STATE OF HAWAIʻI | *KA MOKUʻĀINA O HAWAIʻI*
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES | *KA ʻOIHANA LOIHELU A LAWELAWE LAULĀ*

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES | *KEʻENA HOʻOLANA ʻENEHANA*

P.O. BOX 119, HONOLULU, HAWAII 96810-0119

January 23, 2025

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

The Honorable Nadine K. Nakamura
Speaker and Members of the
House of Representatives
Thirty-Third State Legislature
State Capitol, Room 431
Honolulu, Hawaiʻi 96813

Aloha Senate President Kouchi, House Speaker Nakamura, and Members of the Legislature:

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawaiʻi, 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,

Christine M. Sakuda
Chief Information Officer
State of Hawaiʻi

Attachments (2)

Hawaii Department of Human Services Systems Modernization Project

Final IV&V Status Report
for Reporting Period: December 1 – 31, 2024

Submitted: January 15, 2025

PUBLIC CONSULTING GROUP

Solutions that Matter

Overview

Executive Summary

Executive Summary

In December, DHS and the ASI continued to focus on replanning the BES project to include changes to many project aspects that may directly impact the implementation approach, processes, and project schedule. Activities included:

- The ASI continued to revise the project schedule.

- DHS worked with the ASI to draft two additional Change Requests (CRs), currently being estimated for DHS approval.

- The ASI held Joint Application Design (JAD) sessions for the DHS-approved CRs. IV&V continues to be concerned that design sessions are not as collaborative as needed, especially if the project will switch to a Waterfall methodology where fully detailed requirements and design are required; not just incremental as in the current Agile methodology.

- The ASI has not released the Root Cause Analysis (RCA) report for the most recent schedule delay that occurred in September 2024. IV&V expects the results of the RCA to drive changes to the project processes that may also impact the schedule and resource planning efforts.

- The ASI continues to add new areas to be addressed in their process improvement initiative, which include testing and data conversion, which both IV&V and DHS agree could lead to improved project outcomes if all aspects of the initiative meet defined expectations.

There are many 'irons in the fire' that should be resolved and approved by DHS and reflected in the new schedule before the ASI's planned official re-kick-off of the BES Design, Development, and Implementation Project in January 2025.

Oct	Nov	Dec	Category	IV&V Observations
H	H	H	Project Management	The ASI has not yet provided a draft for the restart of the project, nor has an agreement been reached to transition the Software Development Methodology from Agile to Waterfall – two key elements that must be in place to fully restart the project.

Executive Summary

Oct	Nov	Dec	Category	IV&V Observations
L	L	L	System Design	The ASI started hosting JAD sessions focused on the CRs requested by DHS, but IV&V is concerned that these discussion (as they are currently conducted) might not lead to comprehensive and accurate designs.
M	M	M	Configuration and Development	The ASI has continued their efforts to enhance the software development process per their process improvement plan, including dedicating resources to monitor and drive this work, which might be altered upon completion and publishing of the Root Cause Analysis.
L	L	L	Integration and Interface Management	Initial testing has been successful. IV&V expects to see remaining testing specifically called out in the revised schedule currently being developed.
H	H	H	Testing	With no major testing cycles in progress (SIT, UAT), the ASI is focused on process improvements for testing phases, in alignment with IV&V and DHS's desire to improve the overall testing process. In addition, the ASI is testing resolved UAT defects.
H	H	H	Security and Privacy	The ASI delivered six security policies to DHS for approval. IV&V is concerned with DHS resource availability to complete this work. The environment patching was completed, remediating many critical and high findings in the Plan of Action and Milestones (POAM).
M	M	M	Requirements Analysis & Management	The ASI hosted a call with DHS and IV&V to demonstrate how to use the current version of the Requirements Traceability Matrix reports to confirm requirement coverage but was unable to do so. The ASI has added a resource to requirements management process to help address issues impacting the delivery of a workable RTM.

IV&V Findings and Recommendations

IV&V Findings and Recommendations

As of the December 2024 reporting period, PCG is tracking 11 open findings (5 risks, 6 issues) and has retired a total of 76 findings. Of the 11 open findings, 4 are High, 3 are Medium, and 4 are Low.

Open Risks & Issues

Legend:
- Open - Med
- Open - Low
- Open - High
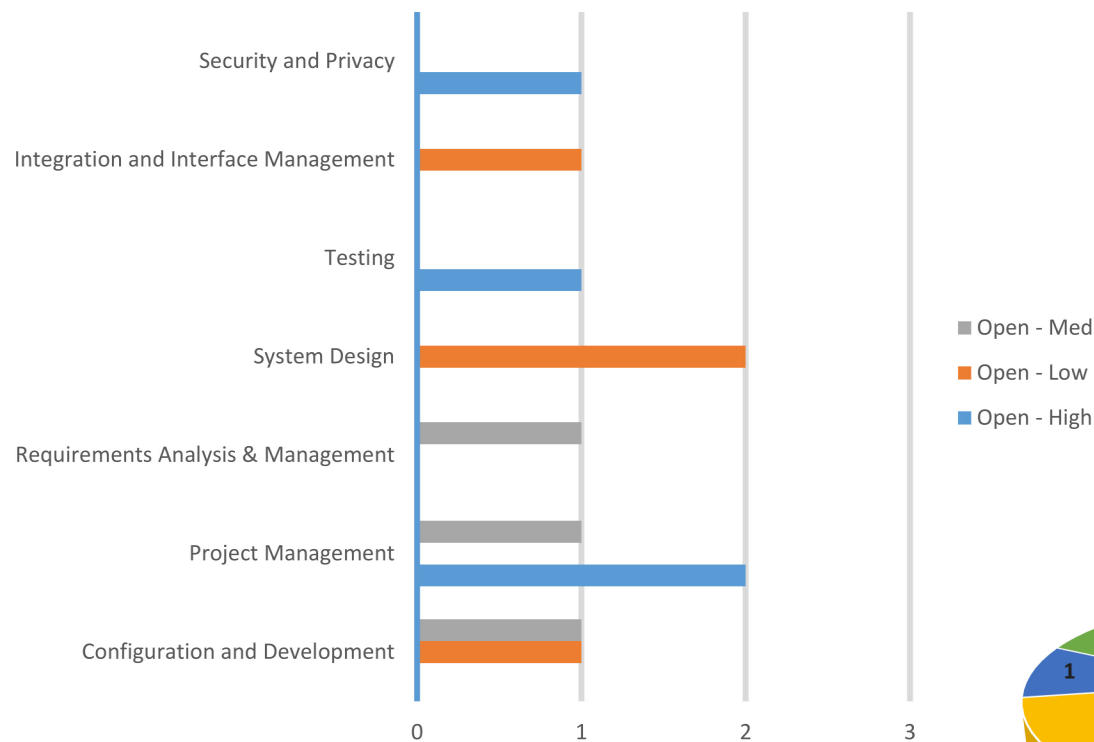
Open Risks & Issues by Category

- Configuration and Development
- Project Management
- Requirements Analysis & Management
- System Design
- Testing
- Integration and Interface Management
- Security and Privacy
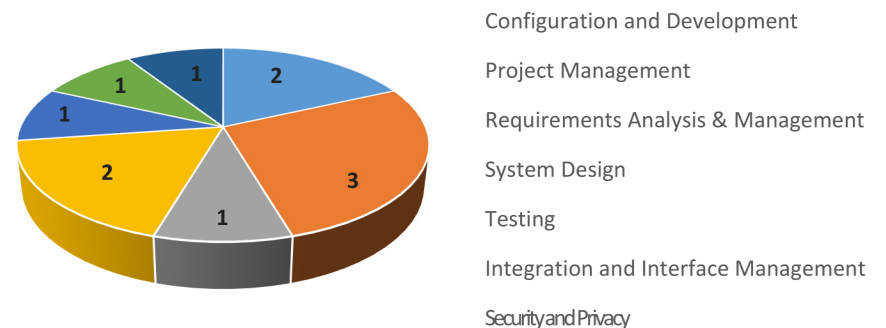
IV&V Findings and Recommendations

The following figure provides a breakdown of the 88 IV&V findings (positive, risks, issues, concerns) by status (open, retired).
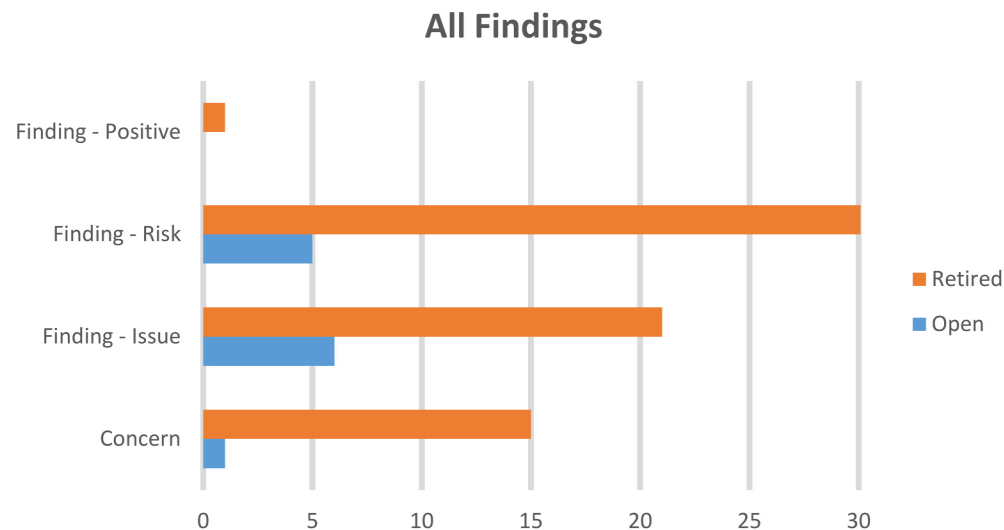
All Findings

IV&V Findings and Recommendations

Findings Retired During the Reporting Period

#	Finding	Category
	None	

IV&V Findings and Recommendations

Preliminary Concerns Investigated During the Reporting Period

#	Finding	Category
98	**Delays in providing the required deliverables to FNS could extend the review time needed and delay FNS's concurrence to start the pilot.** This finding will be reevaluated by the IV&V team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout.	Project Management
103	**The inconsistent Data Conversion status reporting and potential impact of several new Change Requests to Data Conversion may create a risk to the BES Project causing schedule and/or budget challenges.** The ASI shared the process of they are following to resolve the balancing reports with stakeholders. Additionally, the ASI is made progress on resolving inconsistencies in the reporting of conversion status and mapping remaining fields between legacy systems and BES. IV&V will continue monitoring data conversion as work is defined for additional Change Requests being added to project scope.	Data Management and Conversion

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
74	**Issue – A BES Project schedule based on inaccurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live.** The ASI has not yet published a draft schedule, nor has the ASI and DHS agreed upon the software development life cycle (Agile vs. Waterfall) that will be used for the duration of the project. It is also unknown to IV&V how the ASI estimated the remaining work, not only the development but all remaining deliverables and those that must be revised due to the delay.	H

Recommendations	Progress
• Monitor, evaluate and revise scheduling estimates for accuracy based on the project teams past performance and resources available to do the remaining work.	In Process
• Any work required to address findings from Root Cause Analysis should be included in the revised schedule to validate completion for DHS.	New

IV&V Findings and Recommendations

Project Management

#	Key Findings	Criticality Rating
88	**Risk – Implementing a Core Solution for go-live carries inherent risks that may impact overall Project success and reduce user adoption.** This finding will be reevaluated by the IV&V team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout.	M

Recommendations	Progress
• Increase OCM efforts to effectively manage user, general public, and legislative expectations for the BES version at go-live.	In Process
• Prioritize feedback from users and FNS to ensure the solution meets their core needs and so users are clear on what features they are, and are not, getting.	In Process
• Actively monitor, assess, and address potential challenges throughout the development process including code quality, cutting scope to meet development milestones, insufficient user validation of demonstrated functionality, and fully defined workarounds to accommodate for the missing functionality.	In Process
• Actively monitor UAT and Pilot feedback and track users' biggest pain points. Pain points can then be prioritized based on negative impact and project leadership can decide if fixing or changing poor designs can be implemented prior to go-live.	In Process

IV&V Findings and Recommendations

Project Management

	Key Findings	Criticality Rating
89	**Issue—The current mitigation approach to completing the development of the remaining Epics is condensed and aggressive, which may increase the likelihood of schedule delays, quality issues, and a higher volume of testing defects.** According to the 12/25/2024 Project Status report, the development of Epic 206 (Access and Use Audit information) has additional delays. The due date has been updated from 12/13/2024 to 1/9/2025. Additionally, ASI is currently working on finalizing a revised schedule. Once received, The IV&V team will conduct a thorough review of the revised schedule and its relevance to this finding.	H

Recommendations	Progress
• Develop Contingency Plans if the mitigation plan continues to see slippage affecting INT and SIT.	In Process
• The ASI validates that development and testing resources have sufficient bandwidth to complete overlapping assigned responsibilities	In Process

IV&V Findings and Recommendations

System Design

#	Key Findings	Criticality Rating
86	**Issue – Limited collaboration between the ASI and DHS in the design process could lead to BES usability issues and functionality gaps in the application and not meeting critical business needs for DHS and State clients.** Joint Application Design (JAD) sessions have started up, focused on the Change Requests that have been approved by DHS. Collaboration has been limited in these initial JADs, focused more on DHS answering questions on proposed design rather than an initial discussion on the direction of the design; which should be the focus in these initial pre-design meetings. IV&V suggest best practices be followed for conducting JAD sessions to ensure the best results for the project.	L

Recommendations	Progress
• Perform Sprint and Epic demos in alignment with development Sprint completion (demo functionality/requirements as they are developed) to get early feedback on work products.	In Process
• Improve rigor in the Design process by verifying all impacted policy and DHS SMEs are involved and approve the design to avoid extensive defects and gaps in functionality that may trigger the need for a change request.	Not Started

IV&V Findings and Recommendations

System Design

#	Key Findings	Criticality Rating
73	**Risk – The planned BES infrastructure is complex which could be difficult to implement and maintain and could lead to schedule/cost impacts.** No material update for this reporting period.	L

Recommendations	Progress
• ASI develop a process to closely monitor cloud and other product changes (software updates/new releases), manage changes, and regression test once updates are applied.	In Process
• The project team work to establish strong governance over the utilization and maintenance of various tools/components.	In Process
• ASI allot time in the schedule to conduct proof of concepts to assure infrastructure components work as expected.	In Process
• ASI maintain a detailed schedule for DevOps implementation tasks to avoid unexpected delays that could delay project milestones and the critical path.	In Process

IV&V Findings and Recommendations

Configuration and Development

#	Key Findings	Criticality Rating
70	**Risk – Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution.** No material update for this reporting period.	L

Recommendations	Progress
• ASI adhere to plans for configuration management as documented in BI-6 DDI Plan, Section 5.2 and clarify details and/or any changes with DHS.	In Process
• ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track.	In Process

IV&V Findings and Recommendations

Configuration and Development

#	Key Findings	Criticality Rating
80	**Issue – Development delays have negatively impacted the project schedule and delayed go-live.** The ASI continues to make efforts to enhance development quality and efficiency. They have recently onboarded a senior development manager to help address ongoing development challenges and course-correct where necessary. Additionally, the ASI has reportedly added two new development leads focused on quality assurance, as well as a new release manager.	(M)

Recommendations	Progress
• ASI effectively track and regularly provide DHS (potentially via the weekly DDI status meeting) with an accurate velocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and consistently reflected in the project schedule.	In Process
• The ASI should provide DHS with the time needed to effectively evaluate the software demonstrations (demos) and elicit productive design discussions with DHS attendees during each demo.	In Process
• ASI regularly reports estimated story points for the total remaining project work to reach go-live and presents a dynamic burn-down chart to track the progress.	In Process
• The ASI should consider enhancing the depth of developer unit testing.	In Process

IV&V Findings and Recommendations

Integration and Interface Management

#	Key Findings	Criticality Rating
93	**Risk – Due to the lack of physical and technical (Transport Layer) testing of the interfaces and data transfer failure, conditions may exist with data format, boundaries, and dependencies. These failures may result in intermittent and hard-to-isolate problems or errors.** The initial set of testing was successful. Test planning and execution for the other interfaces should be integrated into the recast schedule discussions. Successful results, including graceful rejection of invalid interface data (such as misnamed SFTP files or short fields/truncated files), are recommended prior to commencement of SIT testing.	L

Recommendations	Progress
• API interfaces should be tested for failure conditions during connection and transfer operations.	In Process
• FTP and file interfaces should be tested for data and file integrity.	In Process
• Test data fields for system impacts resulting from data that is poorly formatted, out of range, or other unexpected data transmission errors.	In Process

IV&V Findings and Recommendations

Testing

#	Key Findings	Criticality Rating
83	**Issue – Gaps in test coverage and slower-than-expected progress in testing may result in schedule delays if subsequent test phases uncover a higher volume of defects and user feedback than initially anticipated.** The ASI is testing UAT defects that have been resolved, in advance of any DHS testing. IV&V awaits the RCA report and the details of the possible Design, Development, and Implementation (DDI) change from Agile to Waterfall to understand the changes to the testing process that the ASI is proposing.	H

Recommendations	Progress
• DHS and ASI revisit the testing approach to prioritize completion of remaining test activities and conduct comprehensive System Integration testing (SIT) to minimize defect leakage to User Acceptance Testing (UAT).	In Progress
• ASI assesses the potential impact of the large number of unresolved defects on future development efforts, ensuring a more robust and efficient development process.	In Progress
• ASI develop and implement a revised testing approach to improve the completeness and thoroughness of future testing cycles.	In Progress

IV&V Findings and Recommendations

Security and Privacy

#	Key Findings	Criticality Rating
82	**Issue – The lack of technical documentation may lead to incorrect implementation statements or delay the System Security Plan (SSP).** The ASI resolved the critical and high POAMs related to patching of "Spring Boot". Additionally, six security policies were completed by the ASI and sent to DHS for final editing and approval. The availability of DHS resources to complete the policy work remains an IV&V concern.	H

Recommendations	Progress
• Collaborate and communicate with SSP authors about when reliable and correct documentation will be available.	In Process
• Include the Secure Enclave within the work breakdown structure along with the known tasks related to the IRS Assessment to continue receiving FTI in BES.	Not Started

IV&V Findings and Recommendations

Requirements Analysis & Management

#	Key Findings	Criticality Rating
94	**Risk - The lack of an effective way to validate BES requirements could lead to project delays and unfulfilled user needs if DHS later identifies unmet contractual requirements.** The ASI hosted a meeting to review usage of the RTM, but all attendees agreed more work was needed to provide a usable report for both the ASI and DHS to validate requirement coverage. The ASI plans to share a revised RTM at the next CCB meeting.	(M)

Recommendations	Progress
• Develop a document that provides DHS with a feasible and effective way to map contract requirements to passed test cases, and, per the BI-19 (Complete and Final Test Plan),"Maps the implementation, functional and technical requirements to the test cases and test scripts".	In Process
• Ensure test scripts thoroughly and comprehensively test the system to assure each requirement has been fully met.	In Process

IV&V Status

IV&V Engagement Status

IV&V Engagement Area	Sep	Oct	Nov	Comments
IV&V Budget	🟢	🟢	🟢	
IV&V Schedule	🟢	🟢	🟢	
IV&V Deliverables	🟢	🟢	🟢	PCG submitted the final November IV&V Monthly Status Report.
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

- IV&V activities in the December reporting period:
  - Completed – November Monthly Status Report
  - Ongoing – Review the BES Project Artifacts and Deliverables
  - Ongoing – Attend BES Project meetings, (see Additional Inputs pages for details)
  - Ongoing – Review available ASI contracts and contract amendment documentation
- Planned IV&V activities for the January reporting period:
  - Ongoing – Observe BES Design and Development sessions as scheduled
  - Ongoing – Observe Bi-Weekly Project Status meetings
  - Ongoing – Observe Weekly M&O Project Status meetings
  - Ongoing – Observe Weekly Architecture meetings
  - Ongoing – Observe Weekly Security 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 Bi-Weekly DHS and IV&V Touch Base meetings
  - Ongoing – Review BES artifacts and deliverables

Deliverables Reviewed

Deliverable Name	Deliverable Date	Version

Additional Inputs – Artifacts

Artifact Name	Artifact Date	Version
BES 2023 Design Kanban board	N/A	N/A
FNS Handbook 901	01/2020	V2.4
NIST Special Publication 800-53 Security and Privacy Controls for Information Systems and Organizations	12/20/2020	Rev.5
SNAP_System_Integrity_Review_Tool	Sept 2022	N/A
Interface Dashboard – Confluence page	N/A	N/A
BES 2023 Implementation Planning – Confluence page	N/A	N/A
R0.12 Epic Assignment	N/A	N/A
R0.12 Epic and Sprint Demo Recordings	N/A	N/A
ADA dashboard	N/A	N/A
Jira Requirements Details	N/A	N/A
Jira Testing Lists	N/A	N/A
UAT Testing Dashboard	N/A	N/A
Waterfall Methodology Plan	N/A	N/A

Additional Inputs

Meetings and/or Sessions Attended/Observed:

1. IV&V Team Meeting – 12/2/2024, 12/5/2024, 12/9/2024, 12/12/2024, 12/16/2024, 12/19/2024, 12/23/2024, 12/30/2024
2. IV&V/ASI September Pre-draft Review – 12/5/2024
3. HI DHS BES October Draft IV&V Report Review – 12/13/2024
4. Bi-Weekly DHS BES PMO/IV&V Check-in – 12/20/2024
5. Weekly BES Infrastructure meeting – 12/13/2024, 12/16/2024
6. Weekly Client BES 2023 Project Status Meeting – 12/11/2024, 12/18/2024
7. Security Touchpoint – 12/4/2024, 12/11/2024, 12/18/2024
8. (Externa(l) Weekly Interfaces Touchpoint – 12/2/2024, 12/9/2024
9. (External) Bi-weekly BES CCB Meeting – 12/11/2024
10. eWorld/IV&V Mid-Month Check-in – 12/20/2024
11. (External) BES: FNS Connect – 12/5/2024
12. Review RTM usage (ASI, DHS, IV&V) - 12/12/2024
13. (External)- BES Data Conversion - Dive into Balancing of CORE Data Components – 12/13/2024
14. (External) CR2024-013 DHS 1240 Form Update – 12/16/2024
15. (External) JAD - CR2024-016 Application Enhancements – 12/17/2024
16. (External) Pre-Design Epic 201 HARI Notices Conversion – 12/18/2024, 12/23/2024
17. (External) CR2024-015 Limit BES Automatic Data Population from SSP – 12/19/2024

Appendices

Appendix A – IV&V Criticality Ratings

Criticality Rating	Definition
H	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.
M	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.
L	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
- Requirements Analysis & Management
- System Design
- Configuration and Development
- Integration and Interface Management
- Data Management and Conversion

- Security and Privacy
- Testing
- OCM and Knowledge Transfer
- Pilot Test Deployment
- Deployment

Ending Slide

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Solutions that Matter

ID	Title	Reporter	Finding Type	Identified Date	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Status Update	Client Comments	Vendor Comments
103	The inconsistent Data Conversion status reporting and potential impact of several new Change Requests to Data Conversion may create a risk to the BES Project causing schedule and/or budget challenges.	Molina, Brad	Concern	11/25/2024	Data Management and Conversion	DHS verbally expressed concerns on the status of the Data Conversion process and IVV shares this same concern. There are inconsistencies regarding the status on the number of data fields remaining to be mapped and converted (ASI status Report and Data Conversion Artifacts). Questions raised by IVV to the Data Conversion team on 10/23/2024 have not been answered as of 11/25/2024. FAT test results indicated 26 FAT Data Conversion Defects remain outstanding as of 11/25/2024. DHS approved several Change Requests this month and it is not known if all changes included an evaluation of the impact to the remainder of the BES Conversion process. The ASI and DHS are currently replanning the remainder of the BES Implementation Project. IV&V will continue to discuss this finding with DHS and the ASI to ensure there is a clear understanding on the actual status of the Data Conversion process to determine if there is a potential risk to the BES Project.	Data Conversion is one of the key areas of an implementation that are high-risk due to many factors. One organizational goal of BES is to improve business processes. Policy changes have likely occurred over the last few years where there may be impact on how data is accessed, processed and used to accurately and consistently determine eligibility and benefit issuance. It is critical that data conversion accurately and consistently transform the data, augment default values for new fields along with validation logic for any data interdependencies.		Now	3	2	Med	Open	12/31/2024 - The ASI shared the process of they are following to resolve the balancing reports with stakeholders. Additionally, the ASI is made progress on resolving inconsistencies in the reporting of conversion status and mapping remaining fields between legacy systems and BES. IV&V will continue monitoring data conversion as work is defined for additional Change Requests being added to project scope.		12-11-2024 Whom from DHS is verbally expressing data conversion concerns? Is Trisha Inafuku part or consulted of these conversations who is intimate with the data conversion process?There appears to be disconnects with unanswered IV&V questions sent on 10/23/2024. Here is an audit as we know it:There was an email from IV&V on October 23 but it was addressed to Cary Ho regarding interfaces.Landon is aware of an email from IV&V (Mark Reynolds) on October 24 and October
98	Delays in providing the required deliverables to FNS could extend the review time needed and delay FNS's concurrence to start the pilot.	Molina, Brad	Concern	7/24/2024	Project Management	Not all the documents that FNS is required to review have been provided. In the weekly Readiness meeting on 7/23, it was mentioned that FNS is at its year-end, so its workload is backing up, which might require its document review to take the full 60 days. The longer DHS delays getting deliverables to FNS, the closer it gets to the planned start for Pilot.	The BES pilot cannot start without FNS's concurrence. Therefore, it's critical the project team deliver the required deliverables to FNS as soon as possible so FNS has the necessary time to review and give the go-ahead to start Pilot.		now	3	3	NA	Open	12/31/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout. 11/30/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout. 10/31/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout. 09/30/20204 - The status of this preliminary concern will be reevaluated by the IVV team after the project team determines the approach, requirements/functionality and schedule for the Pilot and Statewide rollout.		
94	The lack of an effective way to validate BES requirements could lead to project delays and unfulfilled user needs if DHS later identifies unmet contractual requirements.	Molina, Brad	Finding - Risk	4/25/2024	Requirements Analysis & Management	The Requirements Traceability Matrix (RTM) (BI-21) plays a vital role in ensuring the system's compliance with contractual commitments by associating each requirement with passed test case(s). However, the approved project schedule shows the RTM completed on 6/26/24, which falls after the Core SIT exit decision on 5/10/24. The ASI provided the BI-22a System Integrity Review Tool (SIRT) to DHS on April 26, 2024, but withdrew the deliverable due to DHS concerns. This BI-22a deliverable may help DHS validate requirements.	It is unclear to DHS and IVV how the ASI will trace requirement coverage for SIT completion. DHS may be unable to make an informed decision on SIT exit criteria. This could lead to DHS starting Final Acceptance Testing (FAT) and then realizing that not all requirements have been fully met, resulting in delays.	IN PROGRESS • Develop a document that provides DHS with a feasible and effective way to map contract requirements to passed test cases, and per the BI-19 (Complete and Final Test Plan), "Maps the implementation, functional and technical requirements to the test cases and test scripts". • Ensure test scripts thoroughly and comprehensively test the system to assure each requirement has been fully met.	5/10/2024	3	3	Med	Open	12/31/2024 - The ASI hosted a meeting to review usage of the RTM, but all attendees agreed more work was needed to provide a usable report for both the ASI and DHS to validate requirement coverage. The ASI plans to share a revised RTM at the next CCB meeting. 11/30/2024 - Both DHS and IVV share the same concern that the current set of RTM reports does not provide the functionality needed to validate that contractual requirements have been developed and tested in the current BES solution. IVV reached out to the ASI requesting a demonstration of how the RTM validates that contractual requirements have been met. A meeting is scheduled for December 5th with DHS, the ASI, and IVV. 10/31/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout. 09/30/2024 -The ASI did demonstrate some progress in providing a set of RTM reports that match the approved Deliverable Expectations Document (DED). However, DHS still did not receive a comprehensive report to confirm all expected contractual requirements for approved Epics have been developed and tested successfully. With more scope being added as part of new project direction, it continues to be critical that DHS is provided an RTM to confirm requirements are met. 08/31/2024 - As of the end of the reporting period, the ASI had not provided the comprehensive Requirements Traceability Matrix for BES 1.0 based on the Deliverable Expectation Document (DED), only an interim version, prior to the start of FAT testing. DHS needs this finalized RTM to validate all contractual requirements have been included in BES 1.0 as scheduled and successfully tested prior to go live for Pilot. 7/31/2024 - Discussions were held throughout July regarding the format and structure of the Requirements Traceability Matrix (RTM). However, the ASI has not distributed a reformatted BI-21 Requirements Traceability		9/9/2024 Include information on interim version provided prior to FAT. 7/12/2024 I'm not sure if this is worth noting but eWorldES did deliver an "interim" BI-21 RTM to satisfy the requirement criteria for entering into BES 1.0 FAT. 06/14/2024 The BI-21 RTM deliverable has been reviewed and discussed multiple times at the bi-weekly CCB meeting. Draft reports of the BI-21
93	Due to the lack of physical and technical testing of the interfaces and data transfer failure, conditions may exist with data format, boundaries, and dependencies. These failures may result in intermittent and hard-to-isolate problems or errors	Reynolds, Mark Evan	Finding - Risk	4/29/2024	Integration and Interface Management	Aside from the functional testing accomplished during epic testing, specific data flow testing is usually part of an interface definition.	This testing is essential before initial deployment to prevent unexpected and difficult-to-resolve issues, such as scrambled or missing data – or the system may have a fault or exception. Since the Project has not established and tested the fault scenarios, we do not know how the system may react.	In Process 1. API interfaces should be tested for failure conditions during connection and transfer operations. 3. FTP and file interfaces should be tested for data and file integrity. 4. Test data fields for system impacts resulting from data that is poorly formatted, out of range, or other unexpected data transmission errors. Removed 2. [n/a, no transactional interfaces therefore no race conditions] API interfaces should be tested for race conditions. 5. [redundant with #4] Interface records and files should be tested for format, length, or other physical formatting errors.	2024 2nd Qtr	3	2	Low	Open	12/31/2024 - The initial set of testing was successful. Test planning and execution for the other interfaces should be integrated into the recast schedule discussions. Successful results, including graceful rejection of invalid interface data (such as misnamed SFTP files or short fields/truncated files), are recommended prior to commencement of SIT testing. 10/31/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout. 09/30/2024 - The 7 interfaces used in the planned Pilot release, BES1.0, have been completed. However, the other 12 releases required for the statewide release, BES1.1, will be required with the revised approach to merge. This finding is being kept open at a low priority until all 19 interfaces are completed. 08/22/2024 - All tests except those related to the Wells Fargo Lockbox interface have been completed. These seven tests require initiating a new service ticket with Wells Fargo. Tests are expected to be completed before the beginning of the Pilot phase. 06/28/2024 - The ASI has prepared the test scripts for the 12 interfaces included in the Pilot release. This first round of test scripts reside in the Jira tool and are being executed to be complete by mid-July. The Office of Information Technology (OIT) will be required to provide special case file alterations. 05/23/2024 - The ASI and DHS continue to define the interface test approaches. Technical interface testing details, including the Transport Layer, are planned to be discussed in June.		06/14/2024 As mentioned at the May pre-meet, a technical interface team plan does exist to address PCG's recommendations for this finding.5/11/2024 As mentioned at the pre-meet, a technical interface team plan does exist to address PCG's recommendations for this finding.
89	The current approach to completing the development of the remaining epics is condensed and aggressive, which may increase the likelihood of schedule delays, quality issues, and a higher volume of testing defects.	Kalsi, Neetu	Finding - Issue	12/21/2023	Project Management	Ten of the Epics scheduled for completion before Release 0.12 SIT will not be ready. To avoid SIT delays, the current approach is to begin SIT without the 10 Epics and test them as they are completed. Additionally, Release 0.12 development that was extended two weeks from the scheduled end date has been extended for another ten business days.	Overlapping development and testing introduces potential quality issues. Insufficient INT may create gaps in SIT, leading to further quality issues. This may increase the risk of significant delays or introduce defects into the production environment.	OPEN - The ASI validates that development and testing resources have sufficient bandwidth to complete overlapping assigned responsibilities - Develop Contingency Plans if the mitigation plan continues to see slippage affecting INT and SIT. CLOSED - The plan to complete BES implementation does not include overlapping testing phases (5/24/2024) - The ASI should evaluate if Epics entering SIT late might require retesting functionality that had already been tested. [closed 06/01/2024] - The ASI release a detailed schedule of events, including development completion, INT start, and SIT start for each epic covered in the mitigation plan. [closed 06/01/2024] - The ASI provides INT results and SIT scenarios for incomplete Epics to DHS for review/approval ahead of SIT execution. [Removed comprehensive based on what ASI delivered to DHS, 10/31/2024] CANCELLED - Develop a Risk Mitigation Plan to address challenges of managing multiple test environments, multiple code bases and versioning within and across Releases.	Now	4	5	High	Open	12/27/2024- According to the 12/25/2024 Project Status report, the development of Epic 206 (Access and Use Audit information) has additional delays. The due date has been updated from 12/13/2024 to 1/9/2025. Additionally, ASI is currently working on finalizing a revised schedule. Once received, The IVV team will conduct a thorough review of the revised schedule and its relevance to this finding. 11/27/2024— The project team has announced further delays in the dates for Pilot and Go-Live and agreed to combine BES 1.0 and BES 1.1 into one release. Based on the 10/30/2024 project status meeting, the development for Epic 203 (Report Viewing and On-Demand Submission) has been delayed, and the due date has been changed from 10/4/2024 to 1/14/2025. The due date for Epic 243 (Reports – Priority 2, Set #1) and Epic 244 (Reports – Priority 2, Set #2) has been updated from 10/4/2024 to 11/1/2024. IVV expresses concerns that the upcoming new schedule may retain or increase concurrent testing activities, making it challenging to manage resources and coordinate multiple tasks simultaneously. This may compromise the project's ability to complete testing and other essential activities, ultimately impacting the Pilot and statewide Go-Live dates. 10/31/2024 — The project team has announced further delays in the dates for Pilot and Go-Live and agreed to combine BES 1.0 and BES 1.1 into one release. Based on the 10/30/2024 project status meeting, the development for Epic 203 (Report Viewing and On-demand Submission) has been delayed, and the due date has been changed from 10/4/2024 to 1/14/2025. The due date for Epic 243 (Reports – Priority 2, Set #1) and Epic 244 (Reports – Priority 2, Set #2) has been updated from 10/4/2024 to 11/1/2024. IVV expresses concerns that the upcoming new schedule may retain or increase concurrent testing activities, making it challenging to manage resources and coordinate multiple tasks simultaneously. This may compromise the project's ability to complete testing and other essential		12/11/2024 Regarding "IV&V expresses concerns that the upcoming new schedule may retain or increase concurrent activities, making it challenging to manage and coordinate multiple tasks simultaneously." there are and always will be concurrent activities on the project schedule. What is the core of this statement, and should that be added to provide more context? Resources? Conflicting concurrent activities? Correct sequencing of these concurrent activities on the project schedule? Etc. 11/13/2024

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88	Implementing a Core Solution for go-live carries inherent risks that may impact overall project success and reduce user adoption.	Molina, Brad	Finding - Risk	11/30/2023	Project Management	The project has elected to implement a Core Solution at go-live to meet their stated timeline. This version is generally referred to in Agile software development as a Minimum Viable Product (MVP), which is a simplified version of a product that 1) offers functionality that meets the core needs of users, 2) can accelerate the timeline for go-live, and 3) allows the project to get real-world feedback from users to refine future product development.	Going live with a limited version of a software product entails inherent risks, such as potential challenges in securing user buy-in. This can result in limited user adoption, user dissatisfaction, and negative publicity. A compressed timeline may compromise the quality of designs, user interface sophistication, and lead to an uptick in software bugs and suboptimal code. Further, this approach may expose the project to regulatory compliance risks, such as last-minute objections from regulatory bodies like FNS, which could find certain system elements non-compliant with their standards and delay the go-live date. Misalignment between stakeholder expectations and the Core Solution may lead to dissatisfaction or a lack of support for the project and could negatively impact future project funding requests. Implementing a limited Core Solution typically requires the customer to implement multiple workarounds until automated features can be built into the system. Users could become impatient if these features are further delayed when bug fixes and other features take precedence. Others may lose confidence that the features or system improvements will ever be implemented. Going live with a solution that is missing functionality that stakeholders were expecting typically requires an increase in OCM efforts both by the ASI and DHS staff to temper stakeholders' reactions to a system with limited functionality.	OPEN • Increase OCM efforts to effectively manage user, general public, and legislative expectations for the BES version at go-live. • Prioritize feedback from users and FNS to ensure the solution meets their core needs and so users are clear on what features they are, and are not, getting. • Actively monitor, assess, and address potential challenges throughout the development process including code quality, cutting scope to meet regulatory compliance risks, such as last-minute objections from regulatory bodies like FNS, which could find certain system elements non-compliant functionality, and fully defined workarounds to accommodate for the missing functionality. • Actively monitor UAT and Pilot feedback and track users' biggest pain points. Pain points can then be prioritized based on negative impact and project leadership can decide if fixing or changing poor designs can be implemented prior to go-live. COMPLETE CLOSED • DHS carefully assess whether the advantages of a timely release outweigh the advantages of going live with a system that provides more comprehensive functionality, requires fewer workarounds, and increases user satisfaction and buy-in. (06/30/2024)	Now	3	3	Med	Open	12/31/2024 - This finding will be reevaluated by the IV&V team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout. 11/30/2024 - The ASI and DHS have agreed to increase the scope of the Pilot release to include some DHS-determined critical functionality. IVV will continue to evaluate the impact of these additions to the project to determine if the risk of this finding has been mitigated. 10/31/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout 9/30/2024 - Without an RTM, there is ambiguity on the ASI presented enhancements and critical functionality list developed by DHS as compared to the contract requirements. IVV recognizes the project is almost 6 years old, meaning policy and business operations has changed which may drive the need for enhancements. However, these lists should be validated and negotiated by DHS and ASI to ensure DHS does not pay for functionality twice. 8/30/2024 - DHS continues to emphasize the need for workouts to be documented and incorporated into training, with a plan to update documentation as defects are resolved to enable pilot workers to be most effective. 7/31/2024 - DHS and the ASI continue to document and develop workarounds in preparation for Pilot. There are now two workaround areas; 1) known gaps in functionality and 2) defects discovered during testing that will not be addressed prior to Pilot. Additionally, planning is ongoing for incorporating these workarounds into the training process. 6/20/24 - Per DHS's request, the ASI is currently developing a list of workarounds to address known gaps in BES 1.0 functionality. 5/23/24 - No material update. 4/30/2024 - No material update. 03/30/24 - The ASI's Go to Green plan and project schedule were approved by DHS. Per the Go to Green plan, some	04/10/2024 - "Some required BES functionality will be implemented post-Pilot." What does this mean? I think I know the intent and perhaps update as such? "Per the Go to Green plan, the ASI plans to implement required functionality in multiple releases (Pilot/Statewide/Post Statewide)."12/15/2023 - Above already addressed by DHS/Joe Campos.Ensure recommendations reflect "In Progress" or "In Process".
86	Limited collaboration between the ASI and DHS in the design process could lead to BES usability issues and functionality gaps in the applications, not meeting critical business needs for DHS and State clients.	Molina, Brad	Finding - Issue	8/1/2023	System Design	During the UAT process for release 11, there has been a high level of concerns raised by the DHS testers regarding the usability of the BES system, challenges with the user interface, missing functionality, and basic screen layout issues that would not be expected in a modern application. Based on defect reporting from the UAT process, a large majority of the defects are related to "design errors". Although the Release 11 UAT cycle was testing a partially build system, a significant amount of design defects was attributable to functionality developed for Release 11.	A significant amount of money and DHS resource time have been invested in the BES solution, with the expectation that the new system will at minimum provide all functionality found in current applications – but really should provide additional capabilities, greatly enhanced user interface, and overall improved usability from current systems. Should the solution fall short of expectations, there may be challenges in DHS staff adoption; lack of confidence in the solution providing the accurate information needed to provide benefits to HI citizens; reduction in ability for DHS to provide the same level of needed services to clients, resulting in bad publicity for DHS and the state.	OPEN - Perform Sprint and Epic demos in alignment with development sprint completion (demo functionality/requirements as they are developed) to get early feedback on work products. - Improve rigor in the Design process by verifying all impacted policy and DHS SMEs are involved and approve the design to avoid extensive defects and gaps in functionality that may trigger the need for a change request CLOSED - ASI and DHS re-evaluate the effectiveness of the recorded Sprint review process to ensure that designs align with DHS expectations. (closed 3/31/2024) - Include a wide enough audience in all design and demo sessions to validate FNS and DHS functional and technical requirements and system usability. (closed 6/14/2024) - Perform comprehensive (demo all requirements) review during Epic demos, not just the items that were added/updated, allowing DHS to provide early feedback on possible issues/gaps that might not be apparent when focusing on specific functionality. (closed 6/14/2024)	Now	2	2	Low	Open	12/31/2024 -Joint Application Design (JAD) sessions have started up, focused on the Change Requests that have been approved by DHS. Collaboration has been limited in these initial JADs, focused more on DHS answering questions on proposed design rather than an initial discussion on the direction of the design; which should be the focus in these initial pre-design meetings. IVV suggest best practices be followed for conducting JAD sessions to ensure the best results for the project. 11/30/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout. 10/31/2024 - This finding will be reevaluated by the IVV team after the project team completes the replanning and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout 09/30/2024 - No material update in this reporting period. 8/30/2024 - Design activity was minimal in the reporting period, with DHS reviewing the final Self Service Portal (SSP) designs. IVV continues to monitor design activities to validate continued collaboration between the ASI and DHS. 7/31/2024 - IVV observed positive progress this month with the ASI providing specific actions to address DHS concerns regarding the Mass Change Functionality (Epic 208). 6/31/2024 - IVV observed DHS and the ASI working collaboratively in a setting that promoted healthy dialogue on the BES design therefore, the criticality rating is updated from a medium to low. 05/30/2024 – The ASI plans to continue live Sprint Demos for the remaining Epic design work, providing a venue to increase collaboration with DHS. The SSP development will follow the Waterfall methodology, so no sprints or demos will occur. 04/30/2024 - IVV commends the ASI and DHS team for reverting to conducting four live sprint demos in support of Epic 209. These proved to enable timely, efficient collaboration. 03/31/2024 - Due to a high number of questions and	10/11/2023 - Our SMEs are providing their feedback. This is one of the items that I clarified with IV&V, that there are feedback given, no feedback means design is ok. I rec'd an email back from Joe F. that IV&V wants to meet with our reviewer to validate this.	11/13/2024 For next status reporting - eWorldES plans is shifting to waterfall methodology once the related decision log item is approved by DHS and will not be doing sprint and epic demos moving forward. 06/14/2024 Why is this in Not Started? We had a live sprint demo for Epic 209. In addition, this should not include Epic demos. We have always had live Epic demos. Regarding SSP following the Waterfall methodology -- DHS has approved all the
83	Gaps in test coverage and slower-than-expected progress in testing may result in schedule delays if subsequent test phases uncover a higher volume of defects and user feedback than initially anticipated.	Kalsi, Neetu	Finding - Issue	6/2/2023	Testing	After examining the Project's R11 QA Dashboards, R11 Traceability Dashboards, and Test Repository, gaps in testing coverage may exist and the progress of testing might be lagging. Concerning testing coverage, it appears that not all epics and use cases in R11 have associated test cases or are testing the correct use cases. In terms of progress, some test cases remain unexecuted, and not all defects have been resolved as the project commences System Integration Testing (SIT). The ASI has plans to complete the INT exit criteria by June 16, 2023, about 2 weeks after SIT begins.	Identifying defects early is vital for effective testing, as it is more efficient and cost-effective to address issues during the early testing stages. If there is slow progress or incomplete testing in the early stages, it can result in more defects leaking into subsequent testing phases, necessitating more extensive and rigorous testing efforts. Insufficient testing coverage or slower than-anticipated progress throughout the project lifecycle increases the risk of encountering significant delays, extensions, or the introduction of defects into the production environment during the final testing stage, known as Final Acceptance Testing (FAT).	OPEN - DHS and ASI revisit the testing approach to prioritize completion of remaining test activities and conduct comprehensive System Integration testing (SIT) to minimize defect leakage to User Acceptance Testing (UAT). - ASI assesses the potential impact of the large number of unresolved defects on future development efforts, ensuring a more robust and efficient development process. - ASI develop and implement a revised testing approach to improve the completeness and thoroughness of future testing (Closed 4/30/2024) - DHS and ASI monitor INT/SIT closely for both breadth and depth of testing to ensure the system is adequately tested (Closed 10/30/2024) - ASI utilize the two-week FAT testing pause to address and resolve outstanding SIT defects and apply the fixes in the FAT environment, ensuring that these defects do not recur when FAT resumes, optimizing testing efficiency and reducing potential defect rediscovery. (Closed 10/30/2024) NOT COMPLETED - The Project team reviews the SIT exit criteria and revises them as needed to ensure UAT/FAT begins with the best system possible. (3/31/2024) - DHS should request that the ASI develop a Corrective Action Plan to address the failure of prior test phases (Unit, INT) to capture defects that rolled into SIT (09/26/2024)	UAT	4	4	High	Open	12/27/2024- The ASI is testing UAT defects that have been resolved, in advance of any DHS testing. IVV awaits the RCA report and the details of the possible Design, Development, and Implementation (DDI) change from Agile to Waterfall to understand the changes to the testing process that the ASI is proposing. 11/26/2024- The recent UAT testing cycle ended, but did not complete, on November 15, 2024, with a total of 95 failed test cases in the real-time environment and 137 failed test cases in the time travel environment. There was a total of 279 unresolved defects, which raised concerns about the overall stability and reliability of the system. The IVV team is concerned that introducing new functionality on top of the current unstable system may lead to project delays or failure. While ASI has committed to resolving the outstanding defects, the IVV team has added a recommendation on the testing approach. 10/31/2024 – As of October 30, 2024, DHS testers identified a total of 1618 defects with 373 defects still unresolved, comprising 123 High Severity, 177 Medium Severity, and 73 low severity defects. The ASI resolved and moved to UAT 175 defects during the two-week UAT testing pause. Despite this progress, significant gaps remain. 20% (137/682) of real-time environment test cases and 49% (205/417) of time travel environment test cases are unresolved. This poses significant risks, potentially compromising system reliability, performance, and quality. Unresolved defects and incomplete testing may lead to undiscovered issues, impacting overall system integrity. 9/30/2024 - IVV recognizes the project team's decision to postpone the Pilot and Statewide implementation, and that DHS and ASI are jointly developing a revised approach and schedule. Meanwhile, IVV's review of testing trends reveals mixed results. Compared to last month, passed test cases increased 22% in the real-time environment (421 to 513) and 309% in the time travel environment (42 to 172). However, failed test cases remained relatively stable in real-time and rose 51% in the	12/11/2024 Please review the first two recommendations as these should reflect an "In Process" progress status. 11/13/2024 DHS reviews and approves all SIT tests to ensure full coverage of functionality. The test team tests the designs including the processes and policy which is why they are raising bugs that many are actual design changes because they do not meet their expectation of their current process in HAWI. The two-week break
82	The lack of technical documentation may lead to incorrect implementation statements or delay the System Security Plan	Heath, Dustin	Finding - Issue	4/27/2023	Security and Privacy	In April, the ASI/DHS system security plan (SSP) authors began writing implementation statements. Currently, the technical documentation supporting the SSP is unavailable, outdated, or in a draft form. During April, decisions on what tools support the SSP controls are still being decided on. Implementation statements are currently being written from the perspective of how the system should be designed from the SSP author's perspective instead of how the system is actually designed. The SSP authors need to know and use documentation such as System Architecture and Design, network topology, dataflow, ports and protocols, tools used for logging, etc.	Once the system architecture and design have been completed, the SSP authors may need to edit or rewrite implementation statements. A full draft of the SSP is scheduled to be published August 15th , 2023, and the final SSP (ready for federal partner review) is scheduled for September 15, 2023. The SSP is a large technical document with hundreds of controls and control enhancements, and each one requires an implementation statement of how the control or enhancement has been met.	NEW Include the Secure Enclave within the work breakdown structure along with the known tasks related to the IRS Assessment to continue receiving FTI in BES. OPEN - Collaborate and communicate with SSP authors about when reliable and correct documentation will be available. COMPLETE - Determine when the infrastructure design baseline will be completed. (06/30/2024) - Perform a full review of all draft SSP controls for content and accuracy prior to the start of the Independent Security Controls Assessment of BES and submission of the SSP package to federal regulators. This will allow the SSP authors to update controls with changes from Design through Implementation. (9/26/2024) - Begin monthly Plan of Action and Milestone update meetings between DHS Security and the ASI Security teams to inform each other of progress and updates made against each POAM. (10/31/2024)	Prior to the start of third-party assessment.	4	5	High	Open	12/31/2024 - The ASI resolved the critical and high POAMs related to patching of "Spring Boot". Additionally, six security policies were completed by the ASI and sent to DHS for final editing and approval. The availability of DHS resources to complete the policy work remains an IV&V concern. 11/27/2024— In November, the ASI - Completed three policies for DHS and turned them over to DHS for the editing and approval process. - Continued to update the implementation statements in the main body of the System Security Plan. - Began patching of "Spring Boot" in lower environments. As the patch reaches the production environment, it is expected to remediate many critical and high-finding POAMs. Additionally, DHS received the final report from the SSA on their assessment earlier this year. 10/31/2024 - In October, the ASI continued to work on rewriting the implementation statements for the BES System Security Plan (SSP). The ASI completed rewrites of implementation statements of five of twenty control families in the main body of the SSP. The ASI has completed the basic infrastructure for the Secure Enclave, however, there is confusion about what has been completed in the Secure Enclave and when it will be done. Applications that need to work within the Secure Enclave must be configured to work within the explicit security requirements placed on the Secure Enclave. These configurations may require vendor support or may not work within an environment with IRS Publication 1075 security requirements. IV&V remains concerned about the IRS Assessment due to the large number of critical and high Plans of Action and Milestones (POAMs) that remain to be remediated by both DHS and the ASI. Currently, eight (8) POAMs have been remediated, while over two hundred (200) critical and high POAMs remain open. 9/26/2024 - In September, the ASI completed the updates to the System Security Plan (SSP) Appendix A, specific to the Secure Enclave and IRS Federal Tax Information Requirements. A POAM (Plan of Action and	09/9/2024 SSA accepted DHS plan for training in Sept 9 meeting, so this should be reflected in September report. Also, need to determine what resources will be used and final process for addressing the missing documentation. Might want to have a risk for gap in Security support from DHS since Jack has left. 06/14/2024 Feedback already provided by David Rolla at May pre-meet. "My concern with the Security & Privacy slide is that there is no context provided

ID	Title	Reporter	Finding Type	Identified	Category	Observation	Significance	Recommendation	Event Horizon	Impact	Probability	Analyst Priority	Finding Status	Status Update	Vendor Comments
80	Development delays have negatively impacted the project schedule and delayed go-live.	Fors, Michael	Finding / Issue	6/30/2021	Configuration and Development	DHS and the ASI have previously reported development activities have been slowed as they have been unable to achieve and/or maintain their expected development velocity. Previously, the development team was challenged to load to a project schedule that is flawed and unrealistic (i.e., story points) and the project has been challenged with producing a project schedule that accurately reflects realistic timelines (see Finding #74). ASI continues to be challenged with finding qualified resources in a timely manner.	If the ASI is unable to achieve a velocity that enables them to meet planned milestones, DHS and the project may lead to a delayed system go-live date. Failure to achieve a level of accuracy in estimating development tasks could load to a project schedule that is flawed and unrealistic... ASI-Bis lacking the expertise required to create optimal designs and system specifications that developers could consume without requiring extensive clarification from the ASI team. DHS (who may lack software or UI design expertise) to improve, which is unclear if scope creep has contributed to these delays.	DFEB • Monitor, evaluate and revise scheduling estimates for accuracy weekly DDI status meeting) with an accurate velocity (e.g., story points per day/week/month) and assure that the current velocity is accurately and consistently reflected in the project schedule. COMPLETE ASI and DHS and IV'V to determine why the BES project continues to experience... and present a dynamic burndown chart to track the progress. • The ASI should consider enhancing the depth of developer unit testing. COMPLETE • DHS and ASI resources to effectively increase velocity. Note that adding additional junior resources may not be as effective as staffing additional expert-level...	Immediate	3	3 Med		Open	12/31/2024 - The ASI continues to make efforts to enhance development quality and efficiency. They have recently onboarded a senior development manager to help address ongoing development challenges and course-correct where necessary... The ASI continues to struggle with a high number of defects, which frustrates and creates more work for DHS UAT testers... 10/31/24 - With the recent departure of the ASI's recently hired development quality lead and a new development manager... 9/26/24 - The ASI continues to refocus the development team by adding senior development resources including a new development quality lead and a new development manager... They hope to expedite development. The ASI has acknowledged that defects (104 high criticality), despite their best efforts to bring that number down. The ASI will utilize the recently announced 2-week FAT pace to down...	05/12/2024 Vic confirmed that 50 developers have been added to project.
74	A BES Project schedule based on inaccurate estimations diminishes effective planning and resource management, which could result in late deliverables, cost increases, and a late go-live.	Molina, Brad	Finding / Issue	11/29/2021	Project Management	DHS and the ASI have tried multiple times to rework the schedule with results that have not yielded improvement. Concerns with the structure, estimating practices, and ability to manage to the schedule persist. The use of multiple tools to track resources obfuscate resource management. Previous IV&V findings focused on specific, schedule components such as addressed and closed.	If estimates for project activities are not accurate, this can lead to constant schedule changes, resources not being available when needed, rushed activities, and general frustration which can lead to schedule delays, low quality output, scope changes, and budget issues. Cause Analysis (could be included in the revised schedule to enable the completion tasks)... CLOSED • Project Management works with the development teams to evaluate the accuracy of development velocity and adjust... provide visibility into the remaining work... DHS and the ASI agree to a revised schedule against which project deliverables can be managed. (2/28/2023 - completed) ASI host a schedule delays.	DFEB - Monitor, evaluate and revise scheduling estimates for accuracy based on the project teams past performance and resources available to do the remaining work. • Any work required to address findings from Root Cause Analysis (could be included in the revised schedule to enable the completion tasks)... maintain a schedule for DevOps implementation tasks to avoid unexpected delays that could delay project milestones and the critical path.	Immediate	3	3 Med		Open	12/31/2024 - The ASI has initiated a Go-to-Green (G2G) Plan and DHS agreed upon the software development life cycle (Agile vs Waterfall) that will be used for the duration of the project. It is also unknown to IV&V how the ASI estimated the remaining work, not only the current work to be completed for the revised schedule but also for testing and maintenance... 11/12/2024 -The ASI has indicated that a revised project schedule will be provided to DHS and IV'V for review by the second week of December... 10/31/24 - This finding will be reevaluated by the IV'V team after the project team completes the re-baselining and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout...	05/12/2024 At discussed at pre-meet, the development team has been primarily focused on fixing BES 1.0 defects. DDI work for BES 1.1 and 1.2 are forthcoming.
73	The planned BES infrastructure is complex which could be difficult to implement and lead to schedule/cost impacts.	Fors, Michael	Finding / Risk	10/28/2021	System Design	Current ASI infrastructure plans include a significant number of sophisticated components that make up a complex cloud infrastructure. Further, the Project Team has yet to finalize components that will make up the BES infrastructure and implement the planned complex environment remain unclear.	If the level of effort to implement and manage the complexities of the BES infrastructure is not accurately accounted for and staffed by the ASI, the project could be met with unexpected costs and schedule delays... "moving part") and increase the level of time and effort to resolve infrastructure and application-level bugs... points in the project (including post-go live production failures) that could be difficult to resolve and will likely impact disruption. If DHS intends to employees, they could face challenges supporting tools they may not be familiar with in a complex infrastructure environment.	If the planned infrastructure is not accurately accounted for and staffed by the ASI... changes/updates are applied. • The project team work to establish strong governance over the utilization and maintenance of the various system tools/components. • ASI allot time in the schedule to conduct proof of concepts to assure infrastructure components work as expected. • ASI complete each activity compared to actual hours (12/31/2023 - the task is complete each activity compared to actual hours...	Next several months	2	2 Low		Open	12/31/2024 - IV'V continues to monitor this finding... 11/12/2024 - No material update. IV'V continues to monitor this finding with the project team... 10/31/24 - This finding will be reevaluated by the IV'V team after the project team completes the re-baselining and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout... 9/26/24 - The project continues to make progress on its technical debt (infrastructure activities that were not completed in prior sprints)... MongoDB, DataDog, and Boomi. The project has initiated the process with Netenrich to convert to the new Google SecOps platform and may add more components/services, including the Consul API Gateway and Private Service... 8/22/24 - The ASI continues to make progress in building out the finalized list of infrastructure components into the BES platform...	11/12/2024 Vic - will do BES 1.1 and 1.2 are referenced here? Per the current project schedule, the DR plan is scheduled to be submitted at the end of the latter half of April 2024.
70	Insufficient configuration management could lead to development confusion and reduce the effectiveness of defect resolution	Fors, Michael	Finding / Risk	8/23/2021	Configuration and Development	The BI-6 DDI Plan Deliverable, Section 3.2 establishes the framework for the Configuration Management Plan, however, it remains unclear if sufficient processes and governance. Further, the BES solution has been made toward establishing CM processes and governance, selecting CM tools (e.g., CMDB), and building out the CM infrastructure. The project Security Plan has yet to be finalized which may include additional requirements or decisions that could impact CM. The project currently are included in the configuration plan along with the details regarding the management of the configuration items, reporting and audit features.	Configuration Management is a set of processes and procedures that ensures the BES is understood and works correctly. The BES solution includes tools that may reduce errors and should provide the Configuration Management that would provide oversight of... COMPLETED • DHS and ASI work to clarify/solidify plan for the potential use of configuration management tools. • Identify the POC for the Configuration Management Activities that would provide oversight of... are being followed, are effective, and are achieving DHS objectives for CM. 7/31/2022	DFEB • ASI adhere to plans for configuration management as documented in BI-6 DDI Plan, Section 3.2 and clarify details and/or any changes with DHS. • ASI validate plans for configuration management with DHS and agree on a meaningful set of configuration items or settings they will track. COMPLETED • DHS and ASI work to clarify/solidify plan for the potential use of configuration management tools. • Identify the POC for the Configuration Management Activities that would provide oversight of...	ASAP	2	2 Low		Open	12/31/2024 - IV'V continues to monitor this finding... The ASI appears to have a structured approach for building out the finalized list of infrastructure components into the BES platform... 11/12/2024 - No material update. IV'V continues to monitor this finding. 10/31/24 - This finding will be reevaluated by the IV'V team after the project team completes the re-baselining and determines the approach, requirements/functionality, and schedule for the Pilot and Statewide rollout... 9/26/24 - The ASI had recently stated they plan to update their Configuration Management Plan (CMP) list of configuration items by 9/20/24 but has recently... 6/20/24 - No material update for this reporting period. 5/31/24 - IV'V has yet to receive a detailed, comprehensive list of configuration items the ASI... 12/31/23 - The project will utilize the DHS contractor currently assisting with security activities to update the Configuration Management Plan (CMP). The scope of work that the DHS contractor is responsible for is 10/31/23 - The ASI provided broad...	9/9/2024 Configuration Management Plan list of items, Two management plan (end of week), Configuration procedures (more detail). Working with Mark M on what should be included. Trying to work with folks who really understand the details and plan to implement. 10/31/2023 Vic - will do nonderstand why this remains. 10/11/2023 reference Configuration Management Plan list of items. Please reference your updates on completing these activities 4/22/24. IV'V has not yet published a draft schedule, but material update in the reporting period...