testing, Product Owners). Hawaii State leadership has announced that the influx of Federal funds, furloughs will not be necessary. The ASI is making plans for mitigating risks regarding virtual/remote training and remote user	06/30/2020 - New deliverables this month included Bi-10 and Bi-20. Bi-10 was initially called back for quality issues, and the issues were corrected. DHS is not comfortable with Bi-10 re-format, will be revised again.
47	The COVID-19 pandemic and the related "stay at home" order could hinder project activities and negatively impact the project schedule and budget.	Finding - Risk	3/29/2020	Project Management	On 3/23/2020, the Governor of Hawaii issued a "stay at home, work from home" order that has caused some challenges to the project. The order has caused the majority of state workers will be required to work from home/remotely at least until the end of May and some offices may be completely shut down until that time as well. Under if the order will extend beyond that date.	DHS stakeholder participation in key activities could be significantly hindered, not only by working remotely but also by the need to focus on delivering services to beneficiaries. Planned key activities such as design sessions may be facilitated remotely which may impact the quality of the sessions. Going forward, most if not all project activities will more than likely be conducted remotely until this crisis passes. The DHS project team will soon meet some key members of the PMO, the PMO lead will retire on 4/30/20 and another key member in June 2020. DHS has concerns that the state could experience a significant loss of revenue due to COVID, which could lead to DHS budget challenges. If the state/DHS institutes a hiring freeze, DHS PMO may not be able to replace these key resources. Additionally, if the state institutes furloughs, DHS project team resources could be further constrained. Under if the state budget challenges will impact overall project funding.	- Continue to make efforts to setup, train, and assist new stakeholders on remote work devices and tools and continue to assist stakeholders with becoming highly functional with remote access technology (e.g. MS Teams/Slype). - Complete - 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. 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 aid the organization through this COVID-19 pandemic in the short and long term. - Complete - Send broad communications to stakeholders to assure clear understanding of changes to the project with this regard to impacts of COVID as well as clarifying communications as to what will remain the same. - Explore options for freeing up key BES03 SME's work on the project. - Complete - Project leadership continues to encourage independent phone conversations to enhance and accelerate communications, and for team members not wait for meetings to converse.	ASAP	2	2	Low	Open	strength again after having some challenges with COVID. IVV remains concerned that some communications between the project team could be hindered due to not being able to work in closer proximity. IVV recommends project leadership continue to encourage independent phone conversations to enhance and accelerate communications, and has indicated that team members not wait for meetings to converse. 6/28/21 - The ASI continues to limit their office occupancy to 50% to comply with State mandates but has been met in off-site team members continue to use increased productivity from in-person project collaboration. Some key DHS SMEs will continue to work remotely which could pose a challenge to project productivity. Earlier concerns with COVID impacts to their offshore (India) team because of the spike in new cases appear to be subsiding. IVV changed the criticality of this finding from medium to low and will continue to monitor. 5/27/21 - The ASI has allowed their team and select DHS team members to return to their office. DHS' acting PM has noted in-person interactions with the ASI have improved communications and productivity at the PM level. It remains unclear whether the off-shore ASI team will continue to be impacted by team members who may become unavailable due to COVID. 4/28/21 - The project continues to adapt to virtual project activities and sessions. Though in-person sessions are likely more productive and can increase stakeholder participation and the project's cadence, DHS has accepted this risk and continues to improve their virtual capabilities. The ASI stated their off-shore India SP team has been directly impacted by the increased COVID infection rates as 3-4 of their developers have contracted COVID. If these numbers grow the ASI may transfer some of the work to other teams. 3/31/21 - As BES03 operational activities due to COVID subside, some BES03 SMEs are increasing their level of involvement on project tasks (e.g., UAT testing, Product Owners). Hawaii State leadership has announced that the influx of Federal funds, furloughs will not be necessary. The ASI is making plans for mitigating risks regarding virtual/remote training and remote user	06/30/2020 - Office opening may be delayed until September/October. TBD.
43	DHS PMO project team members have transitioned of the project, which may cause gaps in knowledge transfer and leadership on the project.	Finding - Issue	1/10/2020	Project Management	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 transitioned of the project. While there are 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.	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 BES DDI and KOLLA Modifications, and planning efforts for BES Maintenance and Operations activities.	5/31/2021 - DHS continue to work with the appropriate organizations to identify the funds necessary to fill these positions. The state should document a transition plan for the project and PMO resources as identified in the RFP (reference RFP section 3.4.3 "DHS Staffing"). The plan should include the possible COVID-19 economic impact to the project budget, directly in relation to the project resources. - Close The ASI should document a transition plan for each key resource as required by the RFP (reference RFP section 3.5.1.2 "Benefits Eligibility Solution Project Staffing") - Closed	ASAP	5	4	High	Open	update in this reporting period. 5/31/2021 - No material update in this reporting period. 4/30/2021 - DHS reported the "hiring freeze" has been lifted and are working to secure the budget for these positions. IVV will continue to monitor. 3/31/2021 - No material update to this finding in this reporting period. 2/28/2021 - No material update to this finding in this reporting period. Note: Previously this finding was addressing DHS PMO and DHS BES03 staff, they were split during this reporting period to accommodate different status updates and criticality ratings. The BES03 Staff are now in finding BES. 01/31/2021 - DHS assigned several BES03 staff to the project team this month and they are in the onboarding process. The DHS PMO positions remain in an open status. Although many new staff were added to the project in January, IVV retains this as a high-priority until DHS has validated the project has the staff with the required skill sets needed for the long-term. This may be challenging since the project is using Aha and MS-Project to manage the schedule and Aha does not currently have DHS resource estimates included for the activities and tasks. 12/31/2020 - DHS identified 2 additional staff to begin assisting in the deliverable review process in January 2021. Additional BES03 staff may be needed to support the project in the near term for the larger releases and the open DHS positions have not yet been approved/funded. 11/20/2020 - DHS has identified additional part time BES03 staff to work on the project in the Product Owner role. DHS is planning to establish roles and responsibilities for the new team members and continues to pursue additional staff to work on the project to minimize risk. 10/30/2020 - No material update to this finding during this reporting period. 9/30/2020 - The lack of DHS staff to work on the BES project is negatively impacting the project. The last DHS PMO member retired at the end of this month. The initiation of the BES Deliverable review and approval process along with all other project work is straining the DHS project team. It is critical that additional staff be made available to work on the project to include managing the ASI contractual requirements.	02/08/2021 - Brian Donohoe does not agree with IVV's high-criticality rating on this Finding (#43) and DHS rolled out the DHS Product Owner Roles and Responsibilities to the DHS team on 02/08/2021. No. 3/3/2020 - (Gary provided the Final DHS Product Owner Roles and Responsibilities document to IVV on 02/08/2021). The last DHS PMO member retired at the end of this month. The initiation of the BES Deliverable review and approval process along with all other project work is straining the DHS project team. It is critical that additional staff be made available to work on the project to include managing the ASI contractual requirements.

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29	Uncertainty and/or a lack of communication around long term mfor architecture decisions could impact the project budget, schedule, system design, and planning decisions.	Finding - Issue 5/28/2019	Project Managem	Some platform and BES system architecture decisions have yet to be made and socialized to the project. For example, the ASI and DHS have stated that they have reached agreement that the project will move forward with implementing two Sabel 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 or the rationale for this decision or the plan for integrating the two instances post go live have been thoroughly vetted and/or documented. Further, there may be some uncertainty around whether when/if all environments (including KOLEA and BES production) will be moved to the cloud.	The current project architecture and design should be as representative and inclusive of all known future solution plans as possible. As an example, if KOLEA and BES are to move to a single instance of Sabel in the future, planning for that integration should be incorporated into the project now. If such significant future changes are not planned for now, the project is likely to see increased complexity, rework, and costs when integrating the two systems in the future.	- The ASI continue to make updates to the BI-12 System Architecture Deliverable with additional details as they become available and with any architectural changes are finalized. - Complete DHS continue to request ASI perform due diligence in any recommendation for foundational architecture change decisions and continue to review with appropriate DHS stakeholders to assure a common understanding of the implications of these decisions. - The project should continue to vet possible architectural change impacts to platform, IV and O, MQD, and BES systems before finalizing architectural decisions. - The project should continue to ensure communication between development leads and architecture leads to assure optimal collaboration on possible architecture changes that could impact decisions in each area. - DHS should finalize the Portal strategy and implementation details and communicate clearly communicate out to stakeholders and project teams. - Maintain current communication processes to ensure regular communication between the architecture team and the rest of the project team to assess impact of architecture decisions to the project.	ASAP	2	2	Low	Open	are continuing efforts to refine the implementation plan. Many DHS stakeholders remain unclear on how the cost estimates were derived and the basis of allocating the cost between MQD and BESSD. Therefore, it is unclear if these plans and estimates were fully communicated and socialized prior to the CCB meeting. 6/28/21 - The ASI reviewed the change order to implement 2 portals (BESSD and MQD) instead of a single consolidated portal. Some details of this change have yet to be provided and the stakeholders raised multiple questions and concerns. The ASI indicated that the project is considering replacing the existing State hub with Boomio isolators but details are not yet available. 5/27/21 - Although the ASI has taken efforts to clarify how they intend to utilize the State Hub, some aspects have yet to be decided by DHS and the ASI. IV&V will continue to monitor communications between the various stakeholders to assure decisions are made with a full understanding of the system architecture. 4/27/21 - Communication and/or agreement over how BES will utilize the State data hub in the short term as well as going forward is not clear. Repeated ESI questions during the ESI Weekly Platform Status Meeting remain outstanding. 3/31/2021 - The project has made progress in clarifying their portal strategy. The BES portal will include a combined BESSD/MQD application for users from either division. The MQD KOLEA portal will include only the MQD application, and transfer users to the BES portal if they also need to apply for BESSD services. 2/24/2021 - The project continues to clarify the DHS portal strategy. The project appears poised to select a container security tool. Weekly ASI/DHS/ESI architecture and other architecture and security-related meetings have served to communicate architecture decisions. Therefore, IVV reduced the criticality rating of this finding from medium to low. IVV remains concerned with the complexity and number of tools that are being utilized and if the governance structure is effective to manage the architecture. 1/27/2021 - As the project continues to introduce new technology/tools to the solution environment, it remains unclear if sufficient governance over the technology has been established. It remains unclear if the DHS processes via their monthly release development teams with updates to the SDC processes via their monthly release updates. However, it remains unclear whether this will effectively communicate the methodology to DHS project team members such that they become more productive in their participation in the SDC process or that they provide effective feedback to the ASI with regard to design decisions, optimal testing processes, and other important SDC activities. The project team is still not fully understand the consequences of their design decisions, systems designs could require rework and the project could be faced with unexpected change orders. 6/28/21 - The ASI is in the process drafting changes to their current development approach to address some DHS concerns. Details of the changes have yet to be fully delivered, vetted, and communicated to the DHS project team. IVV will review proposed changes once more details become available. 5/27/21 - DHS and the ASI continue to make efforts to bring their new product owners up to speed with both the methodology and expectations of their role. It remains unclear whether DHS product owners will be able to meet project expectations to assure their product owner responsibilities are fully met. 4/28/2021 - The ASI and IVV agree that continuing to educate the DHS product owners in Agile and other software development processes can increase the quality of design sessions and productivity of their role. 3/31/2021 - No update for this reporting period. 2/24/2021 - The ASI has stated their intention to reconcile the differences in approach between their 2 software development teams (Uninisi India and subcontractor) and increase DHS' understanding of the SDC approach. While some key DHS SMEs appear to have a good understanding of the ASI methodology/approach others, including some of the new product owners, may not. Lack of an understanding of the project methodology/approach may reduce SME effectiveness and ability to make informed decisions. 1/27/2021 - The ASI has yet to clarify how they will reconcile their subcontractors differences in approach and whether they will be able to provide DHS with accurate project information. 1/7/19: Note. During the 01-02-18 [sic] status meeting, DHS did not decline the offer and made suggestions. To my understanding, Uninisi offered to present the orientation during each JAD session. It was suggested by DHS that the pre-JAD 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.	4/23/21 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that final decisions will likely be made during this reporting period and communicated to the project. The ASI refers the IV&V to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IV&V does not believe it is Complete we request supporting detail.
16	Lack of clear understanding of the DDI approach may reduce effectiveness of all SDC Processes.	Finding - Issue 12/17/2018	Configuratio	Several DHS stakeholders have commented that the SI Design, Development, and Implementation (DDI) approach is unclear. Some stakeholders can observe SI activity and have participated in some SI activities, they do not understand how it all fits together and some activity objectives seem unclear. The SI conducted a DDI approach overview session during an initial JAR session, however not all stakeholders were present. IVV did not locate any DDI approach documentation or materials that could be referenced by stakeholders who may have missed to the overview session, by new members of the team, or by other interested parties.	Lack of stakeholder understanding and buy-in to the SI DDI approach and project activity objectives could impact the effectiveness of JAR and JAD sessions as well as other BES project activities and decisions.	PCG recommends one or more of the following to mitigate this risk. • ASI provide an additional DDI approach overview session with stakeholders to clarify the elements of the methodology, especially new product owners. • ASI make available their DDI approach documentation/materials for stakeholders to review and/or refresh their knowledge on demand. • The project monitor DHS product owner productivity, ability/willingness to provide effective feedback to the ASI for design and other important decisions and provide coaching as needed to assure their effectiveness in their role.	1/31/19	3	3	Med	Open	06/30/2020 - Combined application is still planned. App still not finalized by DHS. From Arch perspective, we are building in Liferay. Future integration of the portals is still to be determined, but is not more complex than originally planned for data sharing. If change is made to Adobe, this would require a CR.	4/23/21 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that final decisions will likely be made during this reporting period and communicated to the project. The ASI refers the IV&V to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IV&V does not believe it is Complete we request supporting detail.
2	Late delivery of project deliverables may cause schedule delays	Ryan Finding - Issue 11/28/2018	Project Managem	Based upon the project schedule dated 11/26/18 (refer to schedule for specifics), several due dates for project deliverables have been missed. As of the date of this report, these deliverables include the Project Management Plan (PMP), which is the formal document that is used to manage the execution of the project. In some instances, this risk may be compounded by a backlog of Deliverable Expectation Documents (DED) requiring approval and acceptance from the State.	Without a PMP that depicts all Project Management processes, the Project can suffer unplanned consequences in scope, schedule, cost, and quality parameters. Without a schedule that provides the required level of detail to manage the work, the project is at risk to be successful.	5/31/2021 - When the revised schedule is published the project team should restart the weekly practice of reporting actions being taken for late tasks and develop mitigation plans for those tasks that may be late. - Complete 4/30/2021 and 7/29/2021 - DHS and the ASI agree and publish the revised schedule based on the KOLEA ATC impact, CMM development delays and any other changes to address the SDC process adjustments. 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 cause(s). - Closed 8/31/2020 Recommendations - 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 IVV to include the Release 0.1 lessons learned. - Closed - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline. - Complete - Establish the process for on-going schedule management and weekly updates, utilizing the Schedule Management sub-plan of the Project Management Plan (BI-04). - Complete 5/31/2020 - Finalize the updates to the project schedule to address the outstanding items/issues identified by DHS and IVV. - Closed 5/31/2020 - Establish the process for DHS and the ASI to mutually agree to the revised project schedule baseline. - Closed 3/31/2020 - Add all tasks that have been performed or planned to be performed in the interim schedule. Closed 5/30/2020 - effective 5/15/2020 the ASI is no longer maintaining the interim schedule. IVV recommends that the ASI complete the Project Management Plan deliverable, work with DHS and IVV for review and edit as needed, and attain approval of the PMP. This will help ensure that all processes within the project management entity are thoughtfully and collaboratively developed and implemented to meet the needs of the project. Review and update the project schedule to capture and discuss the late deliverable and tasks and delivery thereof; needed mitigation actions along with identification and agreement with DHS on DDI to resolve the late activities and tasks. - Closed Updated Recommendation 10/10/2019 - Continue to manage and track the schedule to ensure deliverables are provided as planned. - Closed - Review the schedule critical path in the weekly schedule review meeting. - Closed - 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 obstacle resolution. - Closed - Determine	TBD	4	5	High	Open	ASI are currently evaluating SDC processes changes that may require further schedule updates. Additionally, the schedule impact of the KOLEA ATC changes is not yet final however, the ASI is planning on gaining DHS approval on the revised schedule next month. 6/30/2021 - The ASI published a draft revised schedule on 6/17/2021. The ASI is currently reviewing the comments and questions submitted by DHS and IVV. The project team is moving forward with the revised schedule understanding that further changes may be applied prior to DHS acceptance. 5/31/2021 - There are no material updates to this finding in this reporting period, the revised project schedule is under development. 4/30/2021 - The revised Project Schedule has not been published to reflect the full scope of the project due to the KOLEA ATC impact (the CMS required KOLEA modifications are causing a delay of the integration with BES) and CMM development delays. IVV notes the project team revised the Release 0.4 schedule in this reporting period and the Release 0.5 schedule is in process. It remains unclear why updates to the schedule continue to be delayed. A residual impact of not having a project schedule is the loss of project team momentum, which is occurring based on the reduction of project meetings and deliverable reviews. 3/31/2021 - The schedule remained static through this reporting period as the project team continued to work through challenges regarding the Release 0.4 CMM interview, KOLEA MDM and Single Sign-on development activities. During this reporting period, some deliverables were late. The project team is researching options and assessing the schedule impact. 2/28/2021 - In the February 17, 2021 status meeting, the project team reported challenges regarding the Release 0.4 CMM interview, KOLEA MDM and Single Sign-on development activities. The project team is researching options and assessing the schedule impact. As a result, some deliverables were late. Consequently, IVV retains this as a high criticality issue. Additionally, the ASI reported that they completed an internal root cause analysis and conduct a weekly internal meeting to review the schedule details to identify	4/23/21 rap - The ASI and DHS continue to refine the final plan for the two portal vision. We expect that final decisions will likely be made during this reporting period and communicated to the project. The ASI refers the IV&V to our February update regarding Recommendation #3. From our perspective all necessary actions are complete. If the IV&V does not believe it is Complete we request supporting detail.